



Tay Road Bridge

TAY ROAD BRIDGE JOINT BOARD

Code of Corporate Governance

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Tay Road Bridge

LOCAL CODE OF CORPORATE GOVERNANCE

JUNE 2023

TAY ROAD BRIDGE JOINT BOARD

LOCAL CODE OF CORPORATE GOVERNANCE (2022/2023)

FOREWORD

Tay Road Bridge Joint Board strives to meet the highest standards of corporate governance to help ensure that it meets its objectives. The Joint Board is determined to ensure that it delivers the best possible service to bridge users. It has developed a modern and effective service that responds quickly and flexibly, delivering high quality services.

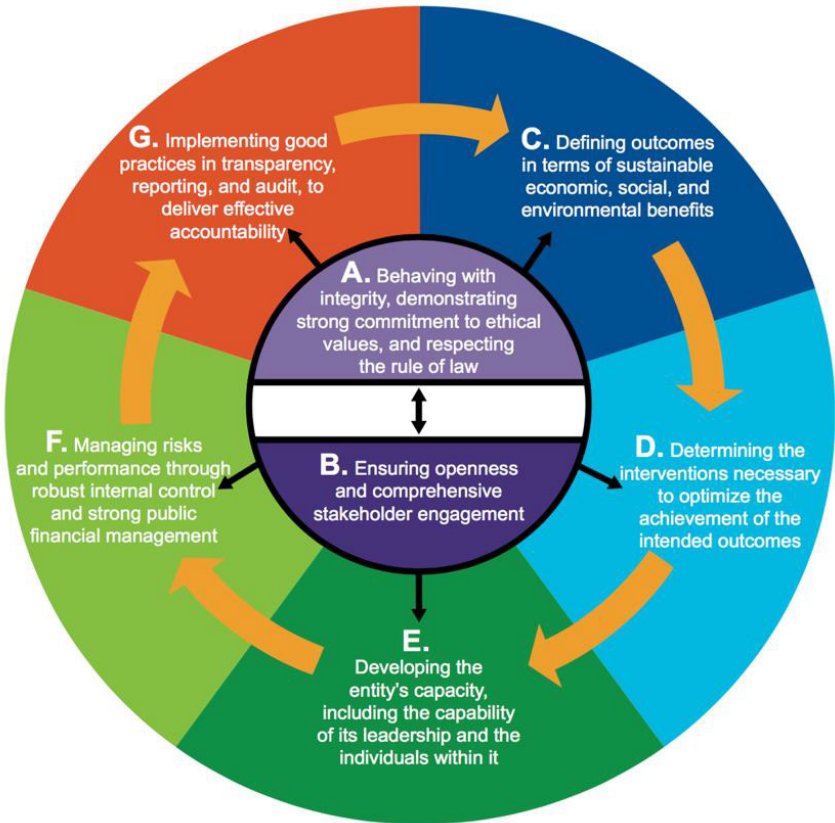
The Joint Board is committed to effective decision-making that is transparent and open to genuine scrutiny. It therefore provides on its website (www.tayroadbridge.co.uk) details of its plans, procedures and performance.

DEFINITION

Corporate governance is the system by which Tay Road Bridge Joint Board directs and controls its functions and relates to its users. An Annual Governance Statement is included in the Joint Board's Annual Report and Accounts each year.

THE CODE

The Local Code of Corporate Governance for the Joint Board consists of seven main principles of good governance derived from CIPFA's Delivering Good Governance in Local Government: Framework (2016):-



A. BEHAVING WITH INTEGRITY, DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUES AND RESPECTING THE RULE OF LAW

The Joint Board has a range of systems and procedures in place to ensure that members and employees of the authority are not influenced by prejudice or conflicts of interest in dealing with its stakeholders. Registers of Members' Interests are held by their constituent councils and are continuously updated and are available for inspection by members of the public.

The Joint Board has a [Members Code of Conduct](#) and an Officers Code of Conduct in addition to the [Standing Orders of the Board](#), [Financial Regulations](#), [Tender Procedures](#), and [Delegation of Powers](#) as well as [Fraud Guidelines](#) and Disciplinary Procedures. The Joint Board has a [Whistle-blowing Policy](#) in place to provide for the direct reporting of problems to senior managers without fear of recrimination and a [Complaints Procedure](#) to allow bridge users to bring issues to the attention of senior management.

