
TAY ROAD BRIDGE JOINT BOARD

Clerk: Roger Mennie
Head of Democratic and Legal Services
Dundee City Council
5 City Square
Dundee

TO: ALL MEMBERS OF THE TAY
ROAD BRIDGE JOINT BOARD

Date 30th November, 2020

Dear Member

TAY ROAD BRIDGE JOINT BOARD

You are requested to attend a meeting of the **TAY ROAD BRIDGE JOINT BOARD** to be held remotely on Monday, 7th December 2020 at 10.00 am.

The agenda and papers are enclosed.

Members of the Press or Public wishing to join the meeting should contact Committee Services on telephone (01382) 434818 or by email at committee.services@dundeecity.gov.uk by no later than 12 noon on Friday, 4th December, 2020.

Please submit any apologies for absence to Arlene Hay, Committee Services Officer on telephone (01382) 434818 or email arlene.hay@dundeecity.gov.uk.

Yours faithfully

ROGER MENNIE

Clerk to the Joint Board

AGENDA OF BUSINESS

1 DECLARATION OF INTEREST

Members are reminded that, in terms of The Councillors Code, it is their responsibility to make decisions about whether to declare an interest in any item on this agenda and whether to take part in any discussions or voting.

This will include all interests, whether or not entered on your Register of Interests, which would reasonably be regarded as so significant that they are likely to prejudice your discussion or decision-making.

2 MINUTE OF PREVIOUS MEETING - PAGE 1

The minute of meeting of the Tay Road Bridge Joint Board held on 14th September, 2020 is submitted for approval (copy attached).

3 PERMANENT ALLOCATION OF CARRAIGEWAY SPACE FOR BICYCLES ON THE TAY ROAD BRIDGE - PAGE 5

(Report No TRB25-2020 by the Bridge Manager, copy enclosed).

4 OPERATIONAL RESTRICTIONS AND CLOSURES - PAGE 37

(Report No TRB22-2020 by the Bridge Manager, copy enclosed).

5 HEALTH AND SAFETY MONITORING 2020 - PAGE 43

(Report No TRB23-2020 by the Bridge Manager, copy enclosed).

6 INTERNAL AUDIT - ANNUAL AUDIT PLAN 2020/2021 - PAGE 45

(Report No TRB21-2020 by the Treasurer, copy enclosed).

7 RESPONSE TO INTERNAL AUDITOR'S REPORT ON STAFF RECRUITMENT AND RETENTION/HR POLICIES - PAGE 59

(Report No TRB24-2020 by the Bridge Manager, copy enclosed).

8 REQUEST TO CHANGE JOB TITLE - PAGE 71

(Report No TRB26-2020 by the Bridge Manager, copy enclosed).

9 REVENUE MONITORING – SEVEN MONTHS TO 31ST OCTOBER 2020 - PAGE 73

(Report No TRB17-2020 by the Treasurer, copy enclosed).

10 CAPITAL MONITORING – SEVEN MONTHS TO 31ST OCTOBER 2020 - PAGE 77

(Report No TRB18-2020 by the Treasurer, copy enclosed).

11 REVENUE BUDGET 2021/2022 TO 2023/2024 - PAGE 83

(Report No TRB19-2020 by the Treasurer, copy enclosed).

12 CAPITAL PLAN 2021/2022 TO 2023/2024 - PAGE 89

(Report No TRB20-2020 by the Treasurer and Bridge Manager, copy enclosed).

13 PROPOSED PROGRAMME OF MEETINGS 2021

Monday 1st March, 2020;

Monday 14th June, 2020;

Monday 13th September, 2020;

Monday 6th December, 2020

14 DATE OF NEXT MEETING

Monday 1st March, 2021 at 10.00am via MS Teams (unless otherwise advised).

ITEM No ...2.....

At a MEETING of the **TAY ROAD BRIDGE JOINT BOARD** held remotely on 14th September, 2020.

Present:-

Dundee City Council

Councillor Lynne SHORT
Depute Lord Provost CAMPBELL
Councillor George McIRVINE
Councillor Margaret RICHARDSON
Bailie Fraser MACPHERSON

Fife Council

Councillor Jonny TEPP
Councillor Bill CONNOR
Councillor Tony MIKLINSKI (for Councillor Andy Heer)

Also Present (Officers):-

Gary BRADY (Engineer)
Alan HUTCHISON (Bridge Manager)
Colin BRUCE (for Treasurer)
Kenny McKAIG (for Clerk)
Euan ROBERTSON (Audit Scotland)

Councillor Lynne SHORT, Chairperson, in the Chair.

Apologies for absence were submitted on behalf of Councillor Stewart Hunter, Councillor John Docherty, Councillor Andy Heer and Councillor Brian Thomson.

I DECLARATION OF INTEREST

There were no declarations of interest.

II MINUTE OF PREVIOUS MEETING

The minute of meeting of the Tay Road Bridge Joint Board held on 2nd March, 2020 was submitted and approved.

III OPERATIONAL RESTRICTIONS AND CLOSURES

There was submitted Report No TRB9-2020 by the Bridge Manager appraising the Joint Board of the number and nature of operational restrictions and closures applied between 1st February, 2020 and 30th April, 2020.

The Joint Board noted, that in view of the timescales involved, the Clerk to the Tay Road Bridge Joint Board in consultation with the Chair and Vice-Chair of the Tay Road Bridge Joint Board noted the contents of the report as at 30th April, 2020.

IV LOCAL CODE OF CORPORATE GOVERNANCE

There was submitted Report No TRB6-2020 by the Treasurer reviewing and updating the Joint Board's Local Code of Corporate Governance.

The Joint Board noted that, in view of the timescales involved, the Clerk to the Tay Road Bridge Joint Board in consultation with the Chair and Vice-Chair of the Tay Road Bridge Joint Board approved the compliance review and updated Local Code of Corporate Governance as detailed in Appendix 1 of the report, noted the progress against the 2019/2020 improvement action plan in Appendix 1 of the report

and approved the implementation of the improvements listed in Appendix 2 of the report for 2020/2021.

V ANNUAL GOVERNANCE STATEMENT FOR THE YEAR TO 31ST MARCH 2020

There was submitted Report No TRB7-2020 by the Treasurer presenting the Annual Governance Statement for approval and inclusion in the unaudited Annual Accounts for the year ended 31st March 2020.

The Joint Board noted that, in view of the timescales involved, the Clerk to the Tay Road Bridge Joint Board in consultation with the Chair and Vice-Chair of the Tay Road Bridge Joint Board noted the contents of the covering report, approved the Annual Governance Statement which was included as an Appendix to the report and instructed the Treasurer to include the Annual Governance Statement in the Annual Accounts for the year to 31st March 2020.

VI UNAUDITED ANNUAL ACCOUNTS FOR THE YEAR ENDED 31ST MARCH 2020

There was submitted Report No TRB8-2020 by the Treasurer providing additional commentary on the unaudited Annual Accounts for the year ended 31st March 2020 which were submitted with the report.

The Joint Board noted that, in view of the timescales involved, the Clerk to the Tay Road Bridge Joint Board in consultation with the Chair and Vice-Chair of the Tay Road Bridge Joint Board noted the content of the covering report, noted the unaudited Annual Accounts which had been submitted along with the report, instructed the Treasurer to submit the Annual Accounts to the Controller of Audit, Accounts Commission for Scotland and noted that the key assumptions underpinning the independent actuaries' calculation of the Board's IAS 19 liability had been reviewed and accepted by Dundee City Council as administering authority for the Pension Fund.

VII RESPONSE TO INTERNAL AUDITOR'S ANNUAL REPORT TO MEMBERS

There was submitted Report No TRB10-2020 by the Bridge Manager responding to the Annual Report, ref 2020/07, prepared by the Board's Internal Auditor, Henderson Loggie, on Management of Health and Safety, Budgetary Control, Data Protection and previous Audit follow-up reviews.

The Joint Board noted that, in view of the timescales involved, the Clerk to the Tay Road Bridge Joint Board in consultation with the Chair and Vice-Chair of the Tay Road Bridge Joint Board endorsed the report as the formal response to the Internal Auditor's report and instructed the Bridge Manager to implement the Internal Auditor's recommendations as set out in paragraph 5.2 of the report.

VIII OPERATIONAL RESTRICTIONS AND CLOSURES

There was submitted Report No TRB15-2020 by the Bridge Manager appraising the Joint Board of the number and nature of operational restrictions and closures applied between 1st May 2020 and 31st July 2020.

The Joint Board noted the content of the report as at 31st July 2020.

The Joint Board acknowledged that additional information would be useful but that data protection issues could arise. It was agreed that partner colleagues would be invited to attend a separate meeting with Joint Board members.

IV ANNUAL REVIEW OF STRATEGIC RISK MANAGEMENT

There was submitted Report No TRB16-2020 by the Bridge Manager appraising the Joint Board of the annual review of Strategic Risk Management issues.

The Joint Board noted the content of the report as at 14th September 2020 and the Strategic Risk Register that was attached as an Appendix to the report.

X REVENUE MONITORING – 4 MONTHS TO 31ST JULY 2020

There was submitted Report No TRB11-2020 by the Treasurer appraising Joint Board members of the latest position regarding the Joint Board's 2020/2021 Revenue Budget.

The Joint Board noted the content of the Revenue Monitoring Report as at 31st July 2020.

XI CAPITAL MONITORING – 4 MONTHS TO 31ST JULY 2020

There was submitted Report No TRB12-2020 by the Treasurer appraising Joint Board members of the latest position regarding the Joint Board's 2020/2021 Capital Plan.

The Joint Board noted the content of the Capital Monitoring Report as at 31st July 2020.

XII 2020/2021 INSURANCE PROGRAMME

There was submitted Report No TRB13-2020 by the Treasurer providing an overview of the insurance arrangements for the financial year 2020/2021.

The Joint Board noted the details contained within the report.

XIII AUDITED ACCOUNTS 2019/2020

(a) EXTERNAL AUDITOR'S ANNUAL AUDIT REPORT

(i) Audit Scotland's Covering Letter

There was submitted and noted the covering letter from Audit Scotland.

(ii) Proposed 2019/2020 Annual Audit Report

There was submitted and noted the Annual Audit Report on the Tay Road Bridge Joint Board for the year ended 31st March, 2020.

(b) RESPONSE TO THE EXTERNAL AUDITOR'S ANNUAL REPORT ON THE 2019/2020 AUDIT OF TAY ROAD BRIDGE JOINT BOARD

There was submitted Report No TRB14-2020 by the Treasurer responding to the report prepared by the Joint Board's External Auditor on the audit of Tay Road Bridge Joint Board for the year ended 31st March, 2020.

The Joint Board:-

- (i)** noted the content of the External Auditor's Report including the completed action plan at Appendix 1 of the report and in particular that Audit Scotland had indicated that they would issue an unqualified audit opinion on the 2019/20 Annual Accounts;
 - (ii)** endorsed the report as the Joint Board's formal response to the External Auditor's report;
 - (iii)** instructed the Treasurer to arrange for the Audited Annual Accounts to be signed and returned to the External Auditor; and
 - (iv)** instructed the Treasurer thereafter to arrange for the Annual Accounts, including copies of all audit certificates to be published on the Joint Board's website no later than 31st October, 2020.
- (c) AUDITED ACCOUNTS FOR YEAR ENDED 31ST MARCH, 2020**

There was submitted and noted the Annual Accounts for the year ended 31st March, 2020.

IX DATE OF NEXT MEETING

Monday, 7th December, 2020 at 10.00am.

Councillor Lynne SHORT, Chairperson.

ITEM No ...3.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: PERMANENT ALLOCATION OF CARRAIGEWAY SPACE FOR BICYCLES ON THE TAY ROAD BRIDGE

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 25-2020

1.0 PURPOSE OF REPORT

- 1.1 To share an independent study, undertaken by the Tay Road Bridge Joint Board term consultant, WSP, into the feasibility of permanently allocating carriageway space to cycles on the Tay Road Bridge. The report by WSP, Tay Road Bridge, Cycle Feasibility Study, is included as Appendix 1.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Joint Board accept WSP's conclusion that allocating carriageway space to cycles on the Tay Road Bridge is not feasible.

3.0 FINANCIAL IMPLICATIONS

- 3.1 Professional fees of £6,000 are associated with this study, and the Treasurer has confirmed that this can be covered within existing revenue budgets.

4.0 BACKGROUND

- 4.1 In April 2020, the Chair of the Tay Road Bridge Joint Board (TRBJB) asked the bridge manager to investigate whether a TRBJB bid for the Scottish Government "Spaces For People" initiative was appropriate for the Tay Road Bridge. The fund has been designed to improve the opportunities for making travel and exercise safer during the Covid-19 pandemic. The specific request was to determine the viability of allocating part of the bridge carriageway to cycles, whilst maintaining the footpath for pedestrians. The bridge manager and engineer to the Board concluded that the geometrical limitations of the bridge carriageway would require the provision of a scheme beyond the scale of the "pop-up" lane envisaged under the Scottish Government's scheme.
- 4.2 The Chair of the TRBJB subsequently asked the bridge manager to investigate the feasibility of permanently allocating part of the bridge carriageway to cyclists, whilst maintaining the walkway for pedestrian use, and that an independent organisation should undertake the study on the TRBJB's behalf.
- 4.3 WSP, Consulting Engineers, were appointed in December 2019 as a term consultant to provide multi-disciplinary engineering consultancy services to the TRBJB, and in October 2020, as part of this contractual appointment, were asked by the bridge manager to carry out a feasibility study for permanent cycle lane provision on the carriageway of the bridge.

5.0 POLICY IMPLICATIONS

- 5.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

6.0 CONSULTATION

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

7.0 BACKGROUND PAPERS

- 7.1 None.

**ALAN HUTCHISON
BRIDGE MANAGER
26 NOVEMBER 2020**



Tay Road Bridge Joint Board

TAY ROAD BRIDGE

Cycle Route Feasibility Study

Tay Road Bridge Joint Board

TAY ROAD BRIDGE

Cycle Route Feasibility Study

TYPE OF DOCUMENT (VERSION) CONFIDENTIAL

PROJECT NO. 70078715

DATE: NOVEMBER 2020

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QUALITY CONTROL

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1 INTRODUCTION

1.1 PURPOSE OF THE REPORT

1.1.1. WSP UK Limited has been appointed by the Tay Road Bridge Joint Board, to investigate the feasibility of permanently allocating part of the bridge carriageway for use by cyclists, whilst maintaining the existing central walkway for pedestrian use only.

1.1.2. Consideration has been given to the practicalities of providing permanent cycle lanes on the existing Tay Road Bridge, including examining historic traffic flows (and more recently cycle count data) and examining the implications for the Board's bridge operations.

1.1.3. Reference has been made to the following information sources:

- Design Manual for Roads and Bridges (DMRB)
- Cycling by Design 2010 (Transport Scotland, Revision 2 July 2020)
- Traffic and Cycle count data supplied by the Tay Road Bridge Joint Board and Dundee City Council
- Traffic modelling undertaken by Dundee City Council

1.1.4. This report is copyright © WSP UK Limited. All rights reserved.

1.2 REPORT STRUCTURE

1.2.1. Following this short introductory chapter, the report is set out as follows:

- Chapter 2 sets out the background to the Tay Road Bridge and the existing traffic conditions prevalent on the bridge;
- Chapter 3 discusses the relevant design documentation referenced in this study and the design criteria applicable to the provision of a permanent cycle facility;
- Chapter 4 presents the findings of traffic modelling of lane closures on the bridge (simulating the provision of a cycle lane in either direction);
- Chapter 5 outlines the management implications for permanent cycle lanes; and
- Chapter 6 provides a summary of the findings of the report.

2 BACKGROUND

2.1 BACKGROUND

2.1.1. The Tay Road Bridge is a 2.25 kilometre (km) long structure connecting Dundee to the north, with North East Fife to the south, crossing the Tay Estuary. At its northern end, the bridge structure feeds directly into the A991 heading eastwards and westwards. At the southern end, the bridge terminates at a three-arm roundabout, connecting with the A92 and the B946.

2.1.2. The bridge is a dual carriageway and is subject to a 50 miles per hour (mph) speed limit, with two running lanes in either direction. However, it is understood that this speed limit is reduced in inclement weather. The bridge carriageway is approximately 6.7metres (m) wide. A segregated pedestrian/cycleway runs along the middle of the bridge and is approximately 2.3m wide. Access to the pedestrian/cycleway is via a ramp at the southern end, and via a lift/steps at the northern end. The bridge is lit along its entire length via lighting columns positioned within the central pedestrian/cycleway.

2.2 EXISTING TRAFFIC CONDITIONS

2.2.1. Traffic volumes are collected at the northern end of the bridge via permanent traffic loop counters monitored by Dundee City Council. A summary of the traffic data is presented in the Tay Road Bridge Joint Board Minutes at each quarterly Board meeting. A summary of the traffic count data for 2019 and 2020 is shown in Table 2-1 below.

Table 2-1 - Existing Traffic count Data (Annual Average Daily Traffic [AADT])

Location/Direction	Time Period					
	Q1 2019 (Feb-Apr)	Q2 2019 (May-Jul)	Q3 2019 (Aug-Oct)	Q4 2019 (Nov-Jan)	Q1 2020 (Feb-Apr)	Q2 2020 (May-Jul)
Northbound to West	6833	6459	6659	5931	2376	3171
Northbound to East	6744	7434	7534	6567	4728	4776
Northbound Total	13577	13893	14193	12498	7104	7947
Southbound from West	5720	5779	6067	5386	3864	3424
Southbound from East	7874	8264	8489	7255	5244	5266
Southbound Total	13594	14043	14556	12641	9108	8690
Two-way AADT	27171	27936	28749	25139	16212	16637

2.2.2. Table 2-1 shows that, prior to the Covid-19 pandemic (commencing with a national lockdown in March 2020), typical two-way daily traffic flows on the Tay Road Bridge were between 25,000 and 29,000 vehicles per day, with higher flows recorded during the summer months. Since

the Covid-19 pandemic, with significant numbers of people now working from home, traffic flows have reduced to approximately 16,000 vehicles per day (c. 40% drop in flow). It is not known at this time whether traffic flows will return to their pre-Covid levels, however, it is anticipated that traffic flows may normalise slightly below previous levels, reflecting a permanent change in working patterns for many people incorporating a blended approach of working within a traditional employment location for part of the working week and working from home for part of the week.

