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# *TAY ROAD BRIDGE JOINT BOARD*

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

TO: ALL MEMBERS OF THE TAY  
ROAD BRIDGE JOINT BOARD

Date 27th February, 2023

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 6th March, 2023 at 10.00am.

The agenda and papers are enclosed.

Members of the Press or Public wishing to join the meeting should contact Committee Services on telephone (01382) 434211 or by email at [committee.services@dundeecity.gov.uk](mailto:committee.services@dundeecity.gov.uk) by no later than 12 noon on Friday 3rd March, 2023.

Please submit any apologies for absence to Elaine Doak, Committee Services Officer on telephone (01382) 434211 or email [elaine.doak@dundeecity.gov.uk](mailto:elaine.doak@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 5th December, 2022 is submitted for approval (copy attached).

**3 OPERATIONAL RESTRICTIONS AND CLOSURES - Page 3**

(Report No TRB3-2023 by the Bridge Manager, enclosed).

**4 NEOS FIBRE OPTIC CABLE - Page 11**

(Report No TRB7-2023 by the Bridge Manager, enclosed).

**5 RENEWAL OF CARRIAGEWAY SURFACING, DECK EXPANSION JOINTS, DECK WATERPROOFING AND ASSOCIATED CONCRETE REPAIRS - Page 13**

(Report No TRB6-2023 by the Engineer, enclosed).

**6 RESPONSE TO INTERNAL AUDITOR'S REPORT ON CORPORATE PLANNING -  
Page 15**

(Report No TRB4-2023 by the Bridge Manager, enclosed).

**7 RESPONSE TO INTERNAL AUDITOR'S REPORT ON HEALTH AND SAFETY - Page 29**

(Report No TRB5-2023 by the Bridge Manager, enclosed).

**8 REVENUE MONITORING – 10 MONTHS to 31ST JANUARY 2023 - Page 47**

(Report No TRB1-2023 by the Treasurer, enclosed).

**9 CAPITAL MONITORING – 10 MONTHS to 31ST JANUARY 2023 - Page 53**

(Report No TRB2-2023 by the Treasurer, enclosed).

**10 DATE OF NEXT MEETING**

The next meeting of the Joint Board will be held on Monday 12th June, 2023 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 5th December, 2022.

Present:-

Dundee City Council

Councillor Dorothy McHUGH  
Baillie Fraser MACPHERSON  
Councillor Steven ROME  
Councillor Wendy SCULLIN  
Councillor Lynne SHORT

Fife Council

Councillor Gary HOLT  
Councillor Jonny TEPP  
Councillor Ann VERNER

Angus Council

Councillor Kenny BRAES

Also Present (Officers):-

Gary BRADY (Engineer)  
Cameron GAIR (Transport Scotland)  
Andrew HERD (Transport Scotland)  
Alan HUTCHISON (Bridge Manager)  
Kenny McKAIG (for Clerk)  
Billy MINTO (Transport Scotland)  
John MOIR (for Treasurer)  
Ross REID (Audit Scotland)  
Richard SMITH (Audit Scotland)

Councillor Gary HOLT, Chairperson, in the Chair.

Apologies for absence were submitted on behalf of Councillor Craik, Councillor Kennedy-Dalby, Councillor Knox and Councillor Lynn.

**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 27th September, 2022 was submitted and approved.

**III                    OPERATIONAL RESTRICTIONS AND CLOSURES**

There was submitted Report No TRB31-2022 by the Bridge Manager appraising the Joint Board of the number and nature of operational restrictions and closures applied between 1st August to 31st October, 2022.

The Joint Board noted the content of the report as at 31st October, 2022.

The Chair, on behalf of the Joint Board, asked for thanks to be passed on to the Bridge staff and Tayside Contracts for dealing with a recent incident on the Bridge timeously and professionally.

#### **IV HEALTH & SAFETY MONITORING 2022**

There was submitted Report No TRB32-2022 by the Bridge Manager appraising the Joint Board of performance relating to Health & Safety in 2022.

The Joint Board noted the outcomes and agreed to findings of the review in paragraph 4.4 of the report.

#### **V REVENUE MONITORING – 7 MONTHS TO 31ST OCTOBER, 2022**

There was submitted Report No TRB27-2022 by the Treasurer appraising Joint Board members of the latest position regarding the Joint Board's 2022/2023 Revenue Budget.

The Joint Board noted the content of the Revenue Monitoring Report as at 31st October, 2022.

#### **VI CAPITAL MONITORING – 7 MONTHS TO 31ST OCTOBER, 2022**

There was submitted Report No TRB28-2022 by the Treasurer appraising Joint Board members of the latest position regarding the Joint Board's 2022/2023 Capital Plan.

The Joint Board noted the content of the Capital Monitoring Report as at 31st October, 2022.

#### **VII REVENUE BUDGET 2023/2024 TO 2025/2026**

There was submitted Report No TRB29-2022 by the Treasurer and Bridge Manager appraising the Joint Board members on the proposed Tay Road Bridge Revenue Budget for the financial years 2023/2024 to 2025/2026.

The Joint Board approved the Revenue Budget for 2023/2024 subject to confirmation of grant funding by the Scottish Government and noted the provisional Revenue Budget for 2024/2025 and 2025/2026.

#### **VIII CAPITAL PLAN 2023/2024 TO 2025/2026**

There was submitted Report No TRB30-2022 by the Treasurer is to approve the Board's Capital Plan for the period 2023/2024 to 2025/2026 inclusive.

The Joint Board approved the Capital Plan as detailed in Appendix A of the report subject to confirmation of grant funding by the Scottish Government and noted the provisional Capital Plan for 2024/2025 and 2025/2026.

#### **IX PROGRAMME OF MEETINGS 2023**

The Joint Board agreed that the programme of meeting for 2023 be as follows:-

Monday, 6th March, 2023 - 10.00am  
Monday, 12th June, 2023 - 10.00am  
Monday, 11th September, 2023 - 10.00am  
Monday, 4th December, 2023 - 10.00am

#### **X DATE OF NEXT MEETING**

Monday, 6th March, 2023 at 10.00am to be held remotely unless otherwise advised.

Councillor Gary HOLT, Chairperson.

ITEM No ...3.....
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**REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 6 MARCH 2023**

**REPORT ON: OPERATIONAL RESTRICTIONS AND CLOSURES**

**REPORT BY: BRIDGE MANAGER**

**REPORT NO: TRB3-2023**

## **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 November 2022 and 31 January 2023.

## **2.0 RECOMMENDATIONS**

2.1 The Joint Board are asked to note the contents of this Report as at 31 January 2023.

## **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 November 2022 and 31 January 2023 is given below:-

### **4.1.1 Single Carriageway Closure**

<b>Reason</b>	<b>Total Duration (Minutes)</b>	<b>Number of Occasions</b>	<b>Average Duration (Minutes)</b>	<b>Maximum Time Closed (Minutes)</b>	<b>Minimum Time Closed (Minutes)</b>
Operational	421	103	4.09	26	1
Breakdown	64	6	10.67	40	2
Miscellaneous Incidents	18	6	3	5	1
Single Lane Closures for Maintenance	249	7	35.57	75	12
Police Incidents	280	24	16.67	28	2

4.1.2 **Full Bridge Closure**

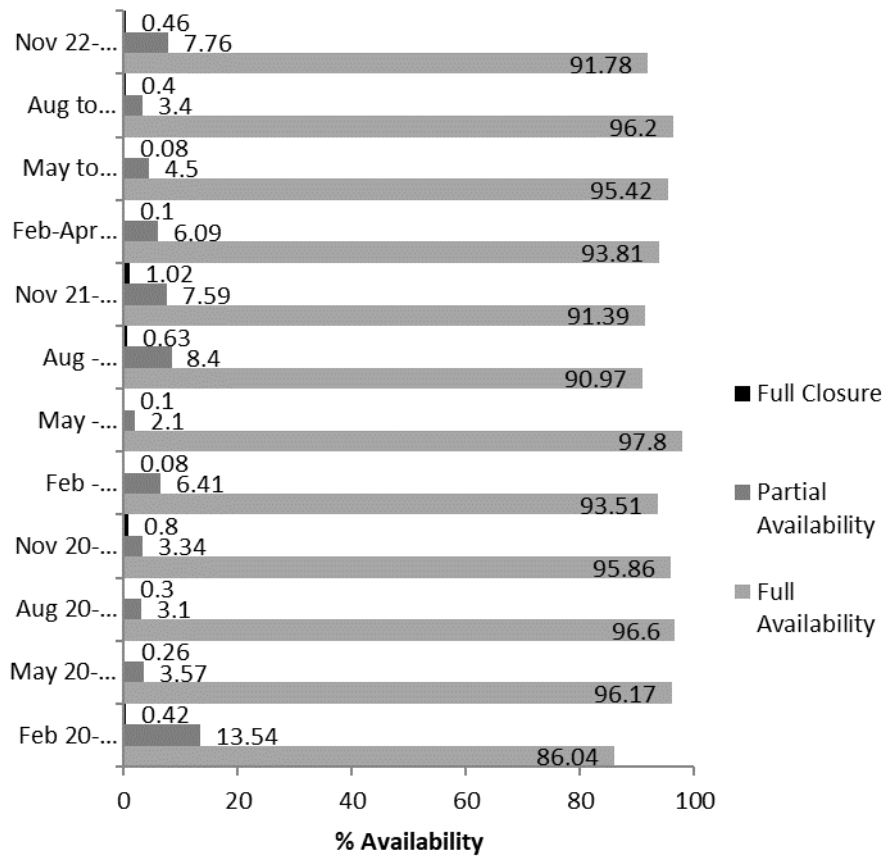
<b>Reason</b>	<b>Total Duration (Minutes)</b>	<b>Number of Occasions</b>	<b>Average Duration (Minutes)</b>	<b>Maximum Time Closed (Minutes)</b>	<b>Minimum Time Closed (Minutes)</b>
Operational (Night Closures)	175	1	175	175	175
Police Incidents	425	9	47.22	263	8
Wind	0	0	0	0	0