The National Code of Conduct, the Disciplinary Procedures and the Local Code on Corporate Governance are also applicable in general terms to any external organisations to which elected members and/or officers are appointed.

The Joint Board is committed to equal opportunities including both the elimination of discrimination and the use of positive action measures to ensure that employment opportunities, service provision and access to civic life are bias free and made equally and easily available to people from target groups.

B. ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT

The Joint Board has implemented a [Strategic Plan 2019-2024](#) that shows a clear link between the Board's strategic objectives, performance measures, and financial resources.

The Joint Board ensures that Board Minutes, Board Documents, Annual Accounts, etc. are published and freely available on its website (www.tayroadbridge.co.uk). Information relating to Operational Restrictions and Closures as well as results of Tenders for Contracts on the bridge are reported to the Joint Board and published on the website. The Joint Board also has a [Freedom of Information Policy](#). The Joint Board's Standing Orders include Tender Procedures to ensure that the decisions of Senior Officers are guided by the requirements of the latest Public Contracts (Scotland) Regulations.

The Joint Board has a Communications Strategy in place to ensure that it effectively engages with stakeholders.

As with Local Authority Meetings, all meetings of the Joint Board are open to the public and full minutes of the meetings are recorded.

C. DEFINING OUTCOMES IN TERMS OF SUSTAINABLE ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS

The Joint Board's structure, functions and powers are prescribed in the [Tay Road Bridge Order Confirmation Act 1991](#).

The Joint Board's Communications Strategy includes details regarding press releases to ensure that changes impacting service users are communicated effectively.

The Joint Board's [Strategic Plan 2019-2024](#) shows a clear link between the Board's strategic objectives and its performance measures. Regular reporting to the Joint Board also ensures that the defined outcomes are delivered on a sustainable basis within the resources available. Medium-term Budgets are updated and reported annually and there is a Business Continuity Plan and a Risk Management Strategic Plan and Strategic Risk Register in place.

D. DETERMINING THE INTERVENTIONS NECESSARY TO OPTIMISE THE ACHIEVEMENT OF THE INTENDED OUTCOMES

The Joint Board's Budget compared to actual expenditure is closely scrutinised and overspends and underspends are reported to the Joint Board on a regular basis in order that members are kept fully and timeously aware of any significant departures from the budgeted position.

In the course of the year, any departures from the budgeted position can be mitigated by the movement of resources from one budget heading to another in order to smooth out overall annual spend. Variances between budget spend and actual spend are subject to discussion between senior officers on a regular basis for further analysis.

The Joint Board has a Service Level Agreement in place for various services from Dundee City Council to ensure that the Joint Board is protected against changes to legislation with regard to general Legal requirements, and also covering issues in Procurement, Human Resources, Financial, Insurance and Risk Management, Engineering, IT, Communications, etc.

Regular Risk Management / Contract Meetings are held during Work Contracts on the bridge to ensure that contracts are progressing as scheduled and that arrangements are flexible so that the intended outcomes are achievable and can be adapted to changing circumstances.

The Annual Governance Statement process ensures that the capacity exists to generate the information required to review service quality and governance issues on a regular basis.

E. DEVELOP THE ENTITY'S CAPACITY, INCLUDING THE CAPABILITY OF ITS LEADERSHIP AND THE INDIVIDUALS WITHIN IT

Regular meetings are held between the Bridge Manager and the Engineer to the Joint Board to monitor and manage resources to ensure compliance with the Joint Board's [Asset Management Plan](#) and national and published structural inspection requirements.

New employees are required to complete an induction programme designed to provide background information on Tay Road Bridge Joint Board's activities and operational requirements as well as keeping the individual up-to-date with current issues of interest with which the Joint Board is involved.

The Joint Board provides induction training for new members designed to provide background information on the Joint Board's core activities as well as their scrutiny and governance responsibilities.