2.2.3. In addition to vehicular count data, a cycle and pedestrian counter was installed on the bridge by Cycling Scotland in October 2019 however, only cycle data has been collected to date due to a fault with the counter. A summary of the cycle count data is shown in Table 2-2 below.

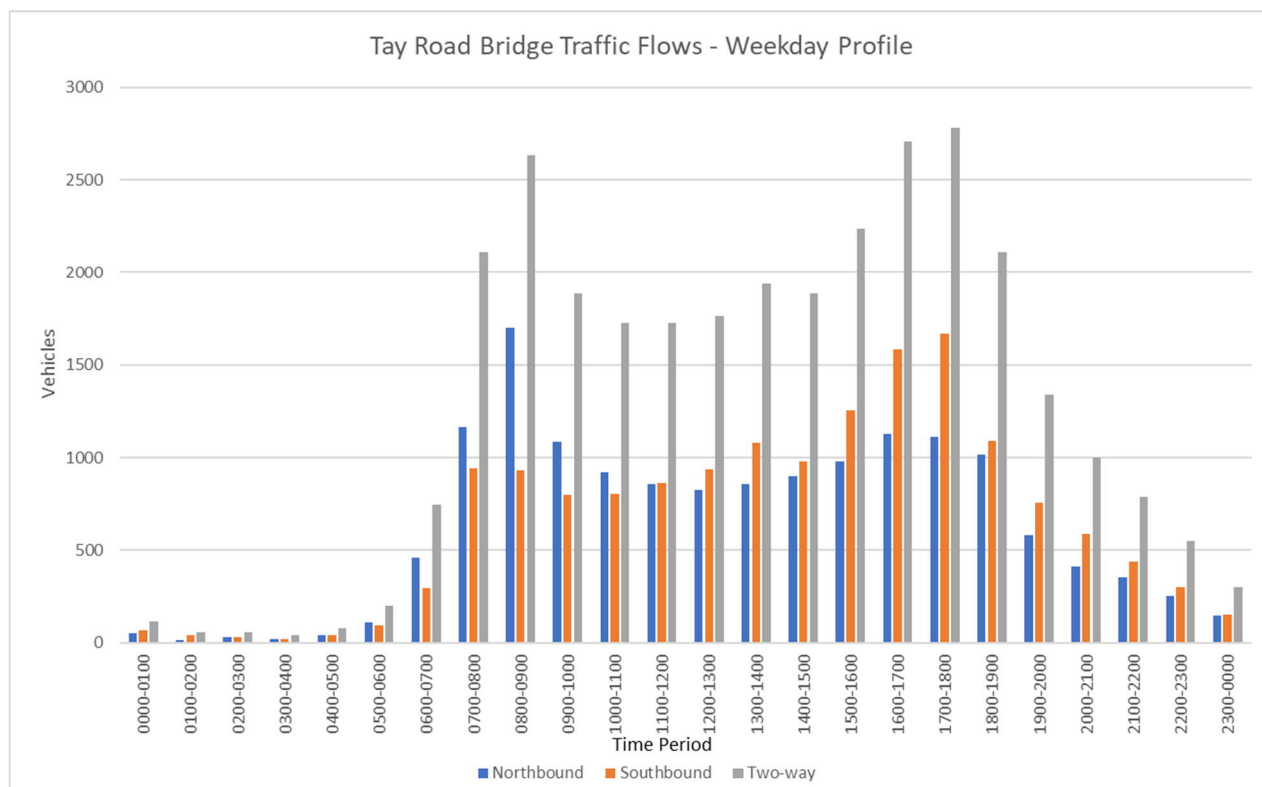
Table 2-2 - Existing Cycle Count Data (AADT Two-Way on Bridge Walkway)

Time Period					
Q4 2019 (Nov-Jan)		Q1 2020 (Feb-Apr)		Q2 2020 (May-Jul)	
Nov 2019	159	Feb 2020	139	May 2020	330
Dec 2019	132	Mar 2020	129	Jun 2020	269
Jan 2020	157	Apr 2020	214	Jul 2020	250
Two-way AADT per quarter	150		161		283

2.2.4. Table 2-2 shows that, prior to the Covid-19 pandemic, typical two-way daily cycle flows on the Tay Road Bridge central walkway were averaging 150 to 160 cycles per day. Since the Covid-19 pandemic, cycle activity has increased to an average of 280 cycles per day. It is not clear from the available data if the change is due to increased leisure cycling during lockdown or increased use due to social distancing requirements and availability of other modes of travel.

2.2.5. In order to gain a fuller understanding of daily travel patterns, including peak travel and directional flow levels, additional data supplied by Dundee City Council has been examined. A summary of the weekday traffic flow profile (Pre-Covid) is shown in Figure 2-1.

Figure 2-1 - Tay Road Bridge Weekday Traffic Flow Profile



2.2.6. Figure 2-1 shows the weekday peak traffic periods to be 08:00-09:00 and 17:00-18:00, with a build-up of traffic prior to the peak hours and diminishing beyond the peak hours. The peak hour flows are generally directional, with the major flow northbound (to Dundee) in the morning peak and southbound (to Fife) in the evening peak. The major direction flows in each peak period are in excess of 1,650 vehicles per hour (one direction).

2.2.7. Assuming that the 40% (approximately) reduction in traffic flows shown in Table 2-1 between pre-Covid traffic levels and current traffic levels applied evenly throughout the day, the major direction flows in each peak period would be c. 1,000 vehicles per hour (one direction).

2.3 FUTURE PARK AND CHOOSE SITE

2.3.1. It is understood that a future “park and choose” scheme is being considered adjacent to the bridge, within north east Fife and this could accommodate 300-500 vehicles. This park and ride scheme could reduce traffic levels on the adjacent road network, and potentially traffic commuting across the bridge in the peak periods however, it is not known at this time the level of demand that such a scheme could generate.

2.3.2. It would be reasonable to assume that, returning to pre-covid traffic levels, a successful scheme could reduce travel demand in the peak periods however, this is unlikely to reduce levels below those experienced during the pandemic lockdown. Conversely, if it is assumed that commuting patterns were maintained at levels experienced during lockdown, it is likely that a park and choose scheme may not be viable.

2.3.3. It is therefore considered that the provision of a future park and choose scheme would not materially affect the anticipated traffic flows examined as part of the cycle route study and the number of traffic lanes required to accommodate commuting traffic across the Tay Road Bridge.

3 REFERENCE INFORMATION / DESIGN CRITERIA

3.1 INTRODUCTION

3.1.1. This section sets out the relevant reference information that has been examined in the consideration of permanent cycle lanes on the Tay Road Bridge and considers the design criteria for the provision of a permanent cycling facility on the bridge.

3.2 DESIGN MANUAL FOR ROADS AND BRIDGES

3.2.1. The Design Manual for Roads and Bridges (DMRB) contains information about current standards relating to the design, assessment and operation of motorway and all-purpose trunk roads in the United Kingdom. The various documents that comprise the DMRB are generally published by Highways England, with specific National Application Annexes produced by the Transport governing bodies for the devolved administrations. In the case of Scotland, this is Transport Scotland.

3.2.2. The Tay Road Bridge is a strategic transport route and, as such, the DMRB would be considered in relation to any proposed changes to the bridge structure or operations on the bridge.

3.2.3. The following document were reviewed from the DMRB:

- CD 127 Cross-sections and headrooms
- CD 143 Designing for walking, cycling and horse riding
- CD 195 Designing for cycle traffic

3.2.4. As stated previously, the bridge carriageway, which comprises two lanes (in either direction) is approximately 6.7m in width which, is narrower than current design standards. CD 127 stipulates that a traffic lane should be 3.65m wide (i.e., a 7.3m wide carriageway in either direction). In considering permanent cycle lanes, this would give a carriageway for cyclists of 3.05m. In addition, given the current speed limit on the bridge (50mph), a set back is required between the traffic lane and the cycle lane this is normally 1.2m however this can be relaxed to 0.6m on a 50mph or less carriageway. A vehicle restraint system (VRS) would be required at the edge of this set back, between the traffic lane and the cycle lane. A nominal VRS width of 0.5m has been assumed but this would require to be the subject of detailed design. Finally, the existing bridge parapet is potentially too low to safely accommodate cyclists and would therefore require modification to protect cyclists from exiting the edge of the carriageway. The above gives rise to an available width of 1.95m.

3.2.5. Given the above requirements within the DMRB, in relation to road user safety, it is not possible to consider a tidal contra-flow operation i.e., providing two traffic lanes northbound in the morning peak, with one traffic lane southbound and one cycle lane, and reversing this operation in the evening peak period.

3.2.6. CD143 provides a National Application Annex for Scotland, directing the use of the publication "Cycling by Design" (Transport Scotland).

3.2.7. CD195 provides a National Application Annex for Scotland, directing the use of the publication "Cycling by Design" (Transport Scotland).

3.3 CYCLING BY DESIGN

3.3.1. Cycling by Design (Revision 2 July 2020) is published by Transport Scotland and provides guidance to ensure consistent and appropriate cycle design guidelines.

3.3.2. Examination of the Link Specification Guide, based on the traffic flows on the bridge (both pre-Covid and as currently experienced) and the speed of traffic on the bridge, gives rise to a requirement for an off-carriageway cycle facility. The existing segregated walkway is currently performing this function and any consideration of a separate cycle facility on the bridge therefore requires to be segregated from general traffic.

3.3.3. The design guidance states that clearance distances are required to fixed objects. In particular the absolute minimum clearance to a continuous feature of height 1.2m or a bridge parapet of any height is 0.5m. This would be required on both sides of the cycle lane i.e., on the nearside edge adjacent to the bridge parapet and on the offside edge adjacent to the segregation barrier between the cycle lane and the traffic lane. This reduces the available cycle lane width in paragraph 3.2.4 to 0.95m. This is below the absolute minimum width as set out in the guidance.

3.4 SUMMARY

3.4.1. In summary, through examination of the relevant design guidance it has been determined that the existing bridge structure is not wide enough to accommodate an appropriately safe segregated cycling facility in accordance with current guidance, nor is it possible to provide a contra-flow operation.

4 TRAFFIC MODELLING

4.1 INTRODUCTION

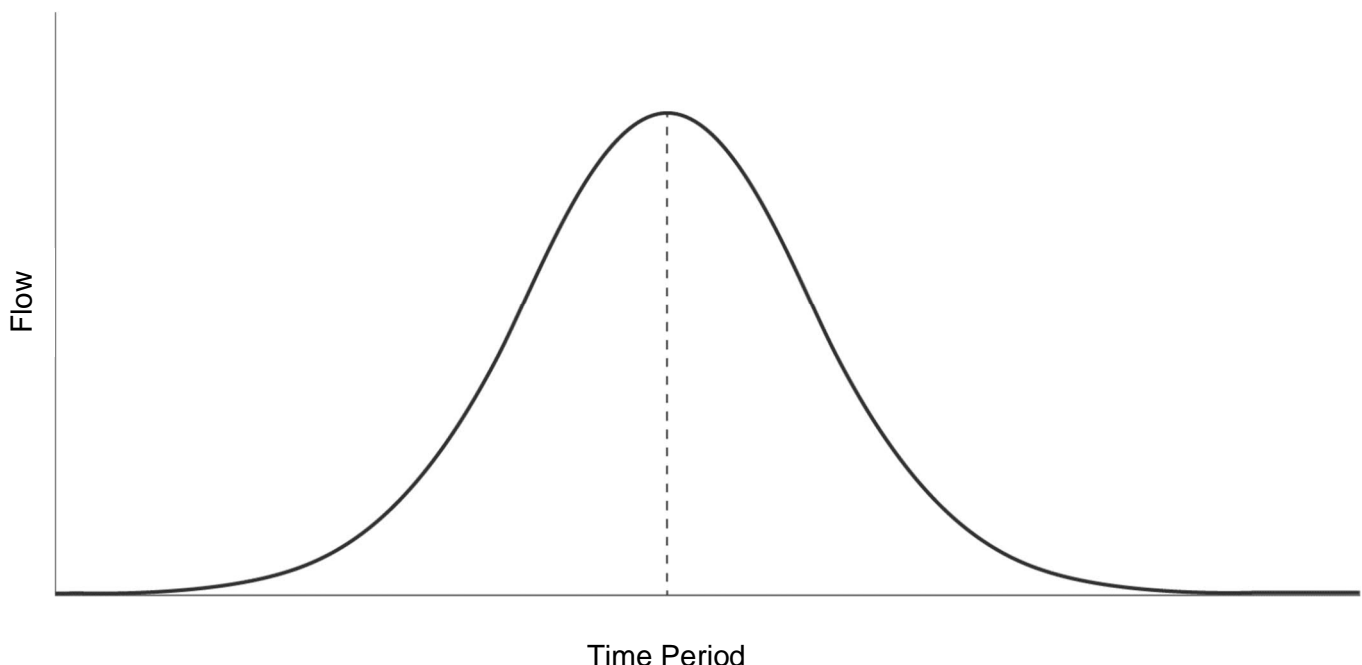
4.1.1. Dundee City Council have a Paramics microsimulation traffic model for the Tay Road Bridge and the immediate road network within Dundee. The Paramics model can provide a visual simulation of traffic conditions on the studied road network and present this in the format of snapshots (still images) throughout the modelled period. Video images can also be produced of the modelled period under consideration.

4.1.2. The Council have provided modelling snapshots at five-minute intervals for the weekday morning and evening peak periods for two model scenarios:

- Existing bridge operations (i.e., two traffic lanes in either direction)
- Single carriageway operations (i.e., one traffic lane in either direction, simulating the provision of permanent cycle lanes on the bridge)

4.1.3. Peak period traffic behaviour can be represented within traffic models under a function of normal distribution i.e., traffic tends to build up during the peak period of consideration and then dissipates towards the end of the peak period. Therefore, under normal conditions peak traffic can be expected within part of the peak period being modelled. This means that representative traffic conditions are normally experience in the middle of the peak period being modelled, as shown in Figure 4-1 below, however this can extend towards the end of the modelled period under congested conditions.

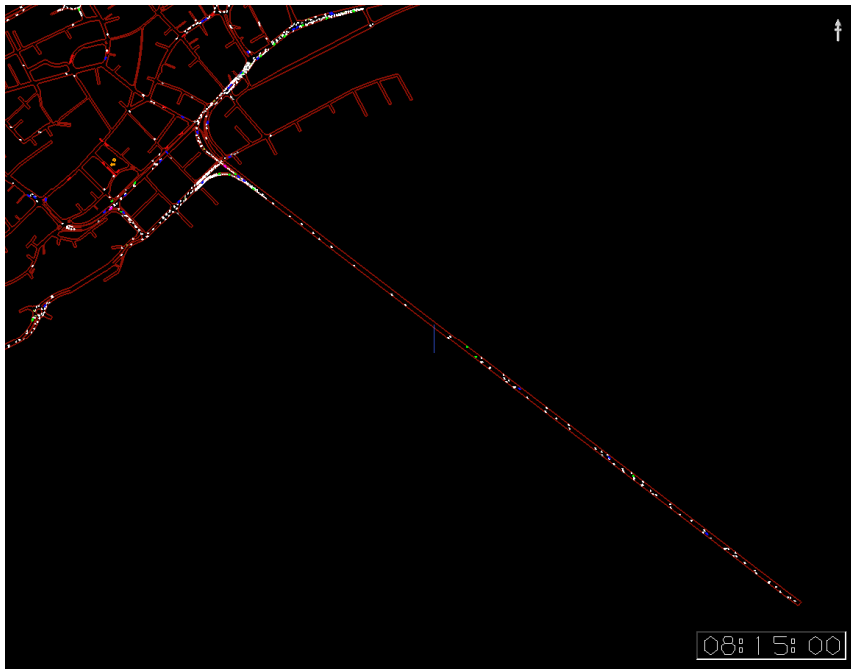
Figure 4-1 - Normal Distribution Graph



4.2 EXISTING BRIDGE OPERATIONS

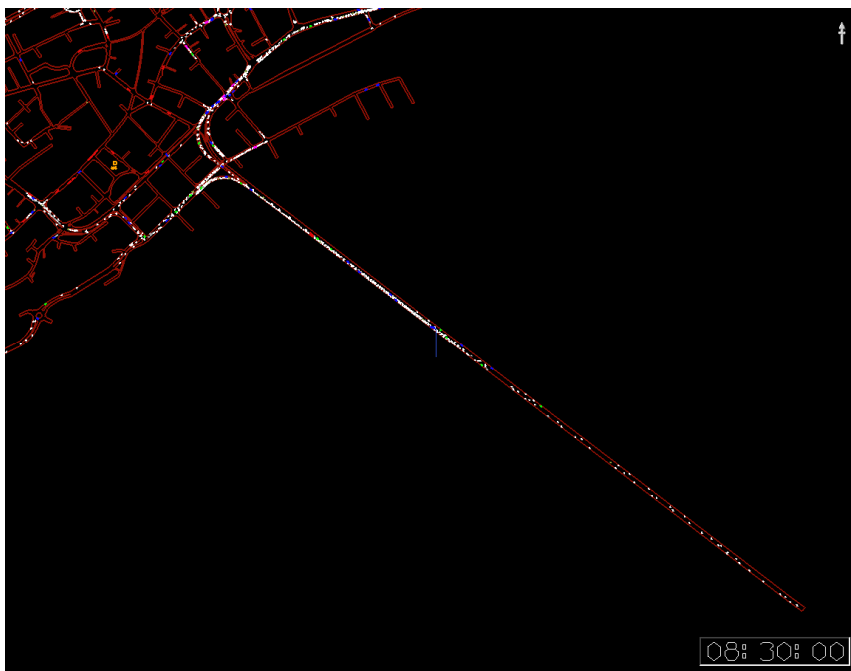
4.2.1. Figures 4-2 to 4-7 show the varying instances of traffic conditions throughout the morning peak period for existing bridge operations. The modelled period is from 07:30 to 09:30. Starting at 08:15 traffic queuing northbound is increasing and is now shown onto the bridge, this is shown in Figure 4-2.