4.1.3 **High Winds Restrictions**

<b>Traffic Restricted</b>	<b>Total Duration (Minutes)</b>	<b>Number of Occasions</b>	<b>Average Duration (Minutes)</b>	<b>Maximum Time Restricted (Minutes)</b>	<b>Minimum Time Restricted (Minutes)</b>
Double Deck Buses	6792	16	424.5	1135	120
High Sided Vehicles	2232	5	446.4	1095	115
All Traffic	0	0	0	0	0

4.1.4 **Availability of Bridge**

**AVAILABILITY TO BRIDGE USERS**



	Nov 21-Jan 22	Feb-Apr 22	May-Jul 22	Aug-Oct 22	Nov 22-Jan 23
Full Availability	91.39	93.81	95.42	96.2	91.78
Partial Availability	7.59	6.09	4.5	3.4	7.76
Full Closure	1.02	0.1	0.08	0.4	0.46

4.1.5 **Summary of Bridge availability 1 November 2022 to 31 January 2023**

Full availability (No restrictions)	91.78%
Partial Availability (Some restrictions)	7.76%
No Availability (Full Closure)	0.46%

#### 4.1.6 Passenger Lift Availability 4 December 2018 to 31 January 2023

The current lift was put into service on 4 December 2018.

The Lift has been unavailable for public use for the following durations and reasons between 4 December 2018 and 31 January 2023:

YEAR	Downtime for Routine Servicing (hrs)	Downtime for Lift Faults (hrs)	Downtime for Power Cut (hrs)	Downtime for Vandalism (hrs)	Downtime for Foyer Door Faults (hrs)	Total (hrs)
2018 (from 4 Dec 2018)	0	10	0	0	0	10
2019	<sup>1</sup> 5	9	0.5	0	0	14.5
2020	<sup>2</sup> 12	3.5	1	0	0	16.5
2021	<sup>2</sup> 11	9	11	18	41.5	84.5
2022	<sup>2</sup> 10.5	6	0	0	0	16.5
2023 (to 31 Jan 2023)	<sup>2</sup> 0.5	0	0	0	0	0.5
<b>Total</b>	<b>39</b>	<b>37.5</b>	<b>12.5</b>	<b>18</b>	<b>41.5</b>	
<b>TOTAL TIME LIFT NOT AVAILABLE FROM 4 DECEMBER 2018 to 31 OCTOBER 2022 = 140.5 HOURS</b>						

<sup>1</sup>Warranty Servicing

<sup>2</sup>Monthly Servicing



## 5.0 TRAFFIC COUNT DATA

### 5.1 Traffic Count Data from Dundee Ramps

	3 <sup>rd</sup> Quarter 2021	4 <sup>th</sup> Quarter 2021	1 <sup>st</sup> Quarter 2022	2 <sup>nd</sup> Quarter 2022	3 <sup>rd</sup> Quarter 2022	4 <sup>th</sup> Quarter 2022
	(Aug – Oct)	(Nov - Jan)	(Feb - Apr)	(May - Jul)	(Aug - Oct)	(Nov- Jan)
Northbound to West	6012	5314	5733	6171	6079	5137
Northbound to East	7135	6862	6668	7187	6933	6508
Northbound Total	<b>13147</b>	<b>12176</b>	<b>12401</b>	<b>13358</b>	<b>13072</b>	<b>11645</b>
Southbound from West	5473	5282	5138	5393	5382	5078
Southbound From East	7885	7565	7428	8199	7934	7228
Southbound Total	<b>13358</b>	<b>12847</b>	<b>12566</b>	<b>13592</b>	<b>13316</b>	<b>12306</b>
<b>AADT Traffic per Quarter</b>	<b>26505</b>	<b>25023</b>	<b>24967</b>	<b>26950</b>	<b>26388</b>	<b>23951</b>

**AADT – (Annual Average Daily Total)**

5.2 **Active Travel Counts - \*AADT**

<b>Year</b>	<b>Month</b>	<b>No. Pedestrians</b>	<b>No. Cyclists</b>	
2021	January	Not Counted	69	
		<b>N/A</b>	<b>77</b>	AADT/Quarter
	February	Not Counted	81	
	March	Not Counted	189	
	April	Not Counted	183	
		<b>N/A</b>	<b>151</b>	AADT/Quarter
	May	Not Counted	150	
	June	Not Counted	190	
	July	Not Counted	165	
		<b>N/A</b>	<b>168</b>	AADT/Quarter
	August	Not Counted	160	
	September	Not Counted	152	
	October	Not Counted	95	
		<b>N/A</b>	<b>136</b>	AADT/Quarter
	November	Not Counted	87	
	December	Not Counted	50	
2022	January (from 11 Jan)	129	76	
		<b>129</b>	<b>71</b>	
	February	31	60	
	March	182	102	
	April	192	121	
		<b>135</b>	<b>94</b>	AADT/Quarter
	May	172	137	
	June	149	163	
	July	114	178	
		<b>145</b>	<b>159</b>	AADT/Quarter
	August	118	199	
	September	245	161	
	October	<b>**Pedestrian Counter Not Operating</b>	88	
		<b>N/A</b>	<b>149</b>	AADT/Quarter
	November	Not Counted	59	
	December	Not Counted	52	
2023	January	Not Counted	72	
		<b>N/A</b>	<b>61</b>	AADT/Quarter

\*AADT – (Annual Average Daily Total) Northbound and Southbound

A Pedestrian and Cycling Counter was installed on the bridge walkway in October 2019. Pedestrian counts became available on 11 January 2022.

\*\*Readings from 10 October 2022 are not available. The fault was reported to Cycling Scotland on 15 November 2022 and again on 8 February 2023.

**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  
14 FEBRUARY 2023**

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**ITEM No ...4.....**

**REPORT TO: TAY ROAD BRIDGE JOINT BOARD– 6 MARCH 2023**

**REPORT ON: NEOS FIBRE OPTIC CABLE**

**REPORT BY: BRIDGE MANAGER**

**REPORT NO: TRB7-2023**

## **1 PURPOSE OF REPORT**

- 1.1 To seek the Board's approval to grant Neos Networks a right of wayleave to install a fibre optic cable in the service tray that crosses the bridge and at landfall in Dundee and Fife.

## **2 RECOMMENDATIONS**

- 2.1 It is recommended that the Joint Board approve the granting of wayleave rights for the installation and subsequent maintenance of a fibre optic cable on the bridge and at the bridge landfall in Dundee and Fife by Neos Networks.

## **3 FINANCIAL IMPLICATIONS**

- 3.1 The Board will receive an annual income of £2500, to be increased annually by the CPI inflation index. Neos will be required to pay TRBJB's legal and survey fees associated with drafting of the Wayleave agreement.

## **4 IMPLICATIONS TO BRIDGE USERS**

- 4.1 A mobile under bridge inspection unit, stationed on the carriageway, will be supplied, and used by Neos Networks to install the cable, therefore mobile lane restrictions will be applied during off-peak travel times (between 0930 and 1530) during the works but the bridge will remain open. The bridge and walkway will also remain open. Works are expected to take around 4 weeks.

## **5 BACKGROUND**

- 5.1 The Bridge Manager was approached in June 2022 by representatives of Neos Networks to discuss their wish to install a fibre optic cable on the service tray suspended below the central shared path of the Tay Road Bridge.
- 5.2 Neos Networks, formerly known as SSE Enterprise Telecoms, are a UK based telecoms company.
- 5.3 Neos Networks confirmed that they are working in partnership with the Scottish Government in the aim of delivering improved digital infrastructure to communities across Scotland and this cable is seen as key.
- 5.4 Discussions between the TRBJB Bridge Manager and Clerk's representatives have taken place since June 2022 to agree the practicalities around installation and to agree a suitable financial and legal agreement to permit access for installation and maintenance.