Job descriptions and person specifications are available for all posts advertised. The employee appraisal process links to employee objectives and to job competence and health and safety requirements to ensure that training needs are planned and met.

The Annual Governance Statement Continuous Improvement Agenda ensures that the Joint Board's capacity for personal, organisational and system wide development exists and allows for shared learning from external agencies such as Internal and External Audit with regards governance weaknesses.

F. MANAGING RISKS AND PERFORMANCE THROUGH ROBUST INTERNAL CONTROL AND STRONG PUBLIC FINANCIAL MANAGEMENT

The Joint Board has a developed Risk Management Strategic Plan and Strategic Risk Register. This states that "Tay Road Bridge Joint Board is committed to the management of risk in order to:-

- Minimise loss, damage or injury to Joint Board employees or members of the public
- Protect Joint Board assets and property
- Preserve and enhance the management and operation of Tay Road Bridge

- Maintain effective stewardship of public funds
- Promote a favourable corporate image"

The main priorities within this policy are the identification, evaluation and control of risks which threaten the Joint Board's ability to deliver services. The Joint Board has a high-level Business Continuity Plan which sets out the arrangements by which the Joint Board aims to continue to deliver its critical services in the event of an emergency event. Critical services are identified through a process of identification and analysis contained within risk registers. Both the Risk Management Framework and the Business Continuity Strategy continue to be developed. The actions detailed in the Business Continuity Plan were implemented during the Covid19 crisis and it will continue to be updated to reflect changing circumstances.

Professional consultants are appointed to advise the Joint Board on projects / maintenance requirements in order to gain independent specialist advice.

Resources aimed at improving internal control within the Joint Board are allocated according to priorities determined by the Internal Audit Annual Audit Plan, reflecting the changing risks and priorities of the Joint Board. The Joint Board also responds to findings and reviews of Audit Scotland, other statutory inspectors and its own Internal Audit Section.

The Joint Board's accounts include an annual corporate governance statement.

G. IMPLEMENTING GOOD PRACTICES IN TRANSPARENCY, REPORTING AND AUDIT TO DELIVER EFFECTIVE ACCOUNTABILITY

The Joint Board is committed to the transparency and scrutiny of its services and processes including decision-making. To that end Joint Board meeting minutes and Board documents are published on the Joint Board's website.

The roles and responsibilities of Members and Officers are clearly defined in the Standing Orders of the Joint Board, the Scheme of Delegation of Powers to Officers, the Scheme of Tender Procedures and the Scheme of Financial Regulations.

The Joint Board has a Recruitment and Selection policy with the aim of ensuring that all officers involved are appropriately trained for their roles.

The Joint Board's Annual Governance Statement ensures that robust arrangements for assessing the extent to which the principles contained in CIPFA's Delivering Good Governance: Framework (2016) have been applied and the results are published, including an action plan for improvement.

The Bridge Manager, Treasurer, Clerk, and Engineer to the Joint Board are responsible for ensuring that agreed procedures are followed and that all applicable statutes, regulations and statements of good practice are complied with.

The Treasurer is responsible for ensuring appropriate advice is given to the Joint Board on all financial matters, keeping proper financial records and accounts and maintaining an effective system of internal financial control under the terms of the Financial Regulations.