Figure 4-2 - Model Snapshot 08:15



4.2.2. At 08:30 (Figure 4-3) traffic is now queuing northbound on the bridge for approximately 1km.

Figure 4-3 - Model Snapshot 08:30



4.2.3. At 08:50 (Figure 4-4) traffic is queuing northbound along most of the bridge length and at 09:00 (Figure 4-5) traffic is now queueing the whole length of the bridge northbound and excess queuing (represented by an orange box) is experienced onto the roundabout at the southern end of the Tay Road Bridge. The excess queue is 39 vehicles at 09:00 (Figure 4-6), increasing to 59 vehicles by 09:10 and dissipating from 09:15 onwards. At 09:30 queuing northbound is in excess of 1.5km on the bridge (Figure 4-7).

Figure 4-4 - Model Snapshot 08:50



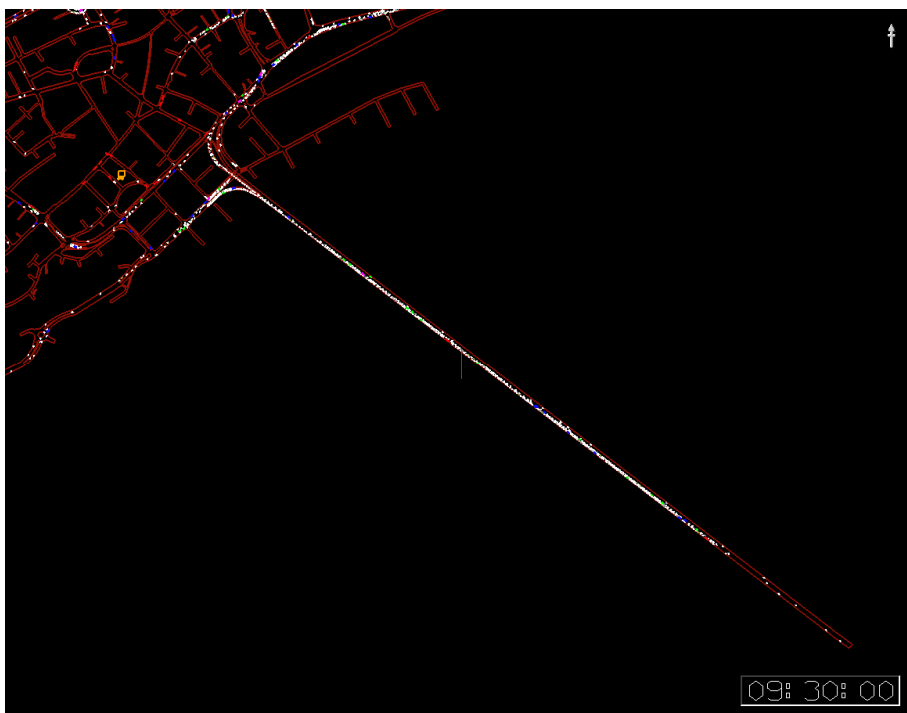
Figure 4-5 - Model Snapshot 09:00



Figure 4-6 - Model Snapshot Excess Queue 09:00



Figure 4-7 - Model Snapshot 09:30



4.2.4. Figures 4-8 to 4-11 show the varying instances of traffic conditions during the evening peak hour of 17:00 to 18:00, for existing bridge operations. The modelled period is from 15:30 to 18:00. Between 15:30 and 17:00, traffic conditions are generally satisfactory however, queuing builds up northbound on the bridge between 17:00 and 18:00 (Figures 4-8 to 4-11).

Figure 4-8 - Model Snapshot 17:00

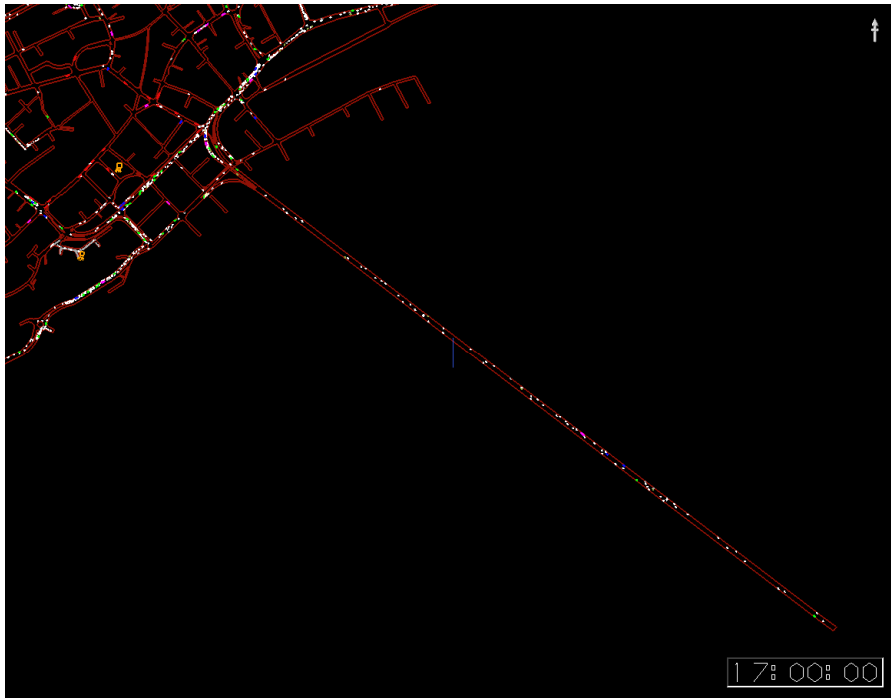


Figure 4-9 - Model Snapshot 17:15

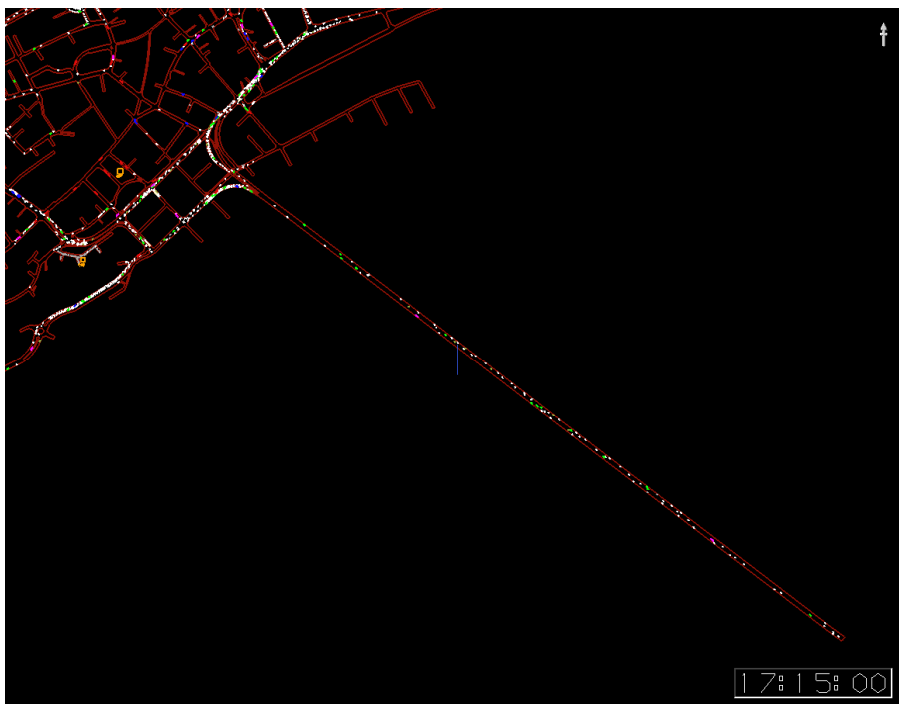


Figure 4-10 - Model Snapshot 17:45

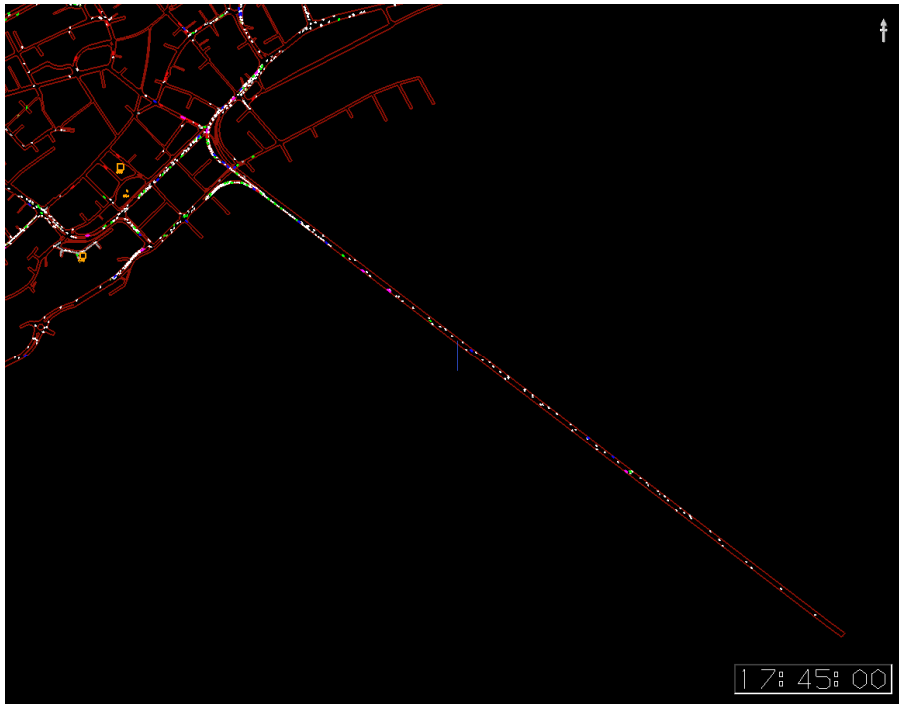
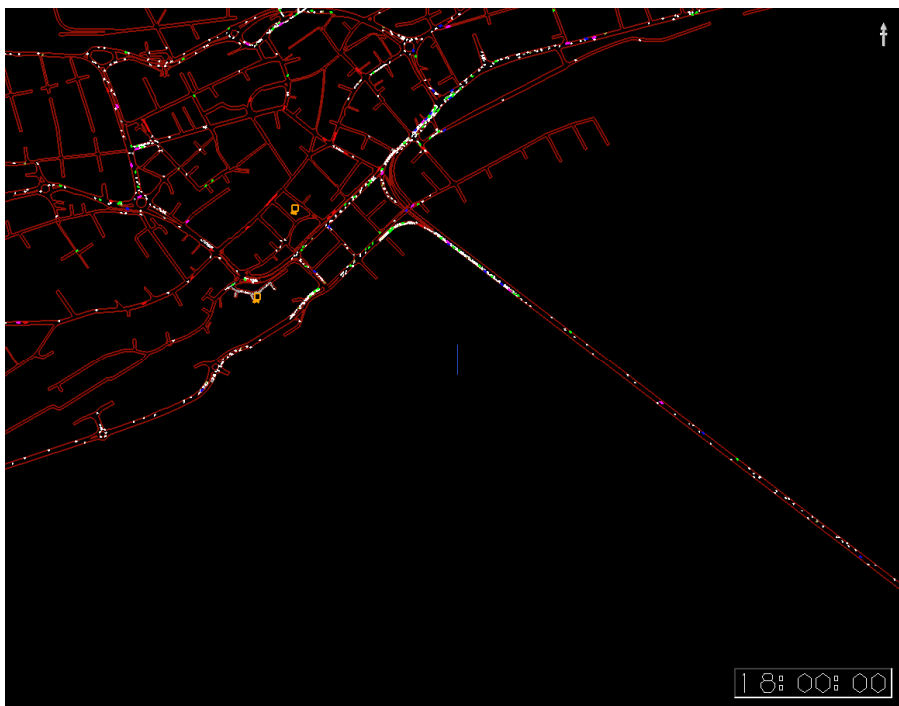


Figure 4-11 - Model Snapshot 18:00



4.2.5. In summary, for existing bridge operations (i.e., two traffic lanes in either direction), the morning peak period shows significant queuing northbound along the length of the Tay Road Bridge and, at times, excess queuing beyond the bridge at its southern end. The evening peak period shows some queuing on the bridge during the peak hour (17:00-18:00) however, this is not as severe as the morning peak period.

4.3 SINGLE CARRIAGEWAY OPERATIONS

4.3.1. A second modelled scenario has been undertaken to show single carriageway operations, representing one traffic lane in either direction (i.e., simulating the provision of permanent cycle lanes on the bridge). Figures 4-12 to 4-16 show the varying instances of traffic conditions throughout the morning peak period for single carriageway operations. The modelled period is from 07:30 to 09:30. Starting at 07:40 traffic is queuing northbound towards Dundee on the Tay Road Bridge (Figure 4-12). At 07:55 the northbound queue is along the length of the bridge (Figure 4-13), with excess queuing at the southern end of the bridge of 64 vehicles (Figure 4-14). The queuing continues to build through the remainder of the modelled period, culminating in an excess queue northbound at 09:30 of 1,916 vehicles (Figures 4-15 and 4-16).