**5 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 CONSULTATIONS**

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

**7.0 BACKGROUND PAPERS**

7.1 None

**ALAN HUTCHISON  
BRIDGE MANAGER  
14 FEBRUARY 2023**

**ITEM No ...5.....**

**REPORT TO:** TAY ROAD BRIDGE JOINT BOARD – 6 MARCH 2023

**REPORT ON:** RENEWAL OF CARRIAGEWAY SURFACING, DECK EXPANSION JOINTS, DECK WATERPROOFING AND ASSOCIATED CONCRETE REPAIRS

**REPORT BY:** ENGINEER TO THE BOARD

**REPORT NO:** TRB6-2023

**1 PURPOSE OF REPORT**

- 1.1 To seek approval from the Joint Board to appoint Volker Stevin as main contractor for the renewal of the existing bridge carriageway surfacing, deck expansion joints, deck waterproofing and associated concrete repairs.

**2 RECOMMENDATIONS**

- 1.1 It is recommended that:
- Authority is given to negotiate with and appoint Volker Stevin for the above works over two financial years, commencing summer 2023 for a value of £5,632,773 in 2023/24 and £6,196,051 in 2024/25, including fees and contingencies.

**3 FINANCIAL IMPLICATIONS**

- 3.1 The Treasurer advises that the above expenditure can be met from within the Capital Budgets for 2023/24 and 2024/25.

**4 BACKGROUND**

- 4.1 The bridge carriageway surfacing dates back to the original construction of the bridge in 1966. Analysis of the surfacing has determined this has reached the end of its operational life and deteriorating to the point where it requires to be replaced. The bridge was not originally constructed with a deck waterproofing system and, whilst the underlying concrete is in good condition, current good practice is for a waterproofing membrane to be incorporated into bridge construction.
- 4.2 The bridge deck expansion joints are in excess of 20 years old and these have also reached the end of their operational life and have required significant maintenance expenditure over the past two years.
- 4.3 Concrete repairs are required to the bridge deck at localised areas where the expansion joints have failed, allowing water ingress related deterioration to occur.
- 4.4 The planned works detailed in paragraphs 4.1, 4.2 and 4.3 will ensure the bridge's structural condition and ongoing safety is preserved with a design lifespan of at least 20 years.
- 4.5 The works are amongst the most technically challenging in recent years, requiring the bridge to be operated in contraflow conditions during the work on each carriageway. Any site delays associated with contractor performance or design

efficiency present significant risks, both in financial expense and the level of disruption to bridge users through any contract over-runs.

- 4.6 To mitigate the risks associated with the project, it was important to have early collaboration with a suitably experienced main contractor, accounting for efficient design, buildability considerations, assurance on quality of work, robust programming and price fluctuations.
- 4.7 This approach of early collaboration is not readily suited to traditional procurement methods, therefore, with reference to the Scottish Government's Construction Procurement Handbook, a framework approach was determined as appropriate. This has allowed the design team and contractor to critically review the specification requirements, construction sequencing and programming to deliver the works.
- 4.8 The contract offer from Volker Stevin has been competitively procured through the NEPO Framework, which is a fully OJEU compliant public sector framework agreement for procuring construction works. The offer has been independently checked by Dundee City Council and found to be Value for Money and deemed to be compliant.

## **5 IMPLICATIONS TO BRIDGE USERS**

- 5.1 The replacement of the bridge carriageway surfacing, waterproofing and expansion joints will preserve and enhance the condition of the bridge and reduce the need for ongoing temporary closures associated with joint repairs.
- 5.2 The project will be carried out in contraflow conditions during work on each carriageway and undertaken in two phases to de-risk delays associated with poor weather conditions. The northbound carriageway will be undertaken between June 2023 and October 2023 and the southbound carriageway between May 2024 and October 2024.
- 5.3 Appropriate media communications will be in place to inform bridge users of upcoming works.

## **6 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 CONSULTATIONS**

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

## **8 BACKGROUND PAPERS**

- 8.1 None.

**GARY BRADY**  
**ENGINEER TO THE BOARD**  
**10 February 2023**



**ITEM No ...6.....**

**REPORT TO:** TAY ROAD BRIDGE JOINT BOARD – 6 MARCH 2023

**REPORT ON:** RESPONSE TO INTERNAL AUDITOR'S REPORT ON CORPORATE PLANNING

**REPORT BY:** BRIDGE MANAGER

**REPORT NO:** TRB4-2023

**1.0 PURPOSE OF REPORT**

1.1 This report is in response to Internal Audit Report No. 2023/03, prepared by the Board's Internal Auditor, Henderson Loggie, on Corporate Planning. A copy of the Internal Auditor's report is included at appendix 1.

**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. 2023/03.

**3.0 FINANCIAL IMPLICATIONS**

3.1 There are no financial implications associated with this report.

**4.0 BACKGROUND**Introduction

4.1 The Board's Internal Audit Needs Assessment and Strategic Plan 2022 – 2025 (Report No. TRB 20-2022) 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 2023/23 review is reported in Henderson Loggie's Internal Audit Annual Plan 2022/23 (Report No. TRB 21-2022) and identified Corporate Planning as an area of risk to the Board. Review of this area of risk was carried out by Henderson Loggie in December 2022 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 2023/03

Overall the report concluded that the systems met control objectives and provided a good level of assurance. There were no recommendations made.

**6.0 POLICY IMPLICATIONS**

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

**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  
14 FEBRUARY 2023**

# Tay Road Bridge Joint Board

## Corporate Planning

Internal Audit report No: 2023/03

Draft issued: 8 February 2023

Final issued: 16 February 2023



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		<b>Page</b>
<b>Section 1</b>	<b>Management Summary</b>	
	• Overall Report Grade	1
	• Risk Assessment	1
	• Background	1
	• Scope and Objectives	2
	• Audit Approach	2
	• Summary of Main Findings	3
	• Acknowledgements	3
<b>Section 2</b>	<b>Main Findings and Action Plan</b>	<b>4 - 6</b>

## 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:

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

## Action Grades

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



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## Management Summary

### Overall Level of Assurance

<b>Good</b>	System meets control objectives.
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### 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:

- 3 Effects of changes to economy – budget limitations etc. (risk rating: moderate); and
- 7 Losses through poor governance (risk rating: moderate).

### Background

As part of the Internal Audit programme at the Board for 2022/23 we carried out a review of the systems in place in relation to Corporate Planning. The ANA identified this as an area where risk can arise and where Internal Audit can assist in providing assurances to the Joint Board and Bridge Manager that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

Corporate planning involves taking the organisation's vision and creating an operational plan to detail how the vision will be achieved. The plan needs to be robust, with specific tasks, timeframes, and regular reporting on achievement against targets.

The Board is fully funded by the Scottish Government, through Transport Scotland, by means of grant in aid for both revenue and capital activities.

Our audit process included a review of the Board's Strategic Plan, and associated documentation, including mission and vision statements, goals and objectives, and performance metrics. We also assessed the Board's budget planning and its ability to support the Strategic Plan, as well as its ability to communicate and align its strategic goals throughout the organisation and specifically to the Joint Board.

In the following report we have examined the Board's ability to measure and track progress towards its strategic goals, including the use of key performance indicators.



## Corporate Planning

### Scope, Objectives and Overall Findings

We reviewed the overall corporate planning processes within the Board, including detailed operational planning. The overall objective of the audit was to obtain reasonable assurance that the Board's planning process accords with good practice.

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

Objective	Findings			
	1	2	3	
<b>Specific objectives were to obtain reasonable assurance that:</b>				
	<b>No. of Agreed Actions</b>			
1. linkages between the Corporate Plan and the operational plans are clearly defined and communicated.	<b>Good</b>	0	0	0
2. commitments in the Corporate Plan are systematically translated into clear responsibilities for implementation within the operational plans.	<b>Good</b>	0	0	0
3. there is a systematic approach for ensuring stakeholders views and key risks are taken into account.	<b>Good</b>	0	0	0
4. the plans are being appropriately monitored and controlled.	<b>Good</b>	0	0	0
5. there is effective linkage between planning and budgeting at all levels.	<b>Good</b>	0	0	0
<b>Overall Level of Assurance</b>	<b>Good</b>	<b>0</b>	<b>0</b>	<b>0</b>
		<b>System meets control objectives.</b>		

### Audit Approach

Through discussions with key officers with responsibility for planning across the Board we documented the planning processes covering the setting of key strategic objectives and the delivery framework within the Strategic Plan and developing operational plans. Operational plans were obtained and reviewed to ensure that there were clear linkages with the Strategic Plan and that the plans were consistent with each other. We also reviewed these plans to assess how the strategic objectives are translated into clear responsibilities for implementation and how budget information is used to inform planning. We also reviewed the monitoring and reporting arrangements in place.





## Summary of Main Findings

### **Strengths**

- Overall, the planning arrangements put in place by the Board are adequate. Revenue and capital budgets are being appropriately monitored and controlled; and there is effective linkage between planning and budgeting.
- The Strategic Plan is well developed and is underpinned by well-designed procedures.
- The Bridge Manager keeps the Board regularly and appropriately updated regards performance and achievement of strategic and operational objectives through the year.
- Appropriate and meaningful Key Performance Indicators (KPIs) have been identified and are being effectively monitored, and progress is communicated to the Board on a regular basis.

### **Weaknesses**

- There were no significant weaknesses noted during our review.