TAY ROAD BRIDGE JOINT BOARD

IMPROVEMENT AGENDA FOR 2022/2023 WITH PROGRESS UPDATES

ORIGINAL IMPROVEMENT AGENDA						PROGRESS UPDATE	
	Improvement	Source	Source Date	Responsible Officer	Target Completion Date	Actual Completion Date	Comments (e.g. Estimated Completion Date, Reasons for delays, etc.)
1	Update Bridge Byelaws.	Local Code of Corporate Governance 2019/2020 (Principle A: Integrity and Ethics) and Internal Audit Report (2019/2) Compliance with Legislation.	Carried forward from 2019/2020.	Clerk / Bridge Manager	31/03/2023	06/04/2023	Byelaws 2022 were approved by Scottish Ministers and came into effect on 6 April 2023. The new byelaws are available on the TRBJB website and were posted at the Dundee access to the bridge on the passenger lift foyer wall in April 2023.
2	Revise Whistle-Blowing Policy.	Whistle-Blowing Policy (Report 12-2016 at June 2016 Board meeting).	Carried forward from 2019/2020.	Bridge Manager	31/12/2022	18/11/2022	New Whistle-blowing policy and employee guidance notes issued to staff on 18 November 2022 and awareness poster installed in Administration Office foyer.
3	Ensure that a formal programme of reporting of data protection issues to the Joint Board.	Internal Audit Report 2020/05 Data Protection.	Carried forward from 2020/2021.	Clerk / Bridge Manager	31/03/2023	19/6/2023	The Board officers have agreed that Data Protection reporting will form part of the Management Commentary in the annual accounts presented to the June Board meeting, commencing 2023.
4	Transport and Works Manager and Administration Officer to attend training course on Recruitment and Interviewing to enable the Board to recruit more effectively at all levels.	Annual Governance Self-Assessment Checklist.	Carried forward from 2020/2021.	Bridge Manager	31/12/2022	16/11/2022	Formal training was not available through DCC but the Bridge Manager has provided guidance and knowledge through one-to-one sessions of best practice and the two employees have joined the Bridge Manager in a recruitment exercise in November 2022. The Bridge Manager is comfortable that this action can now be considered complete.
5	Review the Board's response to the Covid 19 crisis.		Carried forward from	Bridge Manager	31/12/2022	31/12/2022	Management took immediate action to safeguard employees and bridge users. These actions were taken to maintain

			2020/2021.				resilience and ensured bridge availability and the continued safety of employees and bridge users. Business Continuity Planning / Incident Response meetings were held between key personnel and guidance issued to all staff on a regular basis. The actions detailed in the Business Continuity Plan were implemented were updated continuously to reflect changing circumstances. As the impact of the pandemic reduced the board continued to take steps to ensure adherence to Scottish Government advice in relation to Covid-19 restrictions / guidelines and, when safe and practicable to do so, re-introduced normal working practices.
6	Revise Communications Policy.	Local Code of Corporate Governance 2020/2021 (Principle B: Openness).	Carried forward from 2021/2022.	Bridge Manager	31/12/2022	30/06/2022	New Communication Strategy completed and issued to staff.
7	Establish a formal business case process for all major capital projects.	Internal Audit Report 2021/03 Capital Projects.	Carried forward from 2021/2022.	Bridge Manager	31/03/2023	19/06/2023	Additional information on project stages, timelines, progress, spend profile, and implications to Bridge users will be included in Engineering Update Board reports on the current major projects, Carriageway Resurfacing and Expansion Joint Replacement, and Gantry Replacement and for future major projects.
8	Review all Board Human Resource policies to provide comfort that the Board's policies are aligned with DCC and up-to-date with legislation.	Annual Governance Statement self-assessment checklist, section 2: Internal Control Environment.	New for 2022/2023. In progress.	Bridge Manager	31/03/2023		The Bridge Manager has reviewed all the latest DCC HR policies/procedures and will share with the trade unions in 2023 before implementing to the TRBJB staff. *
9	Improve communication of Risk Assessments and re-introduce regular Health and Safety	Annual Governance Statement self-assessment checklist, section 2:	New for 2022/2023.	Bridge Manager	31/03/2023	31/10/2022	Health and Safety meetings recommenced. The Bridge Manager continually assesses better ways of communicating Risk Assessments

	meetings.	Internal Control Environment.					Method Statements (RAMS) to staff.
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* Carried forward items have been included in Appendix 2 with new target completion dates.