Figure 4-12 - Model Snapshot Single Carriageway 07:40

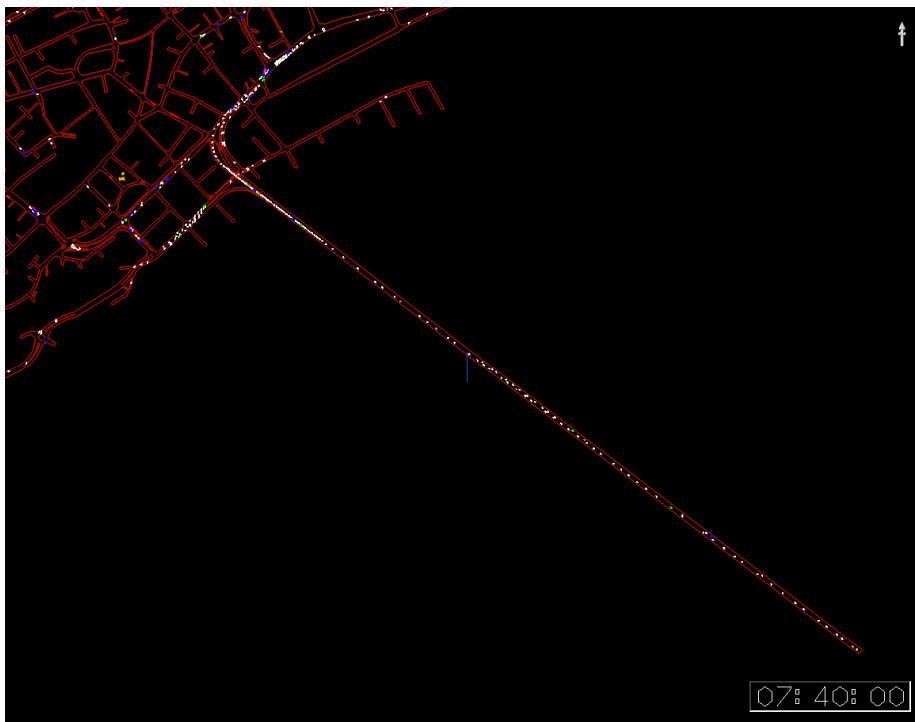


Figure 4-13 - Model Snapshot Single Carriageway 07:55

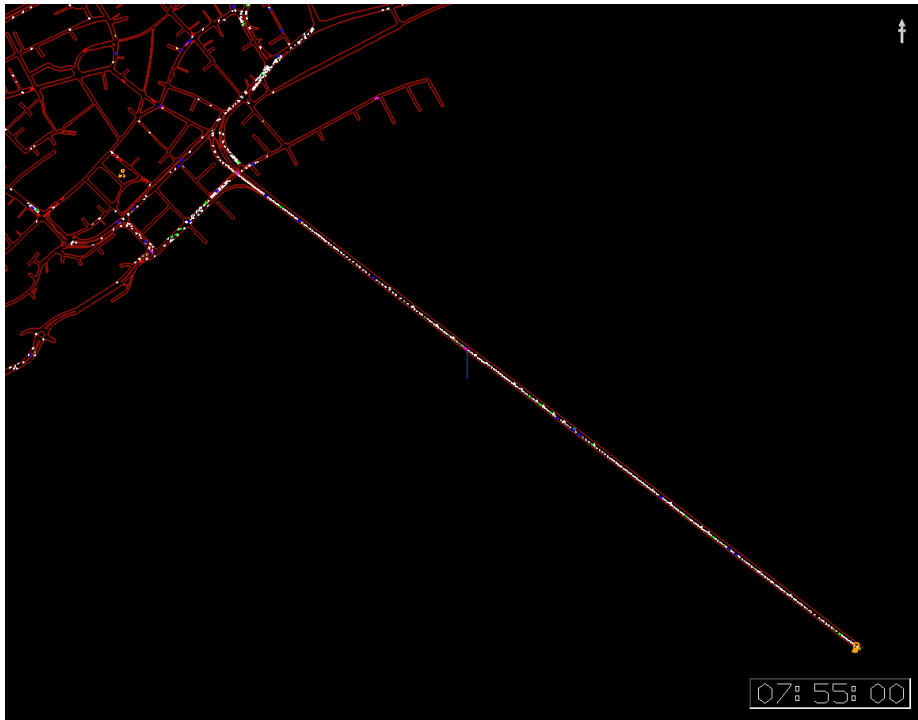


Figure 4-14 - Model Snapshot Single Carriageway Excess Queue 07:55



Figure 4-15 - Model Snapshot Single Carriageway 09:30

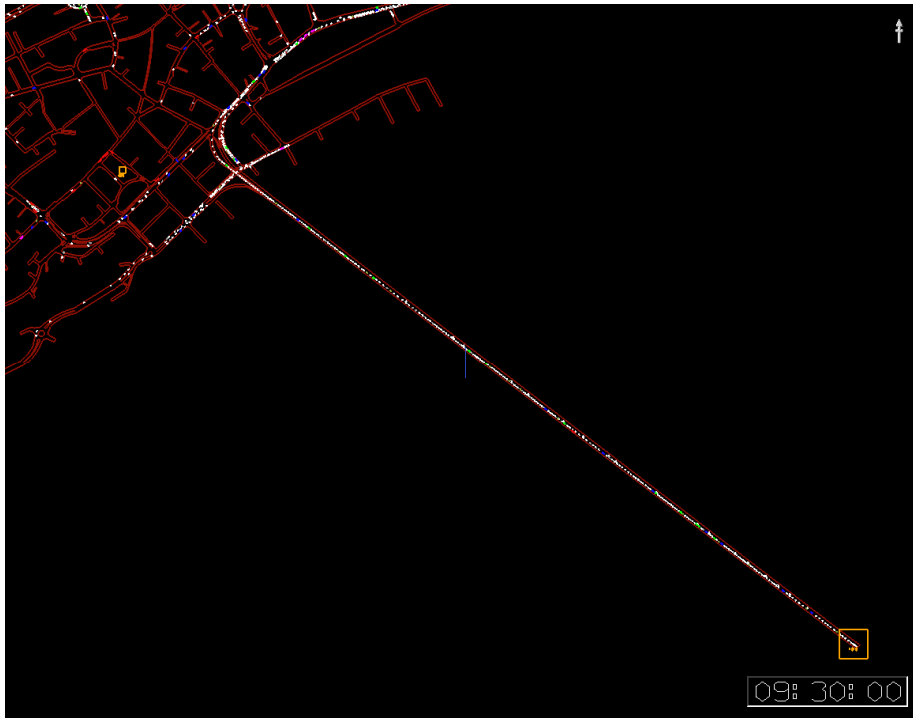
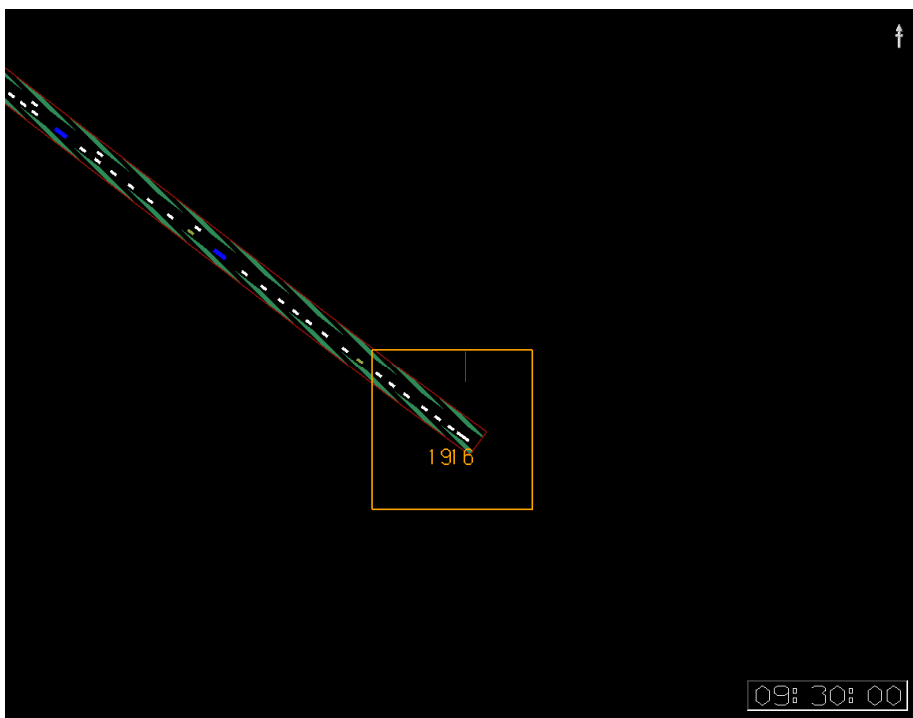


Figure 4-16 - Model Snapshot Single Carriageway Excess Queue 09:30



4.3.2. Figures 4-17 to 4-21 show the varying instances of traffic conditions during the evening peak period, for single carriageway operations. The modelled period is from 15:30 to 18:00. At 15:40 traffic northbound starts to queue on the bridge (Figure 4-17) and this queue increase throughout the remainder of the modelled period. Excess queuing northbound, beyond the end of the bridge, appears at 16:10 (Figure 4-18) with an excess queue of 21 vehicles (Figure 4-19). At 17:45 the excess queue is 1,158 vehicles (Figures 4-20 and 4-21).

Figure 4-17 - Model Snapshot Single Carriageway 15:40

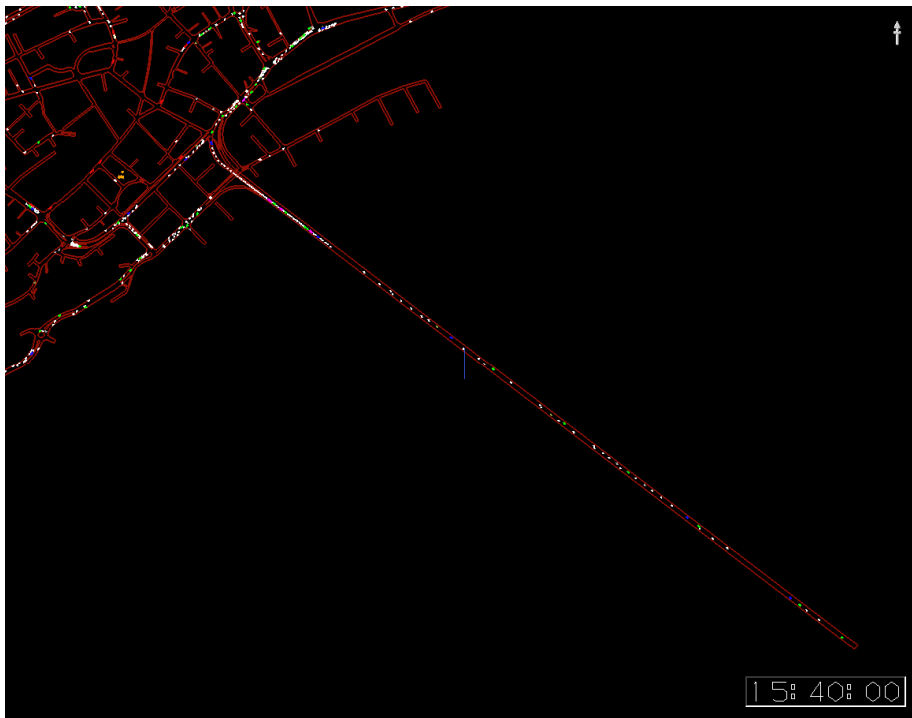


Figure 4-18 - Model Snapshot Single Carriageway 16:10

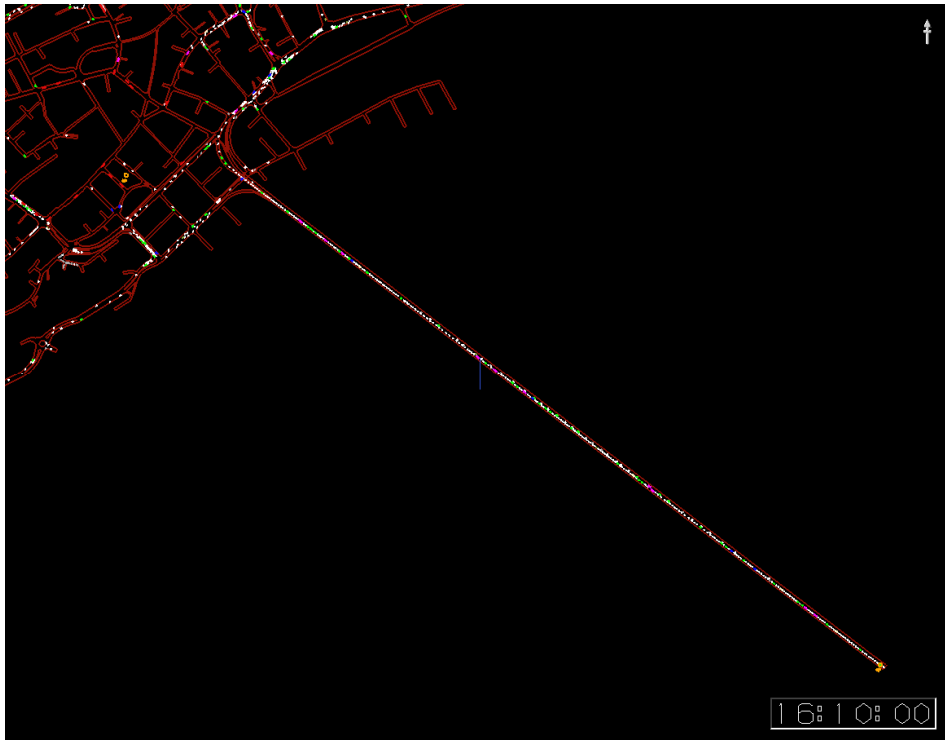


Figure 4-19 - Model Snapshot Single Carriageway Excess Queue 16:10

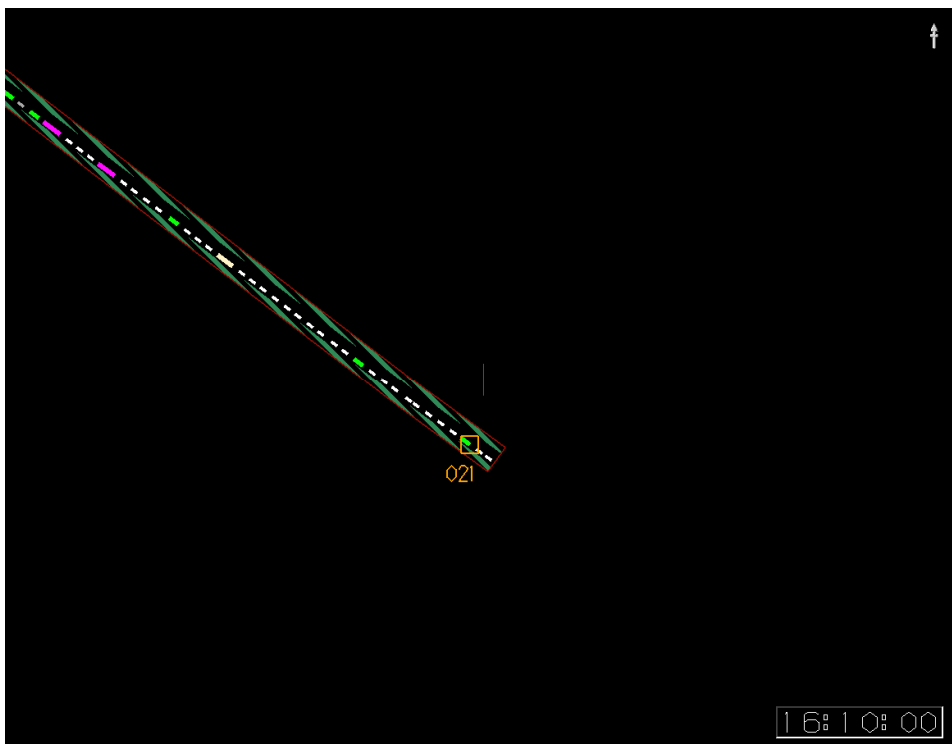


Figure 4-20 - Model Snapshot Single Carriageway 17:45

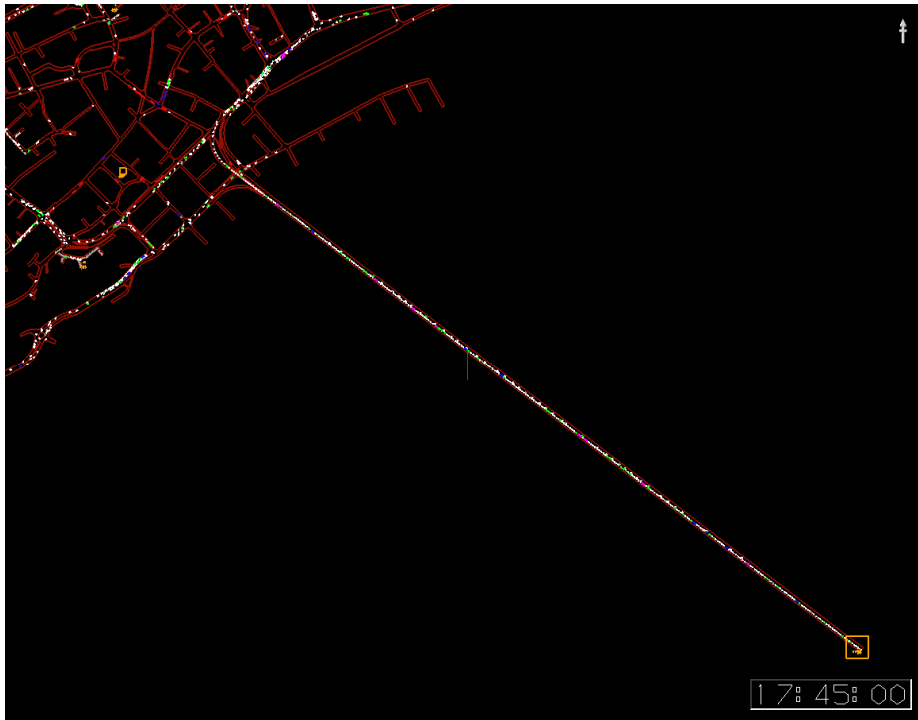


Figure 4-21 - Model Snapshot Single Carriageway Excess Queue 17:45



4.3.3. In summary, for single carriageway operations (i.e., one traffic lane in either direction, simulating the provision of permanent cycle lanes on the bridge), both the morning and evening peak periods show significant queuing northbound along the length of the Tay Road Bridge and excess queuing beyond the bridge at its southern end (an additional 1,916 vehicles in the morning peak and 1,158 in the evening peak).

4.3.4. The modelling indicates that the provision of permanent cycle lanes on the Tay Road Bridge would lead to significant road congestion within the Dundee Road network at the northern end of the bridge, queuing northbound along the entire length of the bridge and excess queuing for many kilometres beyond the bridge in North East Fife.

5 MANAGEMENT IMPLICATIONS

5.1 INTRODUCTION

5.1.1. This section sets out the management/operational implications for providing permanent cycle lanes on the Tay Road Bridge.

5.2 MANAGEMENT IMPLICATIONS

5.2.1. As outlined earlier, the introduction of permanent cycle lanes on the Tay Road Bridge would require the removal of one lane in either direction, which is currently used by general traffic. This removes traffic capacity from the bridge and the effects of this have been demonstrated in the previous section, showing significant traffic queueing and congestion throughout the peak periods.

5.2.2. Notwithstanding the above, it is understood that the 50mph speed limit is reduced during periods of inclement weather, where the wind speed increases. In addition, at a wind speed of 45mph the bridge is closed to double decker buses; at 60mph the bridge is closed to all vehicles except cars and single decker buses and the central walkway is closed to pedestrians and cyclists. At a wind speed of 80mph the bridge is closed to all vehicles.

5.2.3. General bridge maintenance, such as gully cleaning, lighting repairs and removing any debris from the carriageway is currently undertaken using partial lane closures. If permanent cycle lanes were provided, full bridge closures would be required for this general maintenance.

5.2.4. Under bridge maintenance, using under carriageway maintenance gantries, is currently undertaken from the edge of the carriageway and access is managed by using partial lane closures. The bridge is inspected on a continuous basis, with the maintenance gantries accessed several times each day. There would be significant disruption for users of the bridge each time these gantries are accessed, given the reduction in traffic running lanes that a cycle scheme would impose. In addition, access for cyclists would require to be curtailed at these times to avoid conflict with maintenance staff.

5.2.5. It is understood that there are approximately 60 vehicle breakdowns on the bridge each year. Under existing operations, breakdowns can be dealt with using traffic management and partial lane closures in most instances. With permanent cycle lanes in place, a breakdown would result in a complete closure of the bridge until the vehicle is removed from the bridge. Depending on the location of the breakdown and the type of vehicle, this could require a breakdown truck to reverse the length of the bridge to recover the stricken vehicle.

5.2.6. Emergency vehicle access across the bridge is a significant consideration. Vehicle response times can be hampered by traffic conditions on the bridge and this would be exacerbated with a reduction in traffic capacity.

5.2.7. Pedestrian access to the cycle lanes would be a management concern. Vulnerable persons could potentially access the edge of the bridge more readily than at present.