## Acknowledgment

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



## Main Findings and Action Plan

**Objective 1 - Linkages between the Corporate Plan and the operational plans are clearly defined and communicated; and**

**Objective 2 - Commitments in the Corporate Plan are systematically translated into clear responsibilities for implementation within the operational plans.**

The Bridge Manager, in consultation with the Treasurer, has developed a five-year Strategic Plan covering 2019-2024. The Strategic Plan sets out the Board's five strategic goals, which includes Meeting User Expectations, Fiscally Sustainable, Transparent Governance and Clear Decision-Making Processes, A Modern, Diverse and Well-Trained Workforce, and Quality and Standards. Details of how the Board measures success are included in the strategy.

The Strategic Plan is underpinned by the Bridge Manager's Development Plan, this plan details actions, their owners, and timelines for completion. Although the Development Plan is not reported to the Joint Board, the Bridge Manager uses this to assign responsibility for operational objectives to Board officers and staff. The Development Plan is prepared on an annual basis, with actions linked directly to the Strategic Plan and is updated regularly with progress made against the actions, and new actions added as required. The Development Plan is reviewed regularly by the Board's management team.

Through our review of the Strategic Plan and accompanying procedures, we have obtained sufficient appropriate evidence to conclude that the objective has been met.

**Objective 3 - There is a systematic approach for ensuring stakeholders views and key risks are taken into account.**

To ensure that stakeholder views are appropriately considered, the Bridge Manager consults with the Joint Board and members of the constituent local authorities as part of the process for developing the Strategic Plan. Formal processes have also been established to obtain ongoing feedback and opinion from members of the public and to engage with local institutional stakeholders, including local authorities, emergency services, and community and charitable organisations.



**Objective 4 - The plans are being appropriately monitored and controlled.**

Key Performance Indicators (KPIs) are used to measure the performance and progress in achieving the priorities set out in the Development Plan and in turn, the success in achieving the overarching Strategic Objectives as set out in the Strategic Plan. Revenue and Capital monitoring statements, and annual accounts, are prepared for the Board by Dundee City Council under a Service Level Agreement, with financial performance reported quarterly to the Joint Board. Financial monitoring information includes management explanations for any variances. From review of Joint Board minutes, we noted that that a range of appropriate and meaningful KPI's are reported to the Joint Board, including:

- Quality and Standards: Accidents and incidents
- Quality and Standards: Lost time due to accidents and incidents
- Fiscally Sustainable: Expenditure
- Meeting User Expectations: Complaints and Questions
- A Modern, Diverse and Well-Trained Workforce: Staff Absences
- Fiscally Sustainable: Payments of Invoices.

We noted that the above KPIs are linked to the strategic objectives, and that the Development Plan also links actions to strategic objectives, where relevant.

Quarterly Restriction Reports are prepared by the Bridge Manager and reported to the Joint Board, the purpose of these reports is to provide the Joint Board with updates on the progression of KPI's and maintaining service of the Bridge. The Development Plan is monitored and updated by the Bridge Manager on a regular basis and is used to inform achievement of objectives and monitor progress against KPI's which are reported to the Joint Board on a quarterly and annual basis. At the time of our review, we noted that good progress was being made with the objectives set out in the Development Plan. Of the 13 actions noted in the Development Plan, nine had no target completion date as the actions were subject to ongoing reviews, such as bridge inspections, however we noted evidence of ongoing monitoring activities being documented and reported. The remaining four actions with identified completion dates were completed at the time of our audit and in line with the target dates.

The Board has developed a 20-year capital programme which identifies major capital works. These are prioritised based on existing condition surveys, lifespan of bridge components, adherence to industry standards and mitigation of risks identified in the Strategic Risk Register. The plan is reviewed annually by the Bridge Manager and Engineer with the Engineer reporting progress on all major capital works to the Joint Board each quarter.

Transport Scotland receives copies of all Board reports which include details of the 20-year capital programme and any subsequent revisions which have been approved by the Joint Board. The level of capital grant allocated to the Board from Transport Scotland is determined following consideration of the capital projects prioritised in the 20-year capital plan.

**Objective 5 - There is effective linkage between planning and budgeting at all levels**

Draft budgets are prepared by the Bridge Manager in consultation with the Treasurer and finance team at Dundee City Council and are presented annually to the Joint Board for approval. The annual revenue budget is based on prior year actual figures and an analysis of the trend of non-pay costs over previous years. The draft budget is then submitted together with assumptions to the Treasurer for review before it is presented to the Joint Board for approval.

The budgets are based upon the resources required to ensure Board services are delivered in accordance with its strategic objectives whilst taking into consideration Best Value. The Bridge Manager is also responsible for preparing the Strategic Plan, which sets out the core objectives of Board and sets key targets against which performance can be measured. The Strategic Plan is formally approved by the Joint Board.

Quarterly budget monitoring reports are submitted to the Joint Board and revenue and capital monitoring are standing agenda items at Joint Board meetings. The Bridge Manager and the Management Team have access to financial information held on Dundee City Council's systems which allows real time monitoring of expenditure in the interim periods.

The Bridge Manager develops a three-year capital plan based on the 20-year capital programme and the level of grant funding received from Transport Scotland. This is reviewed and approved by the Joint Board. Any changes identified in Capital Plans or grant funding are considered as part of the annual budget setting process.

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ITEM No ...7.....
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**REPORT TO:** TAY ROAD BRIDGE JOINT BOARD – 6 MARCH 2023

**REPORT ON:** RESPONSE TO INTERNAL AUDITOR'S REPORT ON HEALTH AND SAFETY

**REPORT BY:** BRIDGE MANAGER

**REPORT NO:** TRB5-2023

## 1.0 PURPOSE OF REPORT

1.1 This report is in response to Internal Audit Report No. 2023/04, prepared by the Board's Internal Auditor, Henderson Loggie, on Health and Safety. A copy of the Internal Auditor's report is included at appendix 1.

## 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. 2023/04 and instruct the Bridge Manager to implement the actions noted in paragraph 5.2.

## 3.0 FINANCIAL IMPLICATIONS

3.1 There are no financial implications associated with this report.

## 4.0 BACKGROUND

### Introduction

4.1 The Board's Internal Audit Needs Assessment and Strategic Plan 2022 – 2025 (Report No. TRB 20-2022) 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 2023/23 review is reported in Henderson Loggie's Internal Audit Annual Plan 2022/23 (Report No. TRB 21-2022) and identified Health and Safety as an area of risk to the Board. Review of this area of risk was carried out by Henderson Loggie in February 2023 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 2023/04

Action points identified are categorised as follows:

Priority 1 – Critical issues which require consideration by the Board  
Number of Actions – Nil

Priority 2 – Significant matters which the Bridge Manager can resolve  
Number of Actions – Nil

Priority 3 – Routine, less significant actions not requiring urgent action  
Number of Actions – 2

Overall, the report concluded that the systems met control objectives and provided a Good Level of Assurance.

## 5.2 Priority 3 Action Points

5.2.1 Management should ensure that the Health and Safety Policy, as well as the Employee Health and Safety Handbook, contain further information and signposting on the support services and resources already offered by the organisation to staff regarding mental health, wellbeing, and stress.

5.2.2 Management should ensure that any contractors coming on site to perform work on the premises are required to sign the Board's Site Induction form acknowledging that they received the Site Induction presentation, regardless of whether they are chaperoned by the Board's staff or not.

## 6.0 **POLICY IMPLICATIONS**

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

## 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**  
**16 FEBRUARY 2023**



# Tay Road Bridge Joint Board

## Health, Safety & Wellbeing

Internal Audit report No: 2023/04

Draft issued: 16 February 2023

Final issued: 16 February 2023



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## Contents

		<b>Page</b>
<b>Section 1</b>	<b>Management Summary</b>	
	• Overall Report Grade	1
	• Risk Assessment	1
	• Background	1
	• Scope and Objectives	2
	• Audit Approach	2
	• Summary of Main Findings	3
	• Acknowledgements	3
<b>Section 2</b>	<b>Main Findings</b>	<b>4 - 11</b>

### 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:

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

### Action Grades

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

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## Management Summary

### Overall Level of Assurance

<b>Good</b>	System meets control objectives.
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### 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:

- 2. Legislative changes e.g. Health & Safety, Environmental, Procurement etc (risk rating: moderate); and
- 6. Loss of operational capability through loss of bridge/buildings (risk rating: low).

### Background

As part of the Internal Audit programme at the Board for 2022/23, we carried out a review of the organisation's arrangements for identifying and managing Health, Safety & Wellbeing (H, S & W) issues. 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 the Bridge Manager that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

The Management Team is responsible for establishing robust H, S & W policies and procedures, communicating them to all staff and relevant contractors, performing the identification and assessment of operational health and safety risks, providing staff with the relevant H, S & W training, monitoring of H, S & W systems to ensure that they are functioning effectively, recording of incidents and accidents and following up with implementation of new controls and enhancement of existing ones where required, and for the regular reporting of H, S & W matters to the Board.

Robust H, S & W arrangements are critical to ensuring that the staff can perform their responsibilities in a safe and effective manner. The Board must comply with the Health and Safety at Work etc. Act 1974 as well as relevant regulations and guidance issued by the Health and Safety Executive (HSE).