TAY ROAD BRIDGE JOINT BOARD

IMPROVEMENT AGENDA FOR 2023/2024

	Improvement	Source	Source Date	Responsible Officer	Target Completion Date	Details
1	Review all Board Human Resource policies to provide comfort that the Board's policies are aligned with DCC and up-to-date with legislation.	Annual Governance Statement self-assessment checklist, section 2: Internal Control Environment.	Carried forward from 2022/2023. In progress.	Bridge Manager	31/12/2023	Carried forward from 2022/2023. In progress.
2	Revise Fraud Guidelines.	Local Code of Corporate Governance 2022/2023 (Principle A: Integrity and Ethics) and Annual Governance Statement self-assessment checklist, section 3: Fraud Prevention and Detection.	New for 2023/2024.	Treasurer	31/03/2024	New for 2023/2024.
3	Induction training for new board members.	Local Code of Corporate Governance 2022/2023 (Principle A: Integrity and Ethics).	New for 2023/2024.	Bridge Manager / Treasurer	31/03/2024	New for 2023/2024.
4	Equality and Diversity and Human Rights training to be rolled-out to all staff.	Local Code of Corporate Governance 2022/2023 (Principle A: Integrity and Ethics).	New for 2023/2024.	Bridge Manager	31/03/2024	New for 2023/2024.
5	Data Protection training to be rolled-out to all staff.	Local Code of Corporate Governance 2022/2023 (Principle A: Integrity and Ethics and Principle F: Managing Risks and Performance).	New for 2023/2024.	Bridge Manager	31/03/2024	New for 2023/2024.
6	Improve communication of Risk Assessments Method Statements (RAMS) to staff.	Annual Governance Statement self-assessment checklist, section 2: Internal Control Environment.	New for 2023/2024.	Bridge Manager	31/03/2024	New for 2023/2024.
7	Meetings with service providers to assess the quality of services provided under Service Level Agreements (SLAs).	Local Code of Corporate Governance 2022/2023 (Principle E: Developing the Entity's Capacity) and Annual Governance Statement self-assessment checklist, section 7: Partnerships.	New for 2023/2024.	Bridge Manager	31/03/2024	New for 2023/2024.



Local Code of Corporate Governance 2022/2023 - Self Assessment Checklist

As part of the assurance gathering process surrounding the preparation of the Annual Governance Statement (AGS), this self-assessment checklist has been designed to obtain assurances directly from the Bridge Manager regarding how effective the internal control, and wider corporate governance, environment is within the Board.

The scoring system to be used when completing this checklist is detailed in the table below:

EVALUATION	DEFINITION
4	Fully Compliant
3	Mostly Compliant (Minor areas for improvement)
2	Partially Compliant (More significant areas for improvement)
1	Not Compliant (Material areas for improvement)
N/A	Not applicable

Whilst the approach to completion of the checklist ultimately rests with the Bridge Manager it is important that the Joint Board’s submission provides a comprehensive assessment of the current position and is supported by appropriate evidence. This exercise may result in the identification of areas for improvement. These should be detailed, where appropriate, in the checklist and taken forward within the continuous improvement framework.

The self-assessment should be certified by the Bridge Manager.

Organisation	Tay Road Bridge Joint Board	Date	...7 April 2023.....	
Name and Designation	Alan Hutchison Bridge Manager			
<i>As a result of completion of this exercise I confirm that I am satisfied with the overall governance arrangements within Tay Road Bridge Joint Board and that there is a satisfactory evidence base to support this opinion. In addition, I confirm that I will take appropriate steps during the 2023/2024 financial year to further enhance the Board's governance arrangements in the areas identified for improvement.</i>			Yes	X
			No	
<i>If no, please provide details</i>				

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE
Acting in the public interest requires a commitment to and effective arrangements for:

PRINCIPLE A		Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
		Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.	Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement	
1	Behaving with integrity	1.1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	<p>Examples from CIPFA's Delivering Good Governance in LG Guidance Notes 2016 (in Grey):</p> <ul style="list-style-type: none"> • <i>Codes of conduct</i> • <i>Individual sign off with regard to compliance with code</i> • <i>Induction for new members and staff on standard of behaviour expected</i> • <i>Performance appraisals</i> <ul style="list-style-type: none"> • Members Code of Conduct Councillors Code of Conduct • Fraud Guidelines • Anti-Bribery Policy • Annual Governance Statement • Local Code of Corporate Governance • Whistle blowing Policy • Employee Appraisals • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Induction training for new members • Compliance with CIPFA's Financial Management Code. 	3	<p>Revise Fraud Guidelines.</p> <p>Employee Appraisals are behind schedule.</p> <p>Induction training for new members to be completed.</p>
		1.2	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are	<ul style="list-style-type: none"> • <i>Communicating shared values with members, staff, the community and partners</i> • Members Code of Conduct Councillors Code of Conduct 	3	Revise Fraud Guidelines.

		communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles).	<ul style="list-style-type: none"> • Fraud Guidelines • Anti-Bribery Policy • Annual Governance Statement • Local Code of Corporate Governance • Whistle blowing Policy • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 		
	1.3	Leading by example and using these standard operating principles or values as a framework for decision making and other actions.	<ul style="list-style-type: none"> • <i>Decision making practices</i> • <i>Declarations of interests made at meetings</i> • <i>Conduct at meetings</i> • <i>Shared values guide decision making</i> • <i>Develop and maintain an effective standards committee</i> • Members Code of Conduct Councillors Code of Conduct • Fraud Guidelines • Anti-Bribery Policy • Whistle blowing Policy • Annual Governance Statement • Local Code of Corporate Governance • Employee Appraisals. • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 	3	Revise Fraud Guidelines.

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE A (continued)		Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law			
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.	Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		1.4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	<ul style="list-style-type: none"> • <i>Anti-fraud and corruption policies are working effectively</i> • <i>Up-to-date register of interests (members and staff)</i> • <i>Up-to-date register of gifts and hospitality</i> • <i>Whistleblowing policies are in place and protect individuals raising concerns</i> • <i>Whistleblowing policy has been made available to members of the public, employees, partners and contractors</i> • <i>Complaints policy and examples of responding to complaints about behaviour</i> • <i>Changes/improvements as a result of complaints received and acted upon</i> • <i>Members' and officers' code of conduct refers to a requirement to declare interests</i> • <i>Minutes show declarations of interest were sought and appropriate declarations made</i> • Members Code of Conduct Councillors Code of Conduct • Fraud Guidelines • Anti-Bribery Policy • Whistle blowing Policy • Annual Governance Statement • Local Code of Corporate Governance • Complaints Procedure • Bridge Bye Laws • Register of Interests for Members held by their Constituent Councils. • Register of Interests for Members specific to the Bridge Board. • Register of Interests for Senior Staff who have input into and responsibility for 	3	Revise Fraud Guidelines.

				<ul style="list-style-type: none"> • decision making and awarding contracts. • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Declaration of Interest is a standing item on Board meeting agenda. • Compliance with CIPFA's Financial Management Code. 		
2	Demonstrating strong commitment to ethical values	2.1	Seeking to establish, monitor and maintain the organisation's ethical standards and performance.	<ul style="list-style-type: none"> • <i>Scrutiny of ethical decision making</i> • <i>Championing ethical compliance at governing body level</i> • Mainstreaming Equality Report 2021-2023 • Scottish Living Wage Accreditation. • Integrated Impact Assessments. • Training Course on Skills to Mitigate Bias and Inclusive Recruitment included in training programme. 	4	
		2.2	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation.	<ul style="list-style-type: none"> • <i>Provision of ethical awareness training</i> • Employee Appraisal process. • Employee Code of Conduct. • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Previous training undertaken by all staff in 2014 included e-learning course on Equality and Diversity. • Equality and Human Rights Training delivered by DCC undertaken by all staff in 2019. • Training Course on Skills to Mitigate Bias and Inclusive Recruitment included in training programme. • Issue of Anti-Bribery Policy to all staff in March 2020. • Issue of revised Whistle blowing Policy to all staff in November 2022. • Compliance with CIPFA's Financial Management Code. • Team Charter introduced to coincide with organisation staffing changes and boost morale by providing clear expectations to improve focus and support to help staff 	3	<p>Staff appraisals behind schedule.</p> <p>Team Charter to be updated with staff in 2023 following staff changes.</p> <p>Roll out Equality and Diversity and Human Rights Training Updates to all staff via e-learning.</p>