5.2.8. In summary, The Tay Road Bridge is of strategic importance, connecting Dundee with North East Fife. Changes to the traffic capacity of the bridge have significant logistical, operational and potential safety issues for both users of the bridge and for ongoing maintenance of the bridge.

6 SUMMARY

6.1 SUMMARY

6.1.1. WSP UK Limited was appointed by the Tay Road Bridge Joint Board, to investigate the feasibility of permanently allocating part of the bridge carriageway for use by cyclists, whilst maintaining the existing central walkway for pedestrian use only.

6.1.2. A review has been carried out of existing traffic flows using the bridge, both prior to the Covid pandemic and during the lockdown period. The existing traffic flows are between 25,000 and 29,000 vehicles per day which dropped to approximately 16,000 vehicles per day during lockdown (a 40% drop). Examination of detailed traffic count information and daily flow profiles shows that the major direction flows in each peak period are in excess of 1,650 vehicles per hour (one direction). This leads to a requirement of two lanes in either direction to accommodate existing traffic flows on the bridge.

6.1.3. It is understood that a future “park and choose” scheme is being considered adjacent to the bridge, within north east Fife and this could accommodate 300-500 vehicles. This park and ride scheme could reduce traffic levels on the adjacent road network, and potentially traffic commuting across the bridge in the peak periods however, the potential reduction in travel demand would still lead to a requirement of two lanes in either direction to accommodate existing traffic flows on the bridge.

6.1.4. A review was undertaken of relevant reference information and design guidance applicable to the provision of permanent cycling facilities on the bridge. Through examination of the relevant design guidance it has been determined that the existing bridge structure is not wide enough to accommodate an appropriately safe segregated cycling facility in accordance with current guidance, nor is it possible to provide a contra-flow operation i.e., providing two traffic lanes northbound in the morning peak, with one traffic lane southbound and one cycle lane, and reversing this operation in the evening peak period.

6.1.5. Traffic modelling carried out by Dundee City Council has been interrogated for both the existing traffic conditions and a simulation of providing permanent cycle lanes on the bridge. The modelling shows that traffic can queue northbound across the bridge in the morning peak hour, reaching back to the roundabout at the southern end of the bridge.

6.1.6. The modelling representing permanent cycle lanes on the bridge indicates that both the morning and evening peak periods show significant queuing northbound along the length of the Tay Road Bridge and excess queuing beyond the bridge at its southern end (an additional 1,916 vehicles in the morning peak and 1,158 in the evening peak).

6.1.7. The modelling indicates that the provision of permanent cycle lanes on the Tay Road Bridge would lead to significant road congestion within the Dundee Road network at the northern end of the bridge, queuing northbound along the entire length of the bridge and excess queuing for many kilometres beyond the bridge in North East Fife.

6.1.8. The management implications of providing permanent cycle lanes have been considered and this raises significant areas of concern because of changes to the traffic capacity of the bridge. There are significant logistical and operational issues for both users of the bridge and for ongoing maintenance of the bridge.

6.2 CONCLUSION

6.2.1. It is concluded under all areas of investigation comprising traffic conditions, traffic modelling, design standards and management implications, that it is not feasible to provide permanent cycle lanes on the Tay Road Bridge.



7 Lochside View
Edinburgh Park
Edinburgh, Midlothian
EH12 9DH

wsp.com

ITEM No ...4.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: OPERATIONAL RESTRICTIONS AND CLOSURES

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 22-2020

1.0 PURPOSE OF REPORT

- 1.1 To appraise the Joint Board of the number and nature of operational restrictions and closures applied between 1 August 2020 and 31 October 2020.

2.0 RECOMMENDATIONS

- 2.1 The Joint Board are asked to note the contents of this Report as at 31 October 2020.

3.0 FINANCIAL IMPLICATIONS

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

4.0 COMMENTARY ON RESTRICTIONS AND CLOSURES

- 4.1 Restrictions are applied to the traffic on the bridge for a number of reasons including recovering debris, breakdowns, high winds and other operational requirements, such as carriageway inspections. Miscellaneous incidents include escorting pedestrians from the carriageway.

A summary of the restrictions applied between 1 August 2020 and 31 October 2020 is given below:-

4.1.1 Single Carriageway Closure

Reason	Total Duration (Minutes)	Number of Occasions	Average Duration (Minutes)	Maximum Time Closed (Minutes)	Minimum Time Closed (Minutes)
Operational	301	109	2.76	9	1
Breakdown	8	2	4	5	3
Miscellaneous Incidents	22	7	3.14	7	1
Single Lane Closures for Maintenance	1202	15	80.13	264	4
Police Incidents	381	20	19.05	182	3

4.1.2 Full Bridge Closure

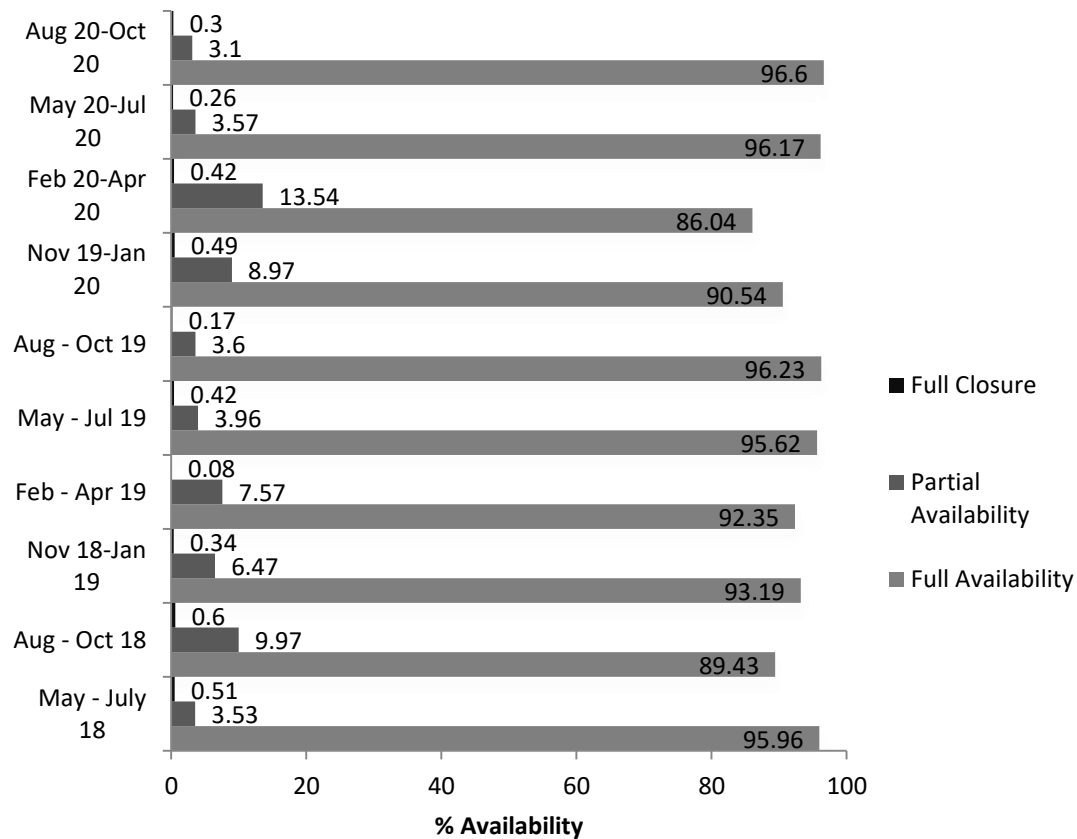
Reason	Total Duration (Minutes)	Number of Occasions	Average Duration (Minutes)	Maximum Time Closed (Minutes)	Minimum Time Closed (Minutes)
Operational (Night Closures)	0	0	0	0	0
Police Incidents	375	12	31.25	125	6
Wind	0	0	0	0	0

4.1.3 High Winds Restrictions

Traffic Restricted	Total Duration (Minutes)	Number of Occasions	Average Duration (Minutes)	Maximum Time Restricted (Minutes)	Minimum Time Restricted (Minutes)
Double Deck Buses	1678	8	209.75	657	45
High Sided Vehicles	414	1	414	414	414
All Traffic	0	0	0	0	0

4.1.4 Availability of Bridge

AVAILABILITY TO BRIDGE USERS



	Aug-Oct 19	Nov 19–Jan 20	Feb-Apr 20	May-July 20	Aug-Oct 20
Full Availability	96.23	90.54	86.04	96.17	96.6
Partial Availability	3.6	8.97	13.54	3.57	3.10
Full Closure	0.17	0.49	0.42	0.26	0.30

4.1.5 Summary of Bridge availability 1 August 2020 to 31 October 2020

Full availability (No restrictions)	96.6%
Partial Availability (Some restrictions)	3.10%
No Availability (Full Closure)	0.30%

5.0 TRAFFIC COUNT DATA

5.1 Traffic Count Data from Dundee Ramps

AADT – (Annual Average Daily Total)

	2 nd Quarter 2019	3 rd Quarter 2019	4 th Quarter 2019	1 st Quarter 2020	2 nd Quarter 2020	3 rd Quarter 2020
	(May - Jul)	(Aug – Oct)	(Nov – Jan)	(Feb- Apr)	(May- Jul)	(Aug – *Oct)
Northbound to West	6459	6659	5931	2376	3171	4504
Northbound to East	7434	7534	6567	4728	4776	6901
Northbound Total	13893	14193	12498	7104	7947	11405
Southbound from West	5779	6067	5386	3864	3424	4854
Southbound From East	8264	8489	7255	5244	5266	7567
Southbound Total	14043	14556	12641	9108	8690	12421
AADT Traffic per Quarter	27936	28749	25139	16212	16637	23826

*New counting loops were installed on 8 October 2020. Please note that some data was corrupted on the northbound exit slip road from this date. Traffic counts have been averaged using reliable data over the quarter to allow the traffic count to be reported.

A comparison of traffic levels between the third quarter of 2019 and the third quarter of 2020 shows a 20% reduction in traffic levels. This is likely to be attributable to reduced movement of people as result of the ongoing Coronavirus (Covid-19) pandemic.

5.2 Cyclist and Pedestrian Count on the Walkway

AADT – (Annual Average Daily Total) Northbound and Southbound

	4 th Quarter 2019		1 st Quarter 2020		2 nd Quarter 2020		3 rd Quarter 2020
	(Nov - Jan)		(Feb - Apr)		(May - Jul)		(Aug- Oct)
Cyclists – Nov	159	Cyclists – February	139	Cyclists – May	330	Cyclists – Aug	216
Cyclists – Dec	132	Cyclists – March	129	Cyclists – June	269	Cyclists – Sep	194
Cyclists – Jan	157	Cyclists – April	214	Cyclists – July	250	Cyclists – Oct	127
AADT Cyclists per Quarter	150	AADT Cyclists per Quarter	161	AADT Cyclists per Quarter	283	AADT Cyclists per Quarter	179

A Pedestrian and Cycling Counter was installed on the bridge walkway in October 2019. Unfortunately, reliable pedestrian numbers are not yet available. The fault was reported to

Cycling Scotland and a possible solution has been implemented, but figures still appear unreliable. This has been reported to Cycling Scotland.

6.0 POLICY IMPLICATIONS

- 6.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

7.0 CONSULTATIONS

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

8.0 BACKGROUND PAPERS

- 8.1 None.

ALAN HUTCHISON
BRIDGE MANAGER
26 NOVEMBER 2020

ITEM No ...5.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: HEALTH & SAFETY MONITORING 2020

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 23-2020

1.0 PURPOSE OF REPORT

1.1 To appraise the Board Members of performance relating to Health & Safety in 2020.

2.0 RECOMMENDATIONS

2.1 The Board are asked to note the outcomes of the report and to agree to findings of the review in paragraph 4.4.

3.0 FINANCIAL IMPLICATIONS

3.1 None

4.0 COMMENTARY

4.1 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 available on the Tay Road Bridge website at <http://tayroadbridge.co.uk/board-business/board-documents>

4.2 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
- Operating various items of machinery and plant
- Physical and mental health risks associated with attending serious incidents.

4.3 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.

4.4 Review

The Bridge Manager has reviewed the Health & Safety Policy Statement and notes that no changes are required.

4.5 Health & Safety Performance

Below is a table which contains categorised information relating to accidents and near misses recorded at the Tay Road Bridge.

PLEASE NOTE: One accident can fall into multiple categories.

Accident Category	2015	2016	2017	2018	2019	2020
RIDDOR fatal accident	0	0	0	0	0	0
RIDDOR Major Injury	0	0	0	0	0	0
RIDDOR over 7 day injury	0	0	0	0	2	0
Lost Time Injury	0	1	0	1	1	0
Minor Injury	2	2	0	3	0	1
Near Misses	0	1	1	0	0	2
Slip, trip, fall on the level	0	0	0	0	0	0
Manual Handling	0	0	0	1	1	0
Third party contractors	0	0	0	0	0	0

NOTE: There was one minor accident involving a member of staff at the Tay Road Bridge in 2020

All accidents and near misses are investigated and the causes/proposed mitigation measures are formally recorded.

4.6 Occupational Health Issues

There were no Occupational Health related issues.

4.7 Training

The delivery of Health & Safety refresher training has been disrupted this year (2020) due to the restricted movement of people during the ongoing Covid-19 pandemic.

5.0 POLICY IMPLICATIONS

5.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

6.0 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.

7.0 BACKGROUND PAPERS

7.1 None

ALAN HUTCHISON
BRIDGE MANAGER
11 NOVEMBER 2020

ITEM No ...6.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD - 7 DECEMBER 2020

REPORT ON: INTERNAL AUDIT - ANNUAL AUDIT PLAN 2020/2021

REPORT BY: THE TREASURER

REPORT NO: TRB 21-2020

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Board notes the contents of the Internal Audit Annual Plan for 2020/2021 which is based on the detailed Internal Audit Needs Assessment and Strategic Plan 2019 to 2022.

3.0 FINANCIAL IMPLICATIONS

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

4.0 BACKGROUND

- 4.1 Reference is made to Report TRB 24-2019 (Agenda Item 12) whereby the Board was asked to approve the three year Strategic Audit Plan which was based on the detailed Internal Audit Needs Assessment (ANA).
- 4.2 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.
- 4.3 The Board's Internal Audit Service is provided by Henderson Loggie in respect of the financial years 2019/2020 to 2021/2022, 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.
- 4.4 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.
- 4.5 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 15 days in 2020/2021.

5.0 MAIN TEXT

- 5.1 The Internal Audit Annual Audit Plan for 2020/2021, which is attached as an Appendix to this report, sets out the proposed audit work to be undertaken in 2020/2021.
- 5.2 This will result in separate reports being issued for each review. The reviews will cover the following areas:
- Staff Recruitment and Retention / HR Policies;
 - Capital Projects;
 - Procurement and Creditors / Purchasing; and
 - Follow-Up Reviews.

6.0 POLICY IMPLICATIONS

- 6.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

7.0 CONSULTATIONS

- 7.1 The Clerk, Bridge Manager and the Engineer to the Board have been consulted in the preparation of this report and are in agreement with the contents.

8.0 BACKGROUND PAPERS

- 8.1 None.

GREGORY COLGAN
TREASURER

18 NOVEMBER 2020



Tay Road Bridge Joint Board

Internal Audit Annual Plan 2020/21

Internal Audit Report 2021/01

Draft Issued: 11 November 2020

Final Issued: 20 November 2020



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• Staff Recruitment and Retention / HR Policies	5
• Capital Projects	6
• Procurement and Creditors / Purchasing	7
• Follow-Up Reviews	8



1. Introduction

- 1.1 The purpose of this document is to present to the members of Tay Road Bridge Joint Board ('the Board') the annual internal audit operating plan for the year ended 31 March 2021. The plan is based on the proposed allocation of audit days for 2020/21 set out in the Audit Needs Assessment and Strategic Plan 2019 to 2022, which has already been approved by the Joint Board. The preparation of the Strategic Plan involved dialogue with the Bridge Manager and Board Officers.
- 1.2 At Section 3 of this report we have set out the outline scope and objectives for each audit assignment to be undertaken during 2020/21, together with the proposed audit approach. These were arrived at following discussion with the Bridge Manager.
- 1.3 Separate reports will be issued for each assignment. Recommendations are graded in each report to reflect the significance of the issues raised.
- 1.4 Our audit service complies with the Public Sector Internal Audit Standards (PSIAS).

2. Strategic Plan 2019 to 2022

Audit Area	Risk Register Ref.	Previous IA Coverage	2019/20 Days	2020/21 Days	2021/22 Days	Objective
Reputation						
Management of Health & Safety	2, 6	2013/14	4			To ensure that there are effective arrangements to comply with Health & Safety legislation, including where Health & Safety considerations are incorporated into contracts with third-party suppliers and partners that these are in line with the Construction (Design and Management) Regulations 2015.
Staffing Issues						
Recruitment and Retention / HR Policies	2, 10	2011/12		4		The review will include review of employment legislation and policies, recruitment processes to ensure compliance with equalities legislation. The processes in place that contribute to the retention and engagement of staff, and arrangements for staff development will also be reviewed.
Payroll	7, 9	2016/17 Good			3	To review the adequacy and effectiveness of the processes and procedures in place to ensure that payments made on the payroll system are valid, authorised, made accurately, and monitored. The audit will cover the input and outputs from the Dundee City Council payroll system but not the Council payroll system itself.