## Scope, Objectives and Overall Findings

This audit reviewed the arrangements in place within the Board to identify and manage Health, Safety and Wellbeing (H, S & W) issues.

The table below notes each separate objective for this review (which collectively underpin the overall objective) and records the results:

Objective	Findings				
		1	2	3	Actions already in progress
<b>The overall objective of our audit to obtain reasonable assurance that the Board has:</b>		<b>No. of Agreed Actions</b>			
1. a H, S & W policy, plan, and documented procedures which are communicated to all staff and relevant contractors.	<b>Satisfactory</b>	0	0	2	
2. a formal risk identification and assessment process.	<b>Good</b>	0	0	0	
3. a H, S & W training programme which includes induction training, refresher training and training for new activities or legislation.	<b>Satisfactory</b>	0	0	0	✓
4. regular monitoring of H&S systems to ensure that they are functioning effectively, including H, S & W audits, carried out either internally or by external agencies such as the Health and Safety Executive.	<b>Good</b>	0	0	0	
5. an incident and accident recording system with follow-up and implementation of new controls where required.	<b>Good</b>	0	0	0	
6. regular reporting of H&S to senior management and to the Board.	<b>Good</b>	0	0	0	
<b>Overall Level of Assurance</b>	<b>Good</b>	<b>0</b>	<b>0</b>	<b>2</b>	
		System meets control objectives.			

## Audit Approach

From discussion with the Bridge Manager and other relevant staff, and a review of procedural documentation, we identified the internal controls in place and compared these with expected controls. A walkthrough of key systems was undertaken to confirm our understanding, and this was followed up with compliance testing where considered necessary to ensure that internal controls are operating effectively.

## Summary of Main Findings

### **Strengths**

- The Board has well-established health and safety policies and procedures in place which clearly set out the purpose, the principles to be followed, and the responsibilities of individuals. The documentation is reviewed annually, and more regularly if required, and explicitly demonstrates compliance with the relevant legislation and regulations.
- There is a robust risk identification and risk assessment process in place. The risks are identified, evaluated, recorded, managed, and reported in an efficient and effective manner. It is made clear what actions need to be implemented to reduce the likelihood and severity of any risks and who is responsible for implementing any required actions. There is segregation of duties between the individuals responsible for assessing risks and the individuals who approve the assessments. Appropriately experienced and trained members of staff are consulted as part of the risk identification and assessment process.
- Training needs are identified on the basis of risks described in the risk assessments. Appropriate training is prescribed for each member of staff based on job role and provided as a mix of self-study, in-house training, and external provision in the course of induction, refresher training, and technical training.
- Management augments the monitoring of health and safety processes in place through frequent informal talks with the staff members. This is believed to be one of the best ways to ensure compliance and promptly identify any problems that require attention.
- Health and safety matters are a standing agenda item on the quarterly management meetings. There is also a Health and Safety Committee in place which further enhances management's awareness of any health and safety issues and allows for effective monitoring and handling of these.
- There is a robust accident and incident recording and response system in place and actions that reduce the likelihood and severity of similar incidents in the future are taken promptly in order to reduce the likelihood or reoccurrence.
- The accident rate at the Board is very low, with most accidents being minor in nature.
- Health and safety matters are regularly and diligently reported to the Joint Board through the annual Health & Safety Monitoring Report, which is normally presented in the December Joint Board meeting.

### **Weaknesses**

- The Board has satisfactory processes and resources in place for offering staff members support concerning mental health and wellbeing, but this is not currently fully reflected in the Health and Safety documentation available to staff.
- Contractors performing work on the Board's premises are not required to sign the Site Induction Presentation acknowledgment form when they are chaperoned by Board staff on the premises or bridge structure. Whilst contractors are monitored when performing their work, it may be difficult for the Board to formally evidence that contractors have acknowledged compliance with the Board's health and safety policy and procedures.

## Acknowledgment

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

## Main Findings and Action Plan

### **Objective 1: A H, S & W policy, plan, and documented procedures which are communicated to all staff and relevant contractors.**

The Board has a Health and Safety Policy in place. The document clearly sets out its purpose, the health and safety principles followed by the Board, and the responsibilities of specific individuals for health and safety matters, including risk assessments, employee consultation, operation of plant and equipment, safe handling and use of substances, information, instruction and supervision, competency for tasks and training, accident reporting, first aid and work related ill health, monitoring systems, and emergency procedures.

The Health and Safety Policy is reviewed and updated by the Bridge Manager as required, particularly when there are changes to key staff or operations.

The Board uses an Employee Health and Safety Handbook which includes a summary of the Board's health and safety procedures. The document confirms the organisation's commitment to identifying and managing health and safety risks, meeting legislative requirements, and achieving best practice standards. Benefits of good safety management and risks of safety management failure are clearly recognised.

Section 17. of the Handbook - Occupational Health, states that the Board provides "proactive and reactive occupational health services for our employees to help assess their health and identify reasonable adjustments to help and accommodate them and their conditions at work." Through discussions with management, we noted that all staff are highly aware of occupational health services available and regularly make use of them. Every staff member has a full medical check-up done every year through occupational health and the organisation takes a bespoke approach to staff dealing with any health issues which may impact their work. For example, phased returns for staff following illness or injury. Staff who indicate physical issues will be offered physiotherapy while staff dealing with any issues related to stress or mental wellbeing will be offered counselling. Other resources, such as guidance on stress management or mindfulness exercises may be provided to staff where appropriate. Often, issues may be brought to management's attention by employees who notice that their colleagues are behaving unusually (e.g., withdrawn, unable to perform physical tasks which they could previously etc.). The supervisor / manager then speaks to the employee in question, and they are offered any of the services or resources described above, if applicable. If the employee takes up the service offered, then they are referred to the appropriate provider.

We examined a sample of six Safe Systems of Work (SSW) documents which effectively serve as safety procedures for staff members. All were found to be well documented and easily accessible to staff. All SSWs are reviewed annually and SSWs are also updated whenever new equipment is introduced.





**Objective 1: A H, S & W policy, plan, and documented procedures which are communicated to all staff and relevant contractors (continued).**

The Board's Health and Safety Policy as well as the Employee Health and Safety Handbook are both readily accessible through the organisation's website. Staff also have access to H&S folders with all relevant policies, procedures, and guidance available on the organisation's internal computer network. Employees are made aware of where to find the H, S & W documentation during their induction.

Our review confirmed that the Board's H, S & W policies and procedures comply with the Health and Safety at Work Act 1974 and the guidance and regulations issued by the Health and Safety Executive (HSE). There are specific references made to the Health and Safety at Work Act 1974 and the relevant regulations issued by HSE throughout the documentation reviewed.

We also verified through observation that, in line with the Employee Health and Safety Handbook:

- visitors are required to sign the visitors book on entry and exit from the Board's premises.
- Health and Safety Law Posters are displayed in the control room, on the staff notice board, and in the administration office .
- first aid boxes are readily available at various locations.
- passageways and fire exits were free from hazards and obstructions.
- Appropriate health and safety signage was displayed on the premises.
- PPE was stored in the designated storage spaces.

**Objective 1: A H, S & W policy, plan, and documented procedures which are communicated to all staff and relevant contractors (continued).**

The Health and Safety Policy does not fully reflect the Board's existing provisions and resources available to support staff wellbeing, such as managing stress at work, mental health, substance misuse support. It was explained that some wellbeing measures are already in place at the Board, but these are not fully included in the policies and procedures. Wellbeing training was delivered by an external provider before COVID19, which was voluntary for staff. The Board is currently engaging with a provider at Dundee City Council to provide Mental Health & Wellbeing training for staff in early 2023. There is a Critical Incident Plan in place which sets out additional support available to staff members who witness Critical Incidents. The staff are encouraged to speak out if they are upset about any incidents. Supervisors or management make sure to check up on any staff members who had to deal with stressful incidents before the end of the day and inform them of any resources that may be of help, such as mindfulness exercises and counselling. Where staff approach management to say that their work is impacting their mental health negatively, staff will be offered counselling services. The Board is also able to refer staff to trained professionals through Dundee City Council who carry out TRiM (Trauma Risk Management) training.

Section 25. of the Handbook - Stress at Work, provides tips for identifying individuals experiencing stress at work and states that "If you feel you are suffering from work related stress or you notice a colleague suffering then speak to your line manager or Administration Officer, or Dundee City Council HR Officer, if you feel you cannot talk to your line manager." However, it does not mention what processes or remedies are available once this is reported and how instances of reporting stress or wellbeing-related matters are recorded. This may also constitute a risk where line managers may not take appropriate action as the process is not formally documented. The Handbook is also does not fully reflect details of all support available related to wellbeing (such as managing stress at work, mental health).