				manage the change successfully.		
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE A (continued)		Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.3	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	<ul style="list-style-type: none"> • <i>Appraisal processes take account of values and ethical behaviour</i> • <i>Staff appointments policy</i> • <i>Procurement policy</i> • Employee Appraisal process. • Recruitment and Selection Policy. • Scottish Living Wage Accreditation. • Employee Handbook / Code of Conduct. • Computer and Internet Guidelines / Social Media Guidelines. • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Equal Opportunities Employer. • Personal Harassment Policy. • Anti-Bribery Policy • Whistle blowing Policy • Compliance with CIPFA's Financial Management Code. • Team Charter introduced to coincide with organisation staffing changes and boost morale by providing clear expectations to improve focus and support to help staff manage the change successfully. 	3	Staff appraisals behind schedule
		2.4	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation.	<ul style="list-style-type: none"> • <i>Agreed values in partnership working:</i> <ul style="list-style-type: none"> ○ <i>Statement of business ethics communicates commitment to ethical values to external suppliers</i> ○ <i>Ethical values feature in contracts with external service providers</i> • <i>Protocols for partnership working</i> 	4	

				<ul style="list-style-type: none"> • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Scottish Living Wage Accreditation. • Ethical values feature in OJEU Tenders issued by TRBJB. TRBJB use Dundee City Council Procurement Services as part of the Corporate Services Service Level Agreement to advise and assist with procurement and tenders. 		
3	Respecting the Rule of Law	3.1	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	<ul style="list-style-type: none"> • <i>Statutory provisions</i> • <i>Statutory guidance is followed</i> • <i>Constitution</i> • The Board's structure, functions and powers are prescribed in the Tay Road Bridge TRB Confirmation Act 1991 • Checking of staff driving licenses to make sure they are legal to drive work vans. 	4	
		3.2	Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.	<ul style="list-style-type: none"> • <i>Job description/specifications</i> <ul style="list-style-type: none"> • <i>Compliance with CIPFA's Statement on The Role of the Chief Financial Officer in Local Government (CIPFA, 2016)</i> • <i>Terms of reference</i> • <i>Committee support</i> • The Board's structure, functions and powers are prescribed in the Tay Road Bridge TRB Confirmation Act 1991 • Job descriptions. • Compliance with CIPFA's statement on the Role of the Chief Financial Officer. • Compliance with CIPFA's Financial Management Code. 	4	
		3.3	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	<ul style="list-style-type: none"> • <i>Record of legal advice provided by officers</i> • Service Level Agreement (SLA) with Dundee City Council for Legal Services. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE A (continued)		Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		3.4	Dealing with breaches of legal and regulatory provisions effectively.	<ul style="list-style-type: none"> • <i>Monitoring officer provisions</i> • <i>Record of legal advice provided by officers</i> • <i>Statutory provisions</i> • Service Level Agreement (SLA) with Dundee City Council for Legal Services. • SAR Procedures, Data Breach Flow Chart, and Data Breach Procedures have been developed and are available on TRBJB website. • A CCTV Privacy Statement and Policy, and a Privacy Statement for the TRBJB website has also been introduced, along with a Cookie Policy. • Guidance on Information, Records Management and Preservation of Archival Records 	3	<p>Training on Data Protection to be rolled-out to all staff.</p> <p>Bridge Manager to carry out review with DCC Information Governance Manager in 2023. Last meeting was in 2021.</p>
		3.5	Ensuring corruption and misuse of power are dealt with effectively.	<ul style="list-style-type: none"> • <i>Effective anti-fraud and corruption policies and procedures</i> • <i>Local test of assurance (where appropriate)</i> • Members Code of Conduct Councillors Code of Conduct • Fraud Guidelines • Anti-Bribery Policy • Whistle blowing Policy • Complaints Procedure 	3	Revise Fraud Guidelines.

Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations				8	5	13

Have there been any significant / critical events relating to Principle 1 during the financial year? If yes, please provide details.	
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Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.	<ul style="list-style-type: none"> Scottish Living Wage Accreditation.
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Links to relevant Tay Road Bridge Policies, Procedures and Guidelines:

Further Guidance:

- [The Role of the Chief Financial Officer in Local Government](#) (CIPFA, 2016)
[Commissioner for Ethical Standards in Public Life in Scotland](#)
[The Standards Commission for Scotland](#)
[Councillors' Code of Conduct](#)
[Code of Ethics