Audit Area	Risk Register Ref.	Previous IA Coverage	2019/20 Days	2020/21 Days	2021/22 Days	Objective
Estates and Facilities						
Asset Security / Management	4, 5, 6	2018/19 Good			3	Review the processes and controls in place for the purchase, disposal, maintenance, and protection of fixed assets, covering property and plant and equipment and ICT assets.
Capital Projects	8			3		Undertake Gateway-style review to assess whether capital projects are being effectively managed and delivered on time and within budget and have achieved the stated benefits set out in the initial business case. This will include a review of the project's governance arrangements in place at the Board.
Financial Issues						
Procurement and Creditors / Purchasing	2, 7, 9	2017/18 Good		4		To ensure that the Procurement Strategy and procedures in place support best value purchasing across the organisation in relation to non-pay spend.
Budgetary Control	3, 9	2015/16 Good	3			To review the processes and controls in place for budget setting and budgetary control within the Board.
Organisational Issues						
Risk Management / Business Continuity Planning	All	2016/17 Good			2	Cyclical check to ensure there are appropriate arrangements in place for identifying and managing risks and that the Business Continuity Plan is robust thereby reducing the Board's exposure to risk.

Audit Area	Risk Register Ref.	Previous IA Coverage	2019/20 Days	2020/21 Days	2021/22 Days	Objective
Corporate Governance	7	2018/19 Good			3	Cyclical check to undertake a high-level review of the corporate governance and planning arrangements in place within the Board to ensure that the governance framework represents best practice as set out in good practice guidance.
Information and IT						
Data Protection	2, 7	2017/18 Satisfactory	3			Cyclical check to ensure that arrangements are in place within the Board to ensure compliance with the Data Protection Act 2018 / EU General Data Protection Regulation (GDPR), focussing on data protection governance, staff data protection training and awareness, data security, data sharing and records management.
Other Audit Activities						
Management & planning, attendance at Joint Board meetings & liaising with external audit			2	2	2	
Follow-up			1	2	2	Follow up of outstanding internal audit recommendations.
ANA			2	-	-	
Total			15	15	15	

3. Outline Scope and Objectives

Audit Assignment:	Staff Recruitment and Retention / HR Policies
Priority:	Medium
Joint Board Meeting:	December 2020
Days:	4

Scope

The audit will consider the processes in place that contribute to the retention and engagement of staff, and the arrangements for staff development, and include a high level review of the Board's HR policies relating to staff recruitment to ensure compliance with employment and equalities legislation.

Objectives

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

- the Board has a systematic approach for ensuring that its staff resources match identified need in order to deliver planned commitments. Where gaps are identified, timely action is taken to close these gaps.
- a systematic process is used for providing feedback to staff on performance and agreeing action to improve performance the Board's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps;
- the Board has a systematic approach to evaluating its training to ensure that it is achieving the desired impact; and
- HR policies and related procedures for the recruitment and selection of staff comply with employment and equalities legislation.

Audit Approach

The Bridge Manager will be interviewed, and the Board's policies and procedures will be reviewed, to assess compliance with the above objectives.

Audit Assignment:	Capital Projects
Priority:	Medium
Joint Board Meeting:	March 2021
Days:	3

Scope

Undertake a Gateway style review to assess whether capital projects are being effectively managed and delivered on time and within budget and have achieved the stated benefits set out in the initial business case. This will include a review of the project's governance arrangements in place at the Board.

The timing of the review will be agreed to enable the review findings to feed into the project delivery timetable.

Objectives

The overall objective will be to review a current capital project at a key stage in its lifecycle to provide assurance that it is ready to progress to the next stage. Stages are:

- a) Business Justification
- b) Delivery Strategy
- c) Investment Decision
- d) Readiness for Service
- e) Operations Review and Benefits Realisation

Our audit approach will be:

Depending on the stage to be reviewed we will consider:

- the project's business case, plans and tender process together with other relevant documentation.
- progress monitoring reports and reports to the Joint Board will be reviewed and benchmarked against current best practice.
- progress with the project to date and assess reasonableness of completion targets; and
- an examination of the estimated project costs against actual costs to date and review estimated costs to completion. We will undertake this through review of specific project plans and budgets, other documents, and discussion with key staff to ensure that they cover all aspects currently recommended by best practice.

Audit Assignment:	Procurement and Creditors / Purchasing
Priority:	Medium
Joint Board Meeting:	June 2021
Days:	4

Scope

This audit will focus on the systems of internal control in place for the ordering of goods and services and the payment of invoices.

We will also consider whether the procurement strategy followed and procedures in place support best value purchasing in relation to non-pay spend (other operating expenses plus equipment fixed asset additions).

Objectives

The specific objectives of the audit will be to ensure that:

- the Board's Procurement Policy, Strategy and procurement guidance are comprehensive, kept up-to-date and in line with the Procurement Reform (Scotland) Act 2014 ('the Act') and The Procurement (Scotland) Regulations 2016 ('the Regulations').
- procurement procedures ensure that:
 - areas of high spend are monitored appropriately.
 - opportunities for pooling of expenditure are identified in order to achieve best value; and
 - collaborative procurements and frameworks available to the Board are utilised where appropriate.
- purchase orders are completed for relevant purchases and are approved by members of staff with sufficient delegated authority prior to issue to suppliers, with the risk of unauthorised and excessive expenditure being minimised; and
- the Board's procurement guidance on quotes and tenders and selection of contractors, together with the Act and Regulations, are being complied with.

Our audit approach will be:

From discussions with the Bridge Manager and other relevant staff, we will establish what procurement strategies, procedures and monitoring arrangements are in place. These will then be evaluated to establish if they follow recognised good practice.

Specifically, we will seek to establish whether the procurement procedures ensure that areas of high spend are monitored appropriately, identifying opportunities for pooling of expenditure in order to achieve best value, and ensuring that joint purchasing arrangements are utilised where appropriate.

A sample of items of expenditure will be selected from the financial ledger and tested to ensure compliance with the Board's Financial Regulations and Procedures. This will include a detailed review of the tender process and selection of successful contractors for capital works awarded in the year.

Audit Assignment:	Follow-Up Reviews
Priority:	Various
Joint Board Meeting:	June 2021
Days:	2

Scope

This review will cover the following reports from the 2019/20 internal audit programme and reports from earlier years where previous follow-up reviews identified recommendations outstanding:

- Report 2020/03 – Management of Health & Safety
- Report 2020/05 – Data Protection

Internal Audit Reports 2020/01 – ANA and Strategic Plan, 2020/02 – Annual Plan 2019/20, 2020/04 – Budgetary Control, 2020/06 – Follow-Up Reviews and 2020/07 – Annual Report 2019/20 did not contain any action plans and therefore no follow-up of these reports is required.

Objective

The objective of our follow-up review will be to assess whether recommendations made in internal audit reports from 2019/20 have been appropriately implemented and to ensure 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.

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ITEM No ...7.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: RESPONSE TO INTERNAL AUDITOR'S REPORT ON STAFF
RECRUITMENT AND RETENTION / HR POLICIES

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB24-2020

1.0 PURPOSE OF REPORT

- 1.1 This report is in response to Internal Audit Report No. 2021/02, prepared by the Board's Internal Auditor, Henderson Loggie, on Staff Recruitment and Retention and HR Policies. A copy of the Internal Auditor's report is included within the Board's papers.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Board:-
- i) Endorse this report as the formal response to the Internal Auditor's report No. 2021/02.
 - ii) Instruct the Bridge Manager to implement the Internal Auditor's recommendation as noted in paragraph 5.2.

3.0 FINANCIAL IMPLICATIONS

- 3.1 There are no financial implications associated with this report.

4.0 BACKGROUNDIntroduction

- 4.1 The Board's Internal Audit Needs Assessment and Strategic Plan 2019 – 2022 (Report No. 2020/01) is reviewed at least annually by Senior Management in conjunction with Henderson Loggie to take account of any changes in the Board's risk profile. This 2020/21 review is reported in Henderson Loggie's Internal Audit Annual Plan 2020/21 (Report No. 2021/01) and identified Staff Recruitment and Retention and HR Policies as an area of risk to the Board. Review of this area of risk was carried out by Henderson Loggie in November 2020 to obtain reasonable assurance that the related control environment is operating effectively, ensuring risk is maintained at a reasonable level.

5.0 REPORT**5.1 Internal Auditor's Report 2021/02**

Overall the report concluded that the systems met control objectives and provided a good level of assurance. There is one priority 3 recommendation (minor risk, that if addressed, will enhance efficiency and awareness) in relation to the staff appraisal process. The report observed "issues relating to long-term staff sickness absences and the impact of COVID-19, has resulted in the staff annual appraisal process not operating in line with the Board's procedures during the last 12 months. The Board is currently liaising with a similar organisation to share good practice and understand

how it has adapted its staff appraisal procedures during the pandemic and is aiming to re-establish the process for 2021/22.”

- 5.2 To address the Internal Auditor’s recommendation, the Bridge Manager has agreed to monitor Scottish Government advice in relation to COVID-19 restrictions and, when safe and practicable to do so, will reintroduce the formal staff appraisal process as early as possible, currently predicted to be in 2021.

6.0 POLICY IMPLICATIONS

- 6.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

7.0 CONSULTATION

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

8.0 BACKGROUND PAPERS

- 8.1 None.

ALAN HUTCHISON
BRIDGE MANAGER
19 NOVEMBER 2021

Tay Road Bridge Joint Board

Staff Recruitment and Retention / HR Policies

Internal Audit Report No: 2021/02

Draft issued: 19 November 2020

Final issued: 19 November 2020

LEVEL OF ASSURANCE

Good

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Level of Assurance

In addition to the grading of individual recommendations in the action plan, audit findings are assessed and graded on an overall basis to denote the level of assurance that can be taken from the report. Risk and materiality levels are considered in the assessment and grading process as well as the general quality of the procedures in place.

Gradings are defined as follows:

Good	System meets control objectives.
Satisfactory	System meets control objectives with some weaknesses present.
Requires improvement	System has weaknesses that could prevent it achieving control objectives.
Unacceptable	System cannot meet control objectives.

Action Grades

Priority 1	Issue subjecting the organisation to material risk and which requires to be brought to the attention of management and the Joint Board.
Priority 2	Issue subjecting the organisation to significant risk and which should be addressed by the Bridge Manager.
Priority 3	Matters subjecting the organisation to minor risk or which, if addressed, will enhance efficiency and effectiveness.

Management Summary

Overall Level of Assurance

Good	System meets control objectives.
-------------	----------------------------------

Risk Assessment

This review focused on the controls in place to mitigate the following risks on the Tay Road Bridge Joint Board's ('the Board') Risk Register:

10 - Lack of staff resources: - Pandemic, Industrial Action, Recruitment problems (risk rating: low)

Background

As part of the Internal Audit programme at the Board for 2020/21 we carried out a review of the Board's staff recruitment and retention arrangements, including relevant Human Resources (HR) policies. Our Audit Needs Assessment identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Joint Board and to the Bridge Manager that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

Recruitment and retention of key staff is of vital importance. The Board must ensure that it has the organisational capacity to implement its strategic plans and make full use of the abilities of its staff. It should therefore explicitly relate its staffing requirements to its strategic and operational objectives in terms of numbers, skills, knowledge, deployment, structure, etc. Staff should know what is expected of them; their performance should be regularly assessed; and they should be assisted in improving their performance and contribution to the Board's objectives through learning and development opportunities.

Scope, Objectives and Overall Findings

The scope of this audit was to consider whether the Board is making best use of its staff and include a high-level review of workforce planning; training; and succession planning.

The table below notes the objectives for this review and records the results:

Objective		Findings		
The objectives of this audit were to obtain reasonable assurance that:		1	2	3
1. The Board has a systematic approach for ensuring that its staff resources match identified need in order to deliver planned commitments. Where gaps are identified, timely action is taken to close these gaps.	Good	0	0	0
2. A systematic process is used for providing feedback to staff on performance and agreeing action to improve performance, where necessary.	Satisfactory	0	0	1
3. The Board's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.	Good	0	0	0
4. The Board has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.	Good	0	0	0
5. HR policies and related procedures for the recruitment and selection of staff comply with employment and equalities legislation.	Good	0	0	0
Overall Level of Assurance	Good	0	0	1
		System meets control objectives		

Audit Approach

The Bridge Manager was interviewed, and the Board's policies, procedures and structure were reviewed, to assess compliance with the above objectives.

Summary of Main Findings

Strengths

- The Board provides a range of learning and development opportunities for staff.
- Staff have access to a suite of online training material which provides them with flexible opportunities for learning and development.
- The Board's approach to training is informed by an assessment of where there are skills / knowledge / performance gaps, with appropriate review and authorisation of training provision to ensure that it is appropriate.
- Training needs are assessed annually as part of the Employee Performance and Development Review and after completion of each individual element of training through the use of evaluation forms.
- The Board's Recruitment and Selection procedures are adequate and demonstrate that the Board has a clear and robust recruitment process, which meets the relevant requirements of employment and equalities legislation.

Weaknesses

- Issues relating to long-term staff sickness absences and the impact of COVID-19, has resulted in the staff annual appraisal process not operating in line with the Board's procedures during the last 12 months. The Board is currently liaising with a similar organisation to share good practice and understand how it has adapted its staff appraisal procedures during the pandemic and is aiming to re-establish the process for 2021/22.

Acknowledgements

We would like to take this opportunity to thank the staff at the Board who helped us during our audit visit.



Main Findings and Action Plan

Objective 1: The Board has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments

Our review identified that although there is no formal skills database currently in place, we noted that there are alternative processes which ensure that staff resources are available to meet commitments.

There is an approved establishment list and staffing budgets are based on approved posts. The Bridge Manager manages recruitment in line with available budgets and any formal approvals for the creation of new posts. Management monitor staff numbers to ensure that sufficient resources are attached to each service area to ensure that operational commitments and service levels can be met. Skills gaps are filled either through redeployment of staff from other service areas; by supporting staff through further training; or through external recruitment in line with the staff budget model. In recent years, the Board has undertaken a re-organisation to ensure that the right staffing structure and capabilities are in place to meet the Board's needs going forward and to address succession planning needs.

Staff Recruitment and Retention / HR Policies

Objective 2: A systematic process is used for providing feedback to staff on performance and agreeing action to improve performance where necessary.

During discussion with the Administration Officer we identified that each member of staff should undergo an annual Employee Performance and Development Review (EPDR) with their line manager to agree objectives for the upcoming period, to discuss performance against the previous year's objectives and to identify training and development needs. Performance and training objectives are then agreed for the following 12-month period.

We noted that the Bridge Manager is in the process of reviewing how the appraisal process is delivered, and has been liaising with a similar organisation (based in England) to share good practice and experiences during the pandemic, with a view to delivering improvements in this area. It is also anticipated that a senior post will become available at the Board in February 2021 through retirement and this will provide the opportunity to revisit and refine the process to deliver more effective staff reviews for the year 2021/22 and beyond.

Observation	Risks	Recommendation	Management Response	
<p>The last cycle of appraisals was undertaken by the Bridge Manager in December 2019 for employees at Supervisory level. However, due to an extended period of sickness absence shortly thereafter, the Bridge Manager was unable to formalise the completion of appraisals. This was then further disrupted due to the COVID-19 national lockdown in March 2020, which resulted in the annual appraisal process not operating as per the Board's procedures for staff in other areas, with the exception of staff within the Maintenance Team who had appraisals undertaken with the Transport and Works Manager.</p> <p>Despite the weaknesses identified above, we did note that, due to the relatively small number of staff at the Board (20 employees), management are able to engage with staff on a daily basis and development and training needs are regularly discussed on an informal basis with training matrices developed which identify staff training requirements and record delivery.</p>	<p>If appraisals are not carried out on an annual basis as planned, opportunities to assess performance and employee objectives, as well as set new aims and objectives for the coming year are lost. This may also result in loss of opportunity for one-to-one communication as well as establishing any training development needs.</p>	<p>R1 Steps should be taken to ensure that the staff appraisals process is re-established at the earliest opportunity, as the easing of COVID-19 restrictions allow, to prevent any further delay and potential disruption to staff development and training activity.</p>	<p>The Bridge Manager has agreed to monitor Scottish Government advice in relation to COVID-19 restrictions and, when safe and practicable to do so, will reintroduce the formal staff appraisal process as early as possible, currently predicted to be in 2021.</p> <p>To be actioned by: Bridge Manager</p> <p>No later than: As soon as practicable and safe in relation to COVID-19 pandemic restrictions. Predicted 2021.</p>	
			Grade	3

Staff Recruitment and Retention / HR Policies

Objective 3: The Board's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.

All new starts undergo a standard induction as documented in the Staff Induction Policy and Staff Induction checklist. These documents set out the aim of the induction process for new members of staff, as well as how new staff should familiarise themselves with the Board's procedures, working environment and introduction to new colleagues. This process is completed within the first two weeks of the employee starting with the Board.

The Board makes use of e-learning modules, which must be completed by all new staff, and these are then recorded on employee training records alongside the completion of the induction training.

As discussed above, EPDRs should be conducted by the Bridge Manager on an annual basis and during this process any additional training needs can be identified. In addition to this process, there is ongoing informal discussion between staff and management which helps to identify any gaps in knowledge or skills as well as any training needs.

Employees are required to complete refresher training in key areas (e.g. Health & Safety, Manual Handling, Samaritans/Safetalk training) every 3 to 5 years dependent on the field of training and regulatory requirements. Training matrices are in place for employees in all areas including administrative, operational and maintenance, which provide a record of all training undertaken and additional, job specific training required for each employee. The last date of completion and the date that refresher training is next due is captured on a training matrix for all employees. This document is then used to monitor staff refresher training requirements.

Objective 4: The Board has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.

The Board evaluates the training provided to its staff on an ongoing basis by requesting feedback from staff after they attend all training events/courses. This feedback is analysed to amend or improve future training events and ensure they remain suitable for the needs of their employees, as well as ensuring value for money is obtained.

The Bridge Manager also monitors the induction, job specific and refresher training provided to all staff to ensure completion and appropriateness.