Observation	Risk	Recommendation	Management Response
The Board has satisfactory processes and resources in place for supporting staff members on mental health and wellbeing matters. Staff have access to signposting for emotional support within the Critical Incident information that is accessible to them through the Board's health and safety file, and on stress management through the Staff Handbook located within the Staffing file. However, additional wellbeing support that is available through the Board's Occupational Health Provider could be better highlighted. To avoid multiple locations for signposting, all H, S, & W support would be more accessible if captured in the Health and Safety Policy and Health & Safety Employee Handbook.	Staff may be unaware of the extent and nature of the support available to them regarding wellbeing issues. They may be discouraged from approaching management for wellbeing support when the available resources are not formally documented.	<b>R1</b> Management should ensure that the Health and Safety Policy, as well as the Employee Health and Safety Handbook, contain further information and signposting on the support services and resources already offered by the organisation to staff regarding mental health, wellbeing, and stress.	Agreed.  <b>To be actioned by:</b> Bridge Manager  <b>No later than:</b> December 2023
			Grade <b>3</b>



**Objective 1: A H, S & W policy, plan, and documented procedures which are communicated to all staff and relevant contractors (continued).**

Observation	Risk	Recommendation	Management Response	
<p>When contractors come onto the Board's premises for the first time to do work, they always receive a Site Induction presentation on how to safely work on the bridge structure and what health and safety procedures they need to follow. If contractors will be working on the bridge structure, they are required to sign the Site Induction form acknowledging that they received the health and safety presentation. However, if contractors are chaperoned on the bridge structure by the Board's staff there is no requirement to sign the acknowledgment as the staff directly monitor their work. Management agreed during the audit to introduce the Site Induction acknowledgment forms for all contractors coming on site, whether chaperoned or not.</p>	<p>The Board is not able to formally evidence contractors acceptance of the Board's health and safety procedures.</p>	<p><b>R2</b> Management should ensure that any contractors coming on site to perform work on the premises are required to sign the Board's Site Induction form acknowledging that they received the Site Induction presentation, regardless of whether they are chaperoned by the Board's staff or not.</p>	<p>Agreed.</p> <p><b>To be actioned by:</b> Bridge Manager</p> <p><b>No later than:</b> With immediate effect.</p>	
			<p><b>Grade</b></p>	<p><b>3</b></p>



**Objective 2: A formal risk identification and assessment process.**

The Board first looks at any activities they do as a business (e.g. debris removal) and the environment which can impact these (e.g. high winds, lightning). Risks are identified against each activity performed by staff and a risk assessment is then performed for each identified risk using a standard template based on the Health and Safety Executive (HSE) guidance, which contains information on who might be harmed and how, what controls are already in place, what further action is necessary, who is responsible for implementing those controls and when, how any actions can be determined to have been implemented, as well as who assessed and approved the risk assessment. Risks are not prioritised because there is a belief that this would encourage staff to ignore low-priority risks, and there all risks are approached with the same level of diligence. Details of live risk assessments are issued to all employees annually. The staff members are then required to acknowledge that they have reviewed the risk assessments and understood them. The risk assessments for each activity are reviewed annually. A review may also be triggered by the introduction of new plant or equipment.

Preparation and approval of all risk assessments is the responsibility of the Bridge Manager and the Deputy Bridge Manager (except for the fire risk assessment which is done externally by Dundee City Council). Risk assessments are prepared following consultation with suitably qualified and experienced members of staff, and the process also provides all staff with the opportunity to review and give feedback on new or revised risk assessments.

We reviewed a sample of 10 risk assessments performed by the Board. In each instance, we confirmed that these were complete, up to date, fully assessed and approved by persons with the appropriate level of authority and ensuring segregation of duties and responsibilities. No issues were identified.

**Objective 3: A H, S & W training programme which includes induction training, refresher training and training for new activities or legislation.**

As risk assessments are developed, any additional training needs are identified. A Training Matrix is in place which shows all training needs for each post, and when refresher training is due. The established frequency of the refresher training as well as the method of provision (self-study, in-house, external) for each training are also noted. Organising training can be challenging as training needs to be carried out multiple times in order to cover all staff across multiple shifts. Recently there have been major challenges in sourcing external training providers (especially for specialist areas such as Impact Protection Vehicle (IPV)) due to the limited number of training providers available. The Acting Deputy Bridge Manager is largely responsible for overseeing the training provision.

Training is given at staff induction regarding H, S & W and all new staff are required to sign an induction checklist showing acknowledgement and understanding of all information and training received.

Our review of the Training Matrix noted several items of training due at the time of our audit fieldwork, although following discussion with the Bridge Manager we noted that training providers had recently been sourced and training was scheduled to be delivered later in 2023. This included:

- Manual handling refresher training.
- Fire awareness and fire steward training.
- Asbestos awareness, COSHH awareness, Leptospirosis awareness, and GUANO risk awareness refresher training.
- IOSH Working Safely training.

**Objective 4: Regular monitoring of H&S systems to ensure that they are functioning effectively, including H, S & W audits, carried out either internally or by external agencies such as the Health and Safety Executive.**

The Bridge Manager ensures that the actions recommended in risk assessments are implemented and it is the Bridge Manager's responsibility to report on the effectiveness of H, S & W processes and systems to the Board.

The Board does not use external audit providers for H, S & W matters apart from the fire safety risk assessment which is facilitated by Dundee City Council. Management also does not carry out formal internal audits on H, S & W. However, organisational policies and procedures as well as risk assessments are reviewed regularly. A review of training needs and safe operating procedures may also be triggered by the introduction of new equipment. Supervisors and the Deputy Manager monitor day-to-day practices (including adherence to H, S, & W procedures) of staff. Management meets informally with supervisors and operatives on a daily basis which provides opportunities for health and safety risks to be identified and reported. Management meetings are held quarterly, and health and safety matters are a standing item on the agenda. Reporting to the Board on health and safety is done annually, normally at the December Joint Board meeting. All these methods are considered to be proportionate and effective in monitoring of H, S & W matters, given the size of the organisation. The accident rate for staff members is very low. The number and nature of accidents since our last review on the Board's Management of Health & Safety issued in May 2020 were as follows:

- 2020 – one minor injury (and two near misses).
- 2021 – one lost time injury and two minor injuries.
- 2022 – two minor injuries and one slip, trip, fall on the level.

None of the accidents between 2020 and 2022 were categorised as serious and there was no requirement to report them to the HSE under RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013).

We reviewed the minutes of management meetings since 2022 and noted no issues regarding breaches of health and safety at the Board. Review of health and safety policies and procedures are standing items on the agenda. Any incidents involving staff and/or members of the public, H, S & W training needs, and faults are discussed.

We also reviewed the minutes of the Health and Safety Committee management meetings held since 2022 and noted no issues.

**Objective 5: An incident and accident recording system with follow-up and implementation of new controls where required.**

The controls in place to reduce the number and severity of accidents and near misses include the policies, safe working procedures, training, and controls described in the individual risk assessments. The Board maintains an Accident Book and makes use of Near Miss Report Forms. The Accident Book records all details of the accident, including who had the accident, who filled out the Accident Book entry, the description of the incident, details of the injury suffered, and the dates of the incident. Accidents and incidents are investigated and followed up management with appropriate actions taken to reduce the likelihood and impact of similar incidents occurring in the future.

We reviewed a sample of six staff-related accidents that occurred between July 2020 and December 2022 and two near misses dating back to October 2020. This represented a 100% of the incidents recorded in years 2020, 2021, and 2022. We noted that for three historical entries in the book, descriptions of the accident and persons completing the records could have been clearer. Management had previously identified this as an issue since those entries were made in the Accident Book and staff are now required to ensure details of incidents are fully recorded.

All incidents sampled included notes evidencing that management had followed up each incident with actions raised to reduce the severity or likelihood of similar incidents occurring in the future.

**Objective 6: Regular reporting of H&S to senior management and to the Board.**

H, S & W matters are reported annually to the Joint Board at the December meetings. Management meetings are held every quarter and health and safety matters are a standing item on the agenda.

We examined the Joint Board Meeting Minutes from December 2021 and December 2022 in order to confirm that the H, S, & W reporting process is adequate and effective. The minutes included reporting of the significant risks to staff, staff consultation on H&S issues, review of policies and procedures, health and safety performance, occupational health issues, and health and safety training. No issues were noted.



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**REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 6 MARCH 2023**

**REPORT ON: REVENUE MONITORING – 10 MONTHS TO 31 JANUARY 2023**

**REPORT BY: TREASURER**

**REPORT NO: TRB1-2023**

## **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 2022/2023 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 January 2023.

## **3.0 FINANCIAL IMPLICATIONS**

- 3.1 The 2022/2023 Revenue Budget predicted a break-even position (see Report 23-2021). The current outturn position for the financial year 2022/2023 is projecting a break-even position based on the financial information available at 31 January 2023 (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 2023/2024 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 2023. 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 £73,000 is projected in relation to Administration Staff Costs. This is due to a projected £3,000 underspend on Training costs and Budget allowances had been made for the addition of an additional in-house bridge inspector but this service will now be undertaken by the Engineer to the Board's staff, resulting in a £50,000 saving. The Deputy Bridge Manager post vacated in June will remain unfilled for the remainder of the year resulting in a £45,000 saving. This saving will be offset by a temporary regrading of the Works and Transport Officer post to reflect the allocation of some of the duties associated with the Deputy Bridge Manager's role. Therefore, 50% of the Works and Transport Officer post has been allocated from the Operations section to the Administration section, resulting in additional expenditure of £20,000. There will also be additional expenditure of £5,000 for Summer

Engineering Student Placement for 12 weeks (see Agenda Item 11 of the TRB Board meeting on 28 February 2022).