Discussions with the Administration Officer, and review of EPDR procedures, identified that there is a formal process for evaluating the impact of previous training provided on staff performance through the EPDR process and also informally through regular discussion and meetings held with staff.

Staff Recruitment and Retention / HR Policies

Objective 5: HR policies and related procedures for the recruitment and selection of staff comply with employment and equalities legislation.

Staff recruitment for the Board is undertaken in co-ordination with Dundee City Council's Talentlink service.

The recruitment process was discussed with the Administration Officer, and the procedures were reviewed, which include:

- vacancies are uploaded to the Dundee City Council's TalentLink service. Once approved, these are then advertised on MyJobScotland and the Board's website.
- a Job Information Pack, including job profile and personal specification, is provided to applicants.
- an Application pack is issued which contains instructions to applicants on how to complete the application, a standard application form and an Equality and Diversity questionnaire.
- the Bridge Manager and Maintenance Manager shortlist application forms through the TalentLink service with names, gender, age, etc. removed to prevent bias in the selection process.
- candidates are invited to interview which is arranged through the TalentLink service where further instruction is provided and interviews are then conducted by the Bridge Manager and Maintenance Manager.
- a scoring system, based on guidance provided by Dundee City Council's HR team, is used to evaluate candidates who are then notified of outcomes via the TalentLink service.
- once references, and where applicable, medical reports have been approved, an appointment letter is sent to the successful candidate.

Through our review of the recruitment procedures, we have concluded that the Board has a clear and robust recruitment process which satisfies the relevant employment and equalities requirements. No issues regarding non-compliance of the relevant aspects of the Equality Act 2010 were noted during our review.

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ITEM No ...8.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: REQUEST TO CHANGE JOB TITLE

REPORT BY: THE BRIDGE MANAGER

REPORT NO: TRB 26-2020

1.0 PURPOSE OF REPORT

- 1.1 To request Board approval to change the name of the current Maintenance and Operations Manager's job title.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Board accept the Bridge Manager's request to change the title of the post of Maintenance and Operations Manager to Deputy Bridge Manager (Engineering and Maintenance).

3.0 FINANCIAL IMPLICATIONS

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

4.0 BACKGROUND

- 4.1 The bridge manager would like to inform the Board that the current Maintenance and Operations Manager will be retiring in January 2021
- 4.2 The bridge manager intends to appoint a successor to undertake all the current duties of the Maintenance and Operations Manager and to advertise this post in December 2020.
- 4.3 The bridge manager requests the Board's approval to take this opportunity to change the title of the post from Maintenance and Operations Manager to Deputy Bridge Manager (Engineering and Maintenance).
- 4.4 This change does not alter any of the duties or expectations of the post. The change is proposed to help ensure that the job title is more reflective of the duties and responsibilities of the post, and to make sure that it reaches as wide an audience of appropriately qualified individuals as possible, because it will align with relevant "search" metrics used by My Job Scotland. The title change will also be attractive to ambitious and dedicated individuals as it clearly demonstrates a succession plan.

5.0 POLICY IMPLICATIONS

- 5.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

6.0 CONSULTATION

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

7.0 BACKGROUND PAPERS

7.1 None.

**ALAN HUTCHISON
BRIDGE MANAGER
27 NOVEMBER 2020**

ITEM No ...9.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: REVENUE MONITORING – 7 MONTHS TO 31 OCTOBER 2020

REPORT BY: THE TREASURER

REPORT NO: TRB 17-2020

1.0 PURPOSE OF REPORT

- 1.1 The purpose of this report is to appraise Board Members of the latest position regarding the Joint Board's 2020/2021 Revenue Budget.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Joint Board note the content of this Revenue Monitoring Report as at 31 October 2020.

3.0 FINANCIAL IMPLICATIONS

- 3.1 The 2020/2021 Revenue Budget predicted a break-even position (see Report 28-2019). The current outturn position for the financial year 2020/2021 is projecting a break-even position based on the financial information available at 31 October 2020 (as detailed in Appendix A).
- 3.2 Following the removal of tolls the Board's Revenue Expenditure is now financed by an annual Revenue Grant from Scottish Government.
- 3.3 During 2019, Transport Scotland's Internal Audit conducted a review of their management of grant funding arrangements which included their administration of grant payments to and carry forward requests from the Joint Board. One of the recommendations of this review was that monthly grant claims now have to be submitted based on actual net expenditure. This results in a projected Revenue Grant carried forward into 2021/2022 of £nil.
- 3.4 The projected break-even position, if it materialised, would result in a General Fund Reserve of £1,160,591 at 31 March 2021. This level of retained reserves is subject to negotiation with the Scottish Government.
- 3.5 Following an External Audit recommendation, the Board's Strategic Plan 2019 to 2024 (TRB 28-2018) was approved by the Board with the aim of demonstrating the link between the budgets and financial performance reporting against the strategic objectives. Appendix B links the current year's gross expenditure to each of the Board's five strategic objectives.
- 3.6 Details of current variances against budget headings are detailed below.
- 3.7 An underspend of £2,000 is projected in relation to Administration Staff Costs. This is due to the reduction of training programmes as a result of Covid 19.
- 3.8 An overspend of £7,000 is projected in relation to Administration Supplies and Services. This is due to insurance premiums being higher than anticipated due to re-negotiation process (see TRB 13-2020).
- 3.9 An underspend of £25,000 is projected in relation to Operations Staff Costs. This is due to a saving of £21,000 on salary costs due to a long-term absence and a newly vacant post remaining unfilled and lower than anticipated expenditure of £10,000 due to the reduction of training programmes as a result of Covid 19. These are offset by a projected £6,000 overspend on overtime to cover long-term and Covid 19 related absences.

- 3.10 An underspend of £22,000 is projected in relation to Plant and Equipment Supplies and Services. This is due to a £16,000 saving in relation to the hire of the safety boat as the start date of the six-month contract period was delayed from the beginning of April until mid-June due to the Covid 19 lockdown resulting in no capital works during this period. This means that the end date of the contract will be extended by approximately ten weeks resulting in there being limited requirement for the additional ad-hoc cover period of five weeks that is included in the budget for provision of safety boat cover. There is also a £6,000 saving in relation to equipment maintenance, equipment purchases and materials on the gantries as there are ongoing capital works.
- 3.11 An underspend of £4,000 is projected in relation to Plant and Equipment Third Party Payments due to savings on contractor costs and principal inspections on the gantries as a result of ongoing capital works.
- 3.12 An underspend of £38,000 is projected in relation to Bridge Maintenance Staff Costs. This is due to a £32,000 saving in relation to a vacant post and lower than anticipated expenditure of £6,000 due to the reduction of training programmes as a result of Covid 19.
- 3.13 An underspend of £5,000 is projected in relation to Bridge Maintenance Third Party Payments due to savings on Miscellaneous Inspections and Reports.
- 3.14 Reduced income of £89,000 is projected in relation to Scottish Government Revenue Grant. This is due to a change in the process for receiving this grant since October 2019 with monthly grant applications now being made on the basis of actual expenditure incurred (see TRB20-2019).

4.0 RISK ASSESSMENT

- 4.1 In preparing the Board's Annual Revenue Budget (see Report TRB 28-2019), 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; and
 - the possibility of identifying new income streams during the year.

5.0 POLICY IMPLICATIONS

- 5.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

6.0 CONSULTATIONS

- 6.1 The Clerk, Bridge Manager and the Engineer to the Board have been consulted in the preparation of this report and are in agreement with the contents.

7.0 BACKGROUND PAPERS

- 7.1 None

GREGORY COLGAN
TREASURER

27 NOVEMBER 2020

TAY ROAD BRIDGE JOINT BOARD

REVENUE MONITORING AS AT 31 OCTOBER 2020

	Revenue Budget 2020/21 £	Expenditure to 31 Oct 2020 £	Final Projection 2020/21 £	Variance from Budget £	Paragraph Reference
EXPENDITURE					
<u>Administration</u>					
Staff Costs	189,544	106,246	187,544	(2,000)	3.7
Property Costs	30,650	14,428	30,650	-	
Supplies and Services	132,088	104,754	139,088	7,000	3.8
Transport Costs	300	-	300	-	
Third Party Payments	108,135	55,914	108,135	-	
	460,717	281,342	465,717	5,000	
<u>Operations</u>					
Staff	512,212	295,598	487,212	(25,000)	3.9
Supplies & Services	8,400	5,461	8,400	-	
	520,612	301,059	495,612	(25,000)	
<u>Plant and Equipment</u>					
Property	22,000	14,440	22,000	-	
Supplies & Services	161,500	79,883	139,500	(22,000)	3.10
Transport	33,100	18,350	33,100	-	
Third Party Payments	7,750	-	3,750	(4,000)	3.11
	224,350	112,673	198,350	(26,000)	
<u>Bridge Maintenance</u>					
Staff	302,175	141,736	264,175	(38,000)	3.12
Property	26,000	10,707	26,000	-	
Supplies & Services	49,750	6,861	49,750	-	
Transport	200	3	200	-	
Third Party Payments	21,200	28,250	16,200	(5,000)	3.13
	399,325	187,557	356,325	(43,000)	
GROSS EXPENDITURE	1,605,004	882,631	1,516,004	(89,000)	
INCOME					
Scottish Government Revenue Grant	1,588,891	690,136	1,499,891	(89,000)	3.14
Interest on Revenue Balances	5,500	20	5,500	-	
Kiosk Rent	10,213	5,106	10,213	-	
Miscellaneous	400	82	400	-	
GROSS INCOME	1,605,004	695,344	1,516,004	(89,000)	
TOTAL NET DEFICIT / (SURPLUS) MET FROM GENRAL RESERVE BALANCES	-	187,287	-	-	

APPENDIX B**LINKING THE 2020/2021 REVENUE BUDGET MONITORING TO THE BOARD'S STRATEGIC OBJECTIVES**

	Strategic Objective	2020/2021 Budget £	Expenditure to 31 Oct 2020 £	2020/2021 Projected £
1	Meeting User Expectations	859,207	525,907	857,207
2	Fiscally Sustainable	86,385	55,314	86,385
3	Transparent Governance and Clear Decision-Making Processes	19,237	-	19,237
4	A Modern, Diverse and Well-Trained Workforce	22,500	1,180	4,500
5	Quality and Standards	<u>617,675</u>	<u>300,230</u>	<u>548,675</u>
	TOTAL GROSS EXPENDITURE	<u>1,605,004</u>	<u>882,631</u>	<u>1,516,004</u>

ITEM No ...10.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 7 DECEMBER 2020

REPORT ON: CAPITAL MONITORING - 7 MONTHS TO 31 OCTOBER 2020

REPORT BY: THE TREASURER

REPORT NO: TRB 18-2020

1.0 PURPOSE OF REPORT

- 1.1 The purpose of this report is to appraise Board Members of the latest position regarding the Joint Board's 2020/2021 Capital Plan.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Joint Board note the content of this Capital Monitoring Report as at 31 October 2020.

3.0 FINANCIAL IMPLICATIONS

- 3.1 The Joint Board's 2020/2021 Capital Expenditure Programme of £1,475,000 was approved by the Board on 2 December 2019 (Report TRB 29-2019). From 1 April 2008 the Board's Capital Expenditure projects are being financed through Scottish Government Capital Grant.
- 3.2 The capital outturn for the financial year 2020/2021 (as detailed in Table 1 on Appendix A) is projected to be £1,046,000 (i.e. a net decrease of £429,000 from the originally approved budget) based on the financial ledger information up to 31 October 2020 and this will be funded from 2020/2021 Capital Grant of £1,046,000.
- 3.3 An explanation of the major variances is shown in section 4 of the report.
- 3.4 During 2019, Transport Scotland's Internal Audit conducted a review of their management of grant funding arrangements which included their administration of grant payments to and carry forward requests from the Joint Board. One of the recommendations of this review was that monthly grant claims now have to be submitted based on actual net expenditure. This results in a projected Capital Grant carried forward into 2021/2022 of £nil.
- 3.5 Following an External Audit recommendation, the Board's Strategic Plan 2019 to 2024 (TRB 28-2018) was approved by the Board with the aim of demonstrating the link between the budgets and financial performance reporting against the strategic objectives. Appendix B links the current year's gross expenditure to each of the Board's five strategic objectives.

4.0 REASONS FOR CAPITAL EXPENDITURE NET DECREASE

4.1 The main reasons for the net decrease of £429,000 can be summarised as follows:

	£000
<u>Slippage from 2019/2020:</u>	
Carriageway Resurfacing	42
Bridge Office Refurbishment	295
Lift Replacement	4
New Switch Gear	3
<u>Budget Adjustments:</u>	
Carriageway Resurfacing	(42)
Inspection to Columns and Piers	(26)
Replacement of Expansion Joints	5
Bridge Office Refurbishment	(72)
New Gantries	100
Scour Protection	(25)
New Switch Gear	12
<u>Slippage into 2021/2022:</u>	
Carriageway Resurfacing	(100)
CP Hardware	(225)
New Gantries	(175)
Fife Landfall Improvements	(200)
Paintwork to Box Girders	(25)
Total Budget Adjustments	(429)

4.2 Due to the Covid 19 pandemic a full review of the long-term Capital Plan was conducted in order to inform the operational and financial requirements in the short- to medium-term. This review was shared with Transport Scotland as it informs the Scottish Government's Spending Review.

4.3 Details of current capital works and the main reasons for movements on each project are:

4.4 Carriageway Resurfacing: The original 2020/2021 budget was £200,000. The tender report for the appointment of a consulting engineer informed the outturn position (see Engineering Works report TRB 16-2019 and Tender Report TRB 32-2019 at December 2019 Board). Expenditure in 2019/2020 was £10,000 with an additional £42,000 slippage into 2020/2021. The revised budget for 2020/2021 is anticipated to be £100,000 with slippage of £100,000 into 2021/2022.

4.5 Cathodic Protection (CP) Hardware: The original 2020/2021 budget was £250,000 for the replacement of CP hardware at the base of the columns. The majority of this project is projected to slip into 2021/2022, resulting in a revised budget of £25,000 for an external consultant's report.

4.6 Inspection of Columns and Piers: The original 2020/2021 budget was £250,000. The tender report to the March 2020 Board (TRB 5-2020) informs the outturn position of £224,000.

4.7 Replacement of Expansion Joints: The original 2020/2021 budget of £25,000 has been revised upwards to £30,000 to take account of anticipated works.

4.8 Bridge Office Refurbishment: The original 2020/2021 budget was £200,000. The Tender report for the programmed works (Report TRB 33-2019) anticipated total expenditure of

£686,000. Expenditure in 2019/2020 was £263,000 resulting in a revised budget for 2020/2021 of £423,000. The slippage of works from 2019/2020 was due to delays in starting the contract and the Covid 19 lockdown period.

- 4.9 New Gantries: The original 2020/2021 budget was £175,000, this is for the start of the main works to replace the gantries and has slipped into 2021/2022 and future years. The tender report for the appointment of a consulting engineer informs the outturn position (see Engineering Works report TRB 16-2019 and Tender Report TRB 32-2019 at December 2019 Board), this is anticipated to be £100,000 in 2020/2021.
- 4.10 Scour Protection: The original 2020/2021 budget was £25,000. This project will not take place this year so the revised budget has been reduced to £nil.
- 4.11 Fife Landfall Improvements: The original budget was £200,000. Due to the rescheduling of capital works as a result of Covid 19 these works have slipped into 2021/2022 and future years.
- 4.12 Paintwork to Box Girders: The original 2020/2021 budget was £25,000. This is not anticipated to be spent so the revised budget has been reduced to £nil.
- 4.13 Gantry Miscellaneous: The original 2020/2021 budget of £25,000 is projected to be spent.
- 4.14 Miscellaneous Projects: The original 2020/2021 budget of £100,000 is projected to be spent.
- 4.15 Lift Replacement: The retention payment of £4,000 which was due in 2019/2020 slipped into 2020/2021.
- 4.16 New Switch Gear: The retention payment of £3,000 which was due in 2019/2020 slipped into 2020/2021. Additional works in relation to safety screens totalling £12,000 have also been scheduled for 2020/2021.

5.0 RISK ASSESSMENT

- 5.1 There are a number of risks which may have an impact on the Capital expenditure programme. 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 are volatile, and 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 wherever possible.
- 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.
- 5.7 The level of Capital Grant received from the Scottish Government may be impacted by budgetary constraints in future financial statements.

6.0 CONCLUSION

- 6.1 The Board's 2020/2021 capital programme is showing a projected capital spend of £1,046,000 which will be funded from the current year's Scottish Government grant.
- 6.2 The 2020/2021 capital expenditure programme will continue to be monitored on a regular basis throughout the remainder of the current financial year.

7.0 POLICY IMPLICATIONS

- 7.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

8.0 CONSULTATIONS

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

9.0 BACKGROUND PAPERS

- 9.1 None.

GREGORY COLGAN
TREASURER

12 NOVEMBER 2020

TAY ROAD BRIDGE JOINT BOARD

APPENDIX A

TABLE 1: CAPITAL EXPENDITURE MONITORING - 7 MONTHS TO 31 OCTOBER 2020

<u>Expenditure</u>	<u>Strategic Objective</u>	<u>Capital Budget 2020/21 £000</u>	<u>Slippage from 2019/20 £000</u>	<u>Budget Adjust £000</u>	<u>Slippage into 2021/22 £000</u>	<u>Revised Capital Budget 2020/21 £000</u>	<u>Actual to 31 Oct 2020 £000</u>	<u>Projected Outturn 2020/21 £000</u>	<u>Variance from Budget £000</u>
									-
Carriageway Resurfacing	1	200	42	(42)	(100)	100	-	100	-
CP Hardware	5	250	-	-	(225)	25	-	25	-
Inspection of Columns & Piers	5	250	-	(26)	-	224	38	224	-
Replacement of Expansion Joints	1	25	-	5	-	30	7	30	-
Bridge Office Refurbishment	5	200	295	(72)	-	423	262	423	-
New Gantries	5	175	-	100	(175)	100	-	100	-
Scour Protection	5	25		(25)	-	-	-	-	
Fife Landfall Improvements	5	200	-	-	(200)	-	-	-	
Paintwork to Box Girders	5	25	-	-	(25)	-	-	-	
Gantry – Miscellaneous	5	25	-	-	-	25	-	25	
Miscellaneous Projects	5	100	-	-	-	100	(5)	100	
Lift Replacement	1	-	4	-	-	4	-	4	-
New Switch Gear	5	-	3	12	-	15	1	15	-
Total Gross Expenditure		<u>1,475</u>	<u>344</u>	<u>(48)</u>	<u>(725)</u>	<u>1,046</u>	<u>303</u>	<u>1,046</u>	<u>-</u>
Funded by:		<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 2020/2021		1,475	344	(48)	(725)	1,046	153	1,046	-
Total Funding		<u>1,475</u>	<u>344</u>	<u>(48)</u>	<u>(725)</u>	<u>1,046</u>	<u>153</u>	<u>1,046</u>	<u>-</u>

TABLE 2: Unapplied Capital Grant Projected Carry Forward:

	<u>£000</u>
Unapplied Capital Grant Brought Forward	184
<u>Add:</u> Projected Capital Grant Received 2020/2021	1,046
<u>Less:</u> Projected Capital Grant Utilised 2020/2021	(1,046)
<u>Less:</u> Repayment of Unapplied Capital Grant Brought Forward from Previous Years	(184)
Unapplied Capital Grant Carried Forward to 2021/2020	<u>-</u>

LINKING THE 2020/2021 CAPITAL BUDGET MONITORING TO THE BOARD'S STRATEGIC OBJECTIVES

Strategic Objective		<u>Capital Budget 2020/2021 £000</u>	<u>Revised Capital Budget 2020/2021 £000</u>	<u>Actual Expenditure to 31 Oct 2020 £000</u>	<u>2020/2021 Projected £000</u>
1	Meeting User Expectations	225	134	7	134
2	Fiscally Sustainable	-	-	-	-
3	Transparent Governance and Clear Decision-Making Processes	-	-	-	-
4	A Modern, Diverse and Well-Trained Workforce	-	-	-	-
5	Quality and Standards	<u>1,250</u>	<u>912</u>	<u>296</u>	<u>912</u>
TOTAL GROSS EXPENDITURE		<u>1,475</u>	<u>1,046</u>	<u>303</u>	<u>1,046</u>

ITEM No ...11.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD - 7 DECEMBER 2020

REPORT ON: REVENUE BUDGET 2021/2022 TO 2023/2024

JOINT REPORT BY: TREASURER AND BRIDGE MANAGER

REPORT NO: TRB 19-2020

1.0 PURPOSE OF REPORT

- 1.1 To appraise Board Members on the proposed Tay Road Bridge Revenue Budget for the financial years 2021/2022 to 2023/2024.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Board approve the Revenue Budget for 2021/2022 subject to confirmation of grant funding by the Scottish Government and note the provisional Revenue Budget for 2022/2023 and 2023/2024.

3.0 FINANCIAL IMPLICATIONS

- 3.1 The Board's 2021/2022 Revenue Budget shows a break-even position which is arrived at after assuming receipt of a Resource Grant from the Scottish Government of £1,606,327. The General Fund Reserve balance is projected to be £1,160,591 as at 31 March 2022.

4.0 REVENUE BUDGET 2021/2022 TO 2023/2024

- 4.1 The budget for staff costs includes an estimated provision for the pay award of 2% for each of the financial years 2021/2022, 2022/2023 and 2023/2024. The budget also takes into consideration the effects of staff turnover whereby leavers who were employed at the top of their salary scales have been replaced by new starters who are employed at the lowest increment on the salary scale. It also takes into account the increased Scottish Living Wage.
- 4.2 The triennial actuarial valuation of the Tayside Pension Fund was carried out in 2020 and will take effect from 1 April 2021. This valuation exercise resulted in an unchanged employer's contribution rate of 17%.
- 4.3 No general inflationary increase on non-staff costs has been allowed for in the 2021/2022 Revenue Budget. A 1% general inflationary increase on non-staff costs have been allowed for in 2022/2023 and 2023/2024 and specific allowances have been made for anticipated increases or decreases in individual budgets.
- 4.4 The three yearly Revenue Budget has been prepared in accordance with previous years' budgets. A copy of the detailed Revenue Budget 2021/2022 to 2023/2024 is enclosed at Appendix A.
- 4.5 Following an External Audit recommendation, the Board's Strategic Plan 2019 to 2024 (TRB 28-2018) was approved by the Board with the aim of demonstrating the link between the budgets and financial performance reporting against the strategic objectives. Appendix B links the gross expenditure of the Revenue Budget 2021/2022 to 2023/2024 to each of the Board's five strategic objectives.
- 4.6 The Scottish Government's Comprehensive Budget announcement will be on 28 January 2021. However, indicative discussions with Transport Scotland suggest that the level of

funding will remain constant for 2021/2022. However, there is no guarantee that this level of funding will be maintained in future years.

5.0 RESERVES AND BALANCES

5.1 Section 12(1) of the Local Government in Scotland Act 2003 states that "It is the duty of a local authority to observe proper accounting practices". CIPFA have previously issued guidance on Local Authority Reserves and Balances (including updates in November 2008 and July 2014), and this guidance is considered to constitute proper accounting practice. The key requirements of the guidance, as they affect the Board, are two-fold:

- i the setting out of a clear protocol covering the purpose, utilisation, management, control and review of reserves and balances.
- ii the inclusion in the annual budget report of a statement on reserves and balances detailing the proposed strategy over the budget period, after taking into account the strategic, operational and financial risks facing the Board.

5.2 The Board agreed report TRB 25-2009 Guidance on Reserves and Balances on 14 December 2009. This report included a protocol for the operation of the Board's Reserves and Balances, thereby addressing the first key requirement detailed in paragraph 5.1 above. The proposed protocol includes the following element which in itself addresses the second key requirement detailed in paragraph 5.1 above:

In the Annual Budget report that is considered by the Board, the Treasurer shall include the following:

- i a note highlighting the estimated opening and closing General Reserve balances for the financial year ahead.
- ii a note advising as to the adequacy of the General Reserve balances over the budget period(s) under consideration, after taking into account the strategic, operational and financial risks facing the Board.
- iii a note reporting on the annual review of earmarked Reserves.

5.3 In accordance with the element of the proposed protocol that relates to the annual budget report, the following statements are made by the Treasurer:

- i The Board's Revenue Expenditure is fully funded by grant and any underspend achieved will result in unspent grant being repaid or carried forward, with the agreement of the Scottish Government, to fund future years' Revenue Expenditure. The 2020/2021 Revenue monitoring currently projects a break-even position. Taking the above factors into account, the level of Revenue Grant Balance carried forward at 31 March 2021 is projected to be £nil.

The Board's Audited Statement of Accounts 2019/2020 showed a General Reserve Balance of £1,160,591 at 31 March 2020.

The level of uncommitted General Reserve Balances at 31 March 2021 is estimated at £1,160,591. There are no further known expenditure commitments or additional income that would materially affect this projected balances figure.

- ii after taking into account the strategic, operational and financial risks facing the Board it is considered that the minimum level of uncommitted balances that the Board should maintain is £800,000 in order to provide a contingency against unexpected events and to also act as a working balance to minimise overdraft positions resulting from uneven cash flows.

- iii the Board's earmarked reserve (i.e. the Capital Grants Unapplied Reserve) has been reviewed and is considered to be adequate for its intended purpose.

6.0 RISK ASSESSMENT

6.1 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.

6.2 The main risk factors considered were:

- the possibility of new cost pressures or responsibilities emerging during the course of the financial year.
- anticipated changes in service provision.
- the certainty of significant income streams.
- the inherent uncertainty surrounding matters such as interest rates and price inflation.
- the possibility of major items of unforeseen expenditure.
- the possibility of identifying further budget savings and efficiencies, if required.
- the adequacy of the Board's insurance arrangements.

6.3 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 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.

7.0 POLICY IMPLICATIONS

7.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

8.0 CONSULTATIONS

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

9.0 BACKGROUND PAPERS

9.1 None

GREGORY COLGAN
TREASURER

13 NOVEMBER 2020

REVENUE BUDGET 2021/2022 TO 2023/2024**APPENDIX A**

	2020/2021 Budget £	2020/2021 Projected £	2021/2022 Budget £	2022/2023 Budget £	2023/2024 Budget £
<u>Administration</u>					
Staff	189,544	187,544	191,072	194,892	198,791
Property	30,650	30,650	30,650	30,957	31,266
Supplies & Services	132,088	139,088	140,428	141,832	143,251
Transport	300	300	300	303	306
Third Party Payments	<u>108,135</u>	<u>108,135</u>	<u>110,146</u>	<u>112,349</u>	<u>114,596</u>
	<u>460,717</u>	<u>465,717</u>	<u>472,596</u>	<u>480,333</u>	<u>488,210</u>
<u>Operations</u>					
Staff	512,212	487,212	521,204	531,628	542,260
Supplies & Services	<u>8,400</u>	<u>8,400</u>	<u>8,400</u>	<u>8,484</u>	<u>8,569</u>
	<u>520,612</u>	<u>495,612</u>	<u>529,604</u>	<u>540,112</u>	<u>550,829</u>
<u>Plant & Equipment</u>					
Property	22,000	22,000	22,000	22,220	22,442
Supplies & Services	161,500	139,500	159,000	160,590	162,196
Transport	33,100	33,100	33,100	33,431	33,765
Third Party Payments	<u>7,750</u>	<u>3,750</u>	<u>7,750</u>	<u>7,828</u>	<u>7,906</u>
	<u>224,350</u>	<u>198,350</u>	<u>221,850</u>	<u>224,069</u>	<u>226,309</u>
<u>Bridge Maintenance</u>					
Staff	302,175	264,175	307,500	325,650	319,923
Property	26,000	26,000	26,000	26,260	26,523
Supplies & Services	49,750	49,750	49,750	50,248	50,750
Transport	200	200	200	202	204
Third Party Payments	<u>21,200</u>	<u>16,200</u>	<u>21,200</u>	<u>21,412</u>	<u>21,626</u>
	<u>399,325</u>	<u>356,325</u>	<u>404,650</u>	<u>423,772</u>	<u>419,026</u>
GROSS EXPENDITURE	<u>1,605,004</u>	<u>1,516,004</u>	<u>1,628,700</u>	<u>1,668,286</u>	<u>1,684,374</u>
<u>Income</u>					
Scottish Government Resource Grant	1,588,891	1,499,891	1,606,327	1,645,913	1,662,001
Interest on Revenue Balances	5,500	5,500	11,760	11,760	11,760
Kiosk Rent	10,213	10,213	10,213	10,213	10,213
Miscellaneous	<u>400</u>	<u>400</u>	<u>400</u>	<u>400</u>	<u>400</u>
GROSS INCOME	<u>1,605,004</u>	<u>1,516,004</u>	<u>1,628,700</u>	<u>1,668,286</u>	<u>1,684,374</u>
TOTAL NET DEFICIT / (SURPLUS) MET FROM GENERAL RESERVE BALANCES	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>

APPENDIX B**LINKING THE 2021/2022 TO 2023/2024 REVENUE BUDGET TO THE BOARD'S STRATEGIC OBJECTIVES**

Strategic Objective		2020/2021 Budget £	2020/2021 Projected £	2021/2022 Budget £	2022/2023 Budget £	2023/2024 Budget £
1	Meeting User Expectations	859,207	857,207	884,426	900,482	916,720
2	Fiscally Sustainable	86,385	86,385	87,896	89,654	91,447
3	Transparent Governance and Clear Decision Making Processes	19,237	19,237	19,378	19,766	20,161
4	A Modern, Diverse and Well Trained Workforce	22,500	4,500	16,500	28,665	16,832
5	Quality and Standards	<u>617,675</u>	<u>548,675</u>	<u>620,500</u>	<u>629,719</u>	<u>639,214</u>
TOTAL GROSS EXPENDITURE		<u>1,605,004</u>	<u>1,516,004</u>	<u>1,628,700</u>	<u>1,668,286</u>	<u>1,684,374</u>

ITEM No ...12.....

REPORT TO: TAY ROAD BRIDGE JOINT BOARD - 7 DECEMBER 2020

REPORT ON: CAPITAL PLAN 2021/2022 TO 2023/2024

REPORT BY: THE TREASURER

REPORT NO: TRB 20-2020

1.0 PURPOSE OF REPORT

- 1.1 The purpose of this report is to approve the Board's Capital Plan for the period 2021/2022 to 2023/2024 inclusive.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Board approve the Capital Plan as detailed in Appendix A of this report subject to confirmation of grant funding by the Scottish Government.

3.0 FINANCIAL IMPLICATIONS

- 3.1 The Abolition of Bridge Tolls (Scotland) Act 2008 received Royal Assent on 24 January 2008. From 1 April 2008 the Board's annual capital expenditure programme has been financed through a Scottish Government Capital Grant.

- 3.2 The revised capital programme and agreed capital grant funding which are highlighted in Appendix A, show planned expenditure and income as follows:

<u>Financial Year</u>	<u>Capital Budget £000</u>	<u>Grant Funding £000</u>
2021/2022	805	805
2022/2023	825	tbc
2023/2024	8,505	tbc

- 3.3 The Bridge Manager and the Engineer to the Board have prepared the 3 year Capital Plan which is detailed in Appendix A of this report.
- 3.4 Appendix A also shows the agreed capital grant funding from the Scottish Government and the respective funding deficits in each financial year which will need to be the subject of further discussions with the Scottish Government.
- 3.5 Following an External Audit recommendation, the Board's Strategic Plan 2019 to 2024 (TRB 28-2018) was approved by the Board with the aim of demonstrating the link between the budgets and financial performance reporting against the strategic objectives. Appendix B links the gross expenditure of the Capital Budget 2021/2022 to 2023/2024 to each of the Board's five strategic objectives.
- 3.6 The Scottish Government's Comprehensive Budget announcement will be on 28 January 2021. However, indicative discussions with Transport Scotland suggest that the funding requirement for 2021/2022 will be met. However, there is no guarantee that this level of funding will be maintained in future years.

4.0 RISK ASSESSMENT

- 4.1 There are a number of risks which may have an impact on the Capital Budget programme. The main areas of risk are set out below, together with the mechanisms in place to help mitigate these risks.
- 4.2 Construction cost inflation levels are volatile, and they can on occasion be relatively high in comparison to general inflation. This means that 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.
- 4.3 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 wherever possible.
- 4.4 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.
- 4.5 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.
- 4.6 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.
- 4.7 The level of Capital Grant received from the Scottish Government may be impacted by budgetary constraints in future financial statements.

5.0 POLICY IMPLICATIONS

- 5.1 This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

6.0 CONSULTATIONS

- 6.1 The Clerk, Bridge Manager and the Engineer to the Board have been consulted in the preparation of this report and are in agreement with the contents.

7.0 BACKGROUND PAPERS

- 7.1 None

GREGORY COLGAN
TREASURER

12 NOVEMBER 2020

TAY ROAD BRIDGE JOINT BOARD**PROPOSED CAPITAL EXPENDITURE PROGRAMME 2021/2022 - 2023/2024**

	<u>Strategic Objective</u>	<u>Projected Outturn 2020/21 £000</u>	<u>2021/22 £000</u>	<u>2022/23 £000</u>	<u>2023/24 £000</u>
<u>Project Title</u>					
Carriageway Resurfacing	1	100	100	100	3,600
CP Hardware	5	25	25	200	-
CP Replacement	5	-	-	25	2,000
Advanced Warning Signs	1	-	250	100	-
Inspection of Columns and Piers	5	224	-	-	-
Replacement of Expansion Joints	1	30	25	25	750
Bridge Office Refurbishment	5	423	-	-	-
New Vehicles	5	-	30	-	30
New Gantries	5	100	100	100	2,000
Fife Landfall Improvements	5	-	50	150	-
Paintwork to Box Girders	5	-	25	-	-
Gantry – Miscellaneous	5	25	25	25	25
Miscellaneous Projects	5	100	100	100	100
Lift Replacement	1	4	-	-	-
New Switch Gear	5	15	-	-	-
Dundee Compound Resurfacing	5	-	75	-	-
		<u>1,046</u>	<u>805</u>	<u>825</u>	<u>8,505</u>
<u>Funded by</u>					
Capital Grant		<u>1,046</u>	<u>805</u>	<u>tbc</u>	<u>tbc</u>
		<u>1,046</u>	<u>805</u>	<u>-</u>	<u>-</u>
<u>Additional Capital Funding Required</u>					
		<u>-</u>	<u>-</u>	<u>825</u>	<u>8,505</u>

LINKING THE 2021/2022 TO 2023/2024 REVENUE BUDGET TO THE BOARD'S STRATEGIC OBJECTIVES

	Strategic Objective	2020/2021 Projected £000	2021/2022 Budget £000	2022/2023 Budget £000	2023/2024 Budget £000
1	Meeting User Expectations	134	375	225	4,350
2	Fiscally Sustainable	-	-	-	-
3	Transparent Governance and Clear Decision-Making Processes	-	-	-	-
4	A Modern, Diverse and Well-Trained Workforce	-	-	-	-
5	Quality and Standards	<u>912</u>	<u>430</u>	<u>600</u>	<u>4,155</u>
	TOTAL GROSS EXPENDITURE	<u>1,046</u>	<u>805</u>	<u>825</u>	<u>8,505</u>