- 3.8 An overspend of £25,000 is projected in relation to Administration Property Costs. This is due to an anticipated increase in electricity costs due to rising energy prices.
- 3.9 An underspend of £3,000 is projected in relation to Administration Supplies and Services. This is due to a projected underspend on Insurance Premiums.
- 3.10 An underspend of £13,000 is projected in relation to Operations Staff Costs. This is due to the vacated Deputy Bridge Manager post described above (in paragraph 3.7) being filled by the Works and Transport Officer who will provide temporary cover with 50% of their re-graded salary being allocated to the Administration section from July resulting in a saving of £10,000 for the Operations budget. There is also anticipated savings of £28,000 for Overtime as this is not required due to new working patterns since the staffing re-structure and a projected £7,000 underspend on Training Costs. These are offset by the requirement for a new Operative post (see TRB Report 25-2022) to be added to the establishment from Dec 2022 resulting in additional expenditure of £16,000 and a projected overspend of £16,000 in relation to the actual pay award being higher than the budgeted pay award.
- 3.11 An overspend of £15,000 is projected in relation to Plant and Equipment Property Costs. This is due to an anticipated increase in electricity costs due to rising energy prices.
- 3.12 An overspend of £50,000 is projected in relation to Plant and Equipment Supplies and Services. Following a risk review of business resilience, new contracts for equipment maintenance and structural monitoring of the column cathodic protection were awarded to protect bridge operations. These were required to be formalised through tendered contracts to ensure operational requirements would be met. These contracts cover equipment maintenance for the gantries, variable message signs and Cathodic Protection monitoring equipment and are projected to be a £37,000 overspend. There is also a projected overspend of £13,000 for additional hire of a safety boat after the end of the normal contract period to provide cover for the principal inspection of the Bridge paintwork.
- 3.13 An underspend of £5,000 is projected in relation to Plant and Equipment Third Party Payments. This is due to ongoing capital projects reducing the requirement for these expenditures.
- 3.14 An overspend of £22,000 is projected in relation to Bridge Maintenance Property Costs. This is due to an anticipated increase of £25,000 for electricity costs due to rising energy prices. This is offset by an anticipated underspend of £3,000 for the cleaning of the Fife toilets following the end of Covid-level cleaning requirements.
- 3.15 Increased income of £15,500 is projected in relation to Interest on Revenue Balances. This is due to higher than anticipated interest rates.
- 3.16 Increased income of £2,500 is projected in relation to Miscellaneous Income. This is due to the receiving an insurance receipt to cover damage to the wind anemometer by a contractor in 2021/2022.

#### **4.0 RISK ASSESSMENT**

- 4.1 In preparing the Board's Annual Revenue Budget (see Report TRB 23-2021), 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

**ROBERT EMMOTT**  
**TREASURER**

**21 FEBRUARY 2023**

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**TAY ROAD BRIDGE JOINT BOARD****REVENUE MONITORING AS AT 31 JANUARY 2023**

	Revenue Budget 2022/23 £	Expenditure to 31 January 2023 £	Final Projection 2022/23 £	Variance from Budget £	Paragraph Reference
<b>EXPENDITURE</b>					
<u>Administration</u>					
Staff Costs	248,198	147,275	175,198	(73,000)	(3.7)
Property Costs	33,150	35,306	58,150	25,000	(3.8)
Supplies and Services	141,325	105,394	138,325	(3,000)-	(3.9)
Transport Costs	300	-	300	-	
Third Party Payments	111,654	86,903	111,654	-	
	534,627	374,878	483,627	(51,000)	
<u>Operations</u>					
Staff Costs	884,646	733,503	871,646	(13,000)	(3.10)
Supplies and Services	11,000	5,922	11,000	-	
	895,646	739,425	882,646	(13,000)	
<u>Plant and Equipment</u>					
Property Costs	25,150	22,895	40,150	15,000	(3.11)
Supplies and Services	177,350	220,865	227,350	50,000	(3.12)
Transport Costs	32,650	28,993	32,650	-	
Third Party Payments	5,750	-	750	(5,000)	(3.13)
	240,900	272,753	300,900	60,000	
<u>Bridge Maintenance</u>					
Property Costs	28,500	31,964	50,500	22,000	(3.14)
Supplies and Services	49,450	11,445	49,450	-	
Transport Costs	200	87	200	-	
Third Party Payments	21,200	20,000	21,200	-	
	99,350	63,496	121,350	22,000	
<b>GROSS EXPENDITURE</b>	<b>1,770,523</b>	<b>1,450,552</b>	<b>1,788,523</b>	<b>18,000</b>	
<b>INCOME</b>					
Scottish Government Revenue Grant	1,758,960	1,288,781	1,758,960	-	
Interest on Revenue Balances	950	-	16,450	15,500	(3.15)
Kiosk Rent	10,213	7,660	10,213	-	
Miscellaneous	400	2,849	2,900	2,500	(3.16)
<b>GROSS INCOME</b>	<b>1,770,523</b>	<b>1,299,290</b>	<b>1,788,523</b>	<b>(18,000)</b>	
<b>TOTAL NET DEFICIT / (SURPLUS) MET FROM GENRAL RESERVE BALANCES</b>	<b>-</b>	<b>151,262</b>	<b>-</b>	<b>-</b>	

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

	<b>Strategic Objective</b>	<b>2022/2023 Budget £</b>	<b>Expenditure to 31 January 2023 £</b>	<b>2022/2023 Projected £</b>
1	Meeting User Expectations	1,301,987	1,020,608	1,247,987
2	Fiscally Sustainable	88,504	86,903	88,504
3	Transparent Governance and Clear Decision-Making Processes	20,282	-	20,282
4	A Modern, Diverse and Well-Trained Workforce	19,500	6,792	9,500
5	Quality and Standards	<u>340,250</u>	<u>336,249</u>	<u>422,250</u>
	<b>TOTAL GROSS EXPENDITURE</b>	<b><u>1,770,523</u></b>	<b><u>1,450,552</u></b>	<b><u>1,788,523</u></b>

**ITEM No ...9.....**

**REPORT TO: TAY ROAD BRIDGE JOINT BOARD – 6 MARCH 2023**  
**REPORT ON: CAPITAL MONITORING - 10 MONTHS TO 31 JANUARY 2023**  
**REPORT BY: TREASURER**  
**REPORT NO: TRB2-2023**

**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 2022/2023 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 January 2023.

**3.0 FINANCIAL IMPLICATIONS**

- 3.1 The Joint Board's 2022/2023 Capital Expenditure Programme of £1,310,000 was approved by the Board on 6 December 2021 (Report TRB 24-2021). 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 2022/2023 (as detailed in Table 1 on Appendix A) is projected to be £1,117,000 (i.e. a reduction of £193,000 compared to the original approved budget) based on the financial ledger information up to 31 January 2023 and this will be funded from 2022/2023 Capital Grant of £1,117,000.
- 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 2023/2024 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 VARIANCES

- 4.1 The main reasons for the budget variations on individual projects can be summarised as follows:

	<b>£000</b>
<b><u>Slippage from 2021/2022:</u></b>	
Miscellaneous Projects	86
<b><u>Budget Adjustments:</u></b>	
Carriageway Resurfacing	100
Advanced Warning Signs	(190)
New Gantries	50
Fife Landfall Improvements	(122)
Paintwork to Box Girders	(5)
Gantry – Miscellaneous	(15)
Miscellaneous Projects	99
New Distribution Board	(23)
Winter Maintenance Equipment	21
Parapet Refurbishment / Replacement	(10)
<b><u>Slippage to 2023/2024:</u></b>	
Cathodic Protection (CP) Hardware	(150)
Advanced Warning Signs	(34)
<b>Total Budget Adjustments</b>	<b>(193)</b>

- 4.2 The delivery of the Capital Programme this year is very challenging. The global supply chain for sourcing materials and components has been affected by the Covid pandemic, Brexit and other world events, due to a shortage of raw materials, increased inflation and market demand as economies look to rebuild. and this is resulting in inflationary increases upwards of 30% on the predicted cost of capital projects. Officers are constantly reviewing the capital programme of works and prioritising those projects that can realistically be progressed during the current year. There is a risk of further slippage in the capital programme, as the Board reacts to the extreme market conditions currently affecting the construction industry. Updated projections will be incorporated into future capital monitoring reports and 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 2022/2023 budget was £100,000. The projected expenditure for this contract has been increased to £200,000. This is to facilitate an enabling contract to make structural alterations to kerbing and white lining on the Dundee and Fife approaches to aid the passage of fixed wheelbase vehicles during contraflow works, devised following feedback from local bus companies after the September 2021 contraflow trials. This additional funding will also allow for the laying of trial mixes on a site in Dundee to determine final asphalt specifications in advance of the main resurfacing works in 2023/2024.
- 4.5 Cathodic Protection (CP) Hardware: The original 2022/2023 budget was £200,000. The projected expenditure for this contract has been reduced to £50,000. This is for stress testing which is currently being carried out due to recent failures. This will result in the planned replacement of CP hardware at the base of the columns, budgeted to be £150,000, slipping into 2023/2024.
- 4.6 Advanced Warning Signs: The original 2022/2023 budget was £400,000. The projected expenditure for this contract was reduced to £150,000 from the estimates in the Tender Report to the June 2022 Board (Report TRB 15-2022) for Variable Message Sign (VMS)



Improvements estimated at £150,000 for the supply and installation of new VMS in Fife, including professional fees associated with the design and supply of associated structural and electrical infrastructure. Further to traffic management planning for the 2023/2024 resurfacing works, additional signs have been specified with the aim of improving safety messaging in relation to controlling the speed of vehicles during contraflow to aid user safety. This additional signage will also be invaluable in controlling traffic speed once resurfacing is completed. As a result of additional specification there will be increased costs of £60,000 resulting in an anticipated project total in 2022/2023 of £176,000 and slippage of £34,000 into 2023/2024 for the provision of temporary VMS at the site in St. Michaels.

- 4.7 Replacement of Expansion Joints: The original 2022/2023 budget of £25,000 is projected to be spent.
- 4.8 New Gantries: The original 2022/2023 budget was £100,000. The projected expenditure for this project has been increased to £150,000 for the reprofiling of the overall project programme to permit early contractor involvement for preparation of Approval in Principle documentation to reduce project risk with the delivery of complex inspection gantries.
- 4.9 Fife Landfall Improvements: The original 2022/2023 budget was £150,000. Due to the rescheduling of capital works as a result of Covid 19 these works were rescheduled to future years. The projected expenditure on this project has been reduced to £28,000. This consists of an estimated £10,000 for an engineer survey of the slopes at the Fife Landfall and an estimated £18,000 for design, materials and labour for the creation of woodland walks with climate-adapted planting at Fife Landfall in partnership with St. Andrews Botanic Gardens. This was proposed by the Well-Being working group with the aim of increasing footfall to this area.
- 4.10 Paintwork to Box Girders: The original 2022/2023 budget was £25,000. This is not anticipated to be fully spent so the revised budget has been reduced to £20,000. This is to allow for testing of the durability of the existing paint system.
- 4.11 Gantry Miscellaneous: The original 2022/2023 budget was £25,000. This is not anticipated to be fully spent so the revised budget has been reduced to £10,000.
- 4.12 Miscellaneous Projects: The original 2022/2023 budget was £100,000. This budget is used for several smaller projects. Expenditure in 2021/2022 for the Fire Alarm project was £23,000 against an anticipated budget of £109,000 on new fire alarms in all buildings (see Tender Report TRB 6-2022 at February 2022 Board) with slippage of £86,000 into 2022/2023. The specification for this project has been revised to allow for the fire alarms at the Fife kiosk to be linked to the whole system which is anticipated to cost £32,000. The Uninterrupted Power Supply (UPS) requires safety improvements which are anticipated to cost £14,000. New Wellbeing Signage is currently being designed with an estimated total cost of £14,000. The Fife Kiosk requires new Canopy Ducts with expected cost of £10,000 in current financial year. The Fife Kiosk also required a new door and new electric roller shutter doors with an estimated cost of £18,000. New speakers are to be fitted into the Lift Foyer with an expected cost of £4,000. An incident in early November resulted in a high-sided vehicle damaging approximately 30 metres of the aluminium balustrade on the central walkway which is anticipated to cost up to £55,000. Another incident resulted in damage to the Perth off-ramp which is anticipated to cost up to £43,000. A third incident destroyed an electrical circuit box in Fife which is anticipated to cost up to £5,000.

The revised budget for 2022/2023 is anticipated to be £285,000.

- 4.13 New Distribution Board: The original 2022/2023 budget was £100,000. The projected expenditure for this contract has been reduced to £77,000 and is informed by the Tender Report to the February 2022 Board for the replacement of the Electrical Distribution Board in the administration office (TRB 5-2022).

- 4.14 Winter Maintenance Equipment: The original 2022/2023 budget was £75,000. The projected expenditure for this contract was increased to £96,000 from the estimates in the Tender Report to the September 2022 Board (Report TRB 23-2022). This is for the replacement of the de-icing fluid storage tank with a double skin and banded arrangement. A new storage tank for de-icing materials and new de-icing bowser is also required.
- 4.15 Parapet Refurbishment / Replacement: The original 2022/2023 budget of £10,000. This is not anticipated to be spent so the revised budget has been reduced to £nil.

## **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. The various lockdowns and restrictions on site for capital projects, has resulted in projects requiring to be re-phased. For this reason, the programme is carefully monitored and any potential slippage is identified as soon as possible to enable any corrective action to be taken.
- 5.4 Capital projects can be subject to unforeseen events, such as delays in progressing the project. This could lead to inflation impacting on the total cost of the project. In addition, currency fluctuations can also impact on costs. Contingencies are built into the budget for each capital project and these will be closely monitored throughout the project. The potential additional costs arising from implementing measures to create a compliant site and a safe working environment for workers, are being monitored. Project inflation, as a result of Covid 19 is also being reviewed. Officers will continually monitor and review the capital programme for the on-going effects of Covid 19, in terms of projected cost and timescales.
- 5.5 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.
- 5.6 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.
- 5.7 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.
- 5.8 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 2022/2023 capital programme is showing a projected capital spend of £1,117,000 which will be funded from the current year's Scottish Government grant.

6.2 The 2022/2023 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.

**ROBERT EMMOTT**  
**TREASURER**

**21 FEBRUARY 2023**

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## TAY ROAD BRIDGE JOINT BOARD

## APPENDIX A

TABLE 1: CAPITAL EXPENDITURE MONITORING - 10 MONTHS TO 31 JANUARY 2023

<u>Expenditure</u>	<u>Strategic Objective</u>	<u>Capital Budget 2022/23 £000</u>	<u>Slippage from 2021/22 £000</u>	<u>Budget Adjust £000</u>	<u>Slippage into 2023/24 £000</u>	<u>Revised Capital Budget 2022/23 £000</u>	<u>Actual to 31 Jan 2023 £000</u>	<u>Projected Outturn 2022/23 £000</u>	<u>Variance from Budget £000</u>
									-
Carriageway Resurfacing	1	100	-	100	-	200	95	200	-
CP Hardware	5	200	-	-	(150)	50	-	50	-
Advanced Warning Signs	1	400	-	(190)	(34)	176	80	176	-
Replacement of Expansion Joints	1	25	-	-	-	25	15	25	-
New Gantries	5	100	-	50	-	150	24	150	-
Fife Landfall Improvements	5	150	-	(122)	-	28	-	28	-
Paintwork to Box Girders	5	25	-	(5)	-	20	20	20	-
Gantry – Miscellaneous	5	25	-	(15)	-	10	5	10	-
Miscellaneous Projects	5	100	86	99	-	285	165	285	-
New Distribution Board	5	100	-	(23)	-	77	69	77	-
Winter Maintenance Equipment	5	75	-	21	-	96	95	96	-
Parapet Refurbishment / Replacement	5	10	-	(10)	-	-	-	-	-
<b>Total Gross Expenditure</b>		<b>1,310</b>	<b>86</b>	<b>(95)</b>	<b>(184)</b>	<b>1,117</b>	<b>568</b>	<b>1,117</b>	<b>=</b>
<b>Funded by:</b>		<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Capital Grant 2022/2023		1,310	86	(95)	(184)	1,117	547	1,117	-
<b>Total Funding</b>		<b>1,310</b>	<b>86</b>	<b>(95)</b>	<b>(184)</b>	<b>1,117</b>	<b>547</b>	<b>1,117</b>	<b>=</b>

TABLE 2: Unapplied Capital Grant Projected Carry Forward:

	<b>£000</b>
<u>Add:</u> Projected Capital Grant Received 2022/2023	1,117
<u>Less:</u> Projected Capital Grant Utilised 2022/2023	(1,117)
	—
<b>Unapplied Capital Grant Carried Forward to 2023/2024</b>	<b>—</b>

LINKING THE 2022/2023 CAPITAL BUDGET MONITORING TO THE BOARD'S STRATEGIC OBJECTIVES

Strategic Objective	<u>Capital Budget 2022/2023 £000</u>	<u>Revised Capital Budget 2022/2023 £000</u>	<u>Actual Expenditure to 31 Jan 2023 £000</u>	<u>2022/2023 Projected £000</u>
1 Meeting User Expectations	525	401	190	401
2 Fiscally Sustainable	-	-	-	-
3 Transparent Governance and Clear Decision-Making Processes	-	-	-	-
4 A Modern, Diverse and Well-Trained Workforce	-	-	-	-
5 Quality and Standards	<u>785</u>	<u>716</u>	<u>378</u>	<u>716</u>
<b>TOTAL GROSS EXPENDITURE</b>	<b><u>1,310</u></b>	<b><u>1,117</u></b>	<b><u>568</u></b>	<b><u>1,117</u></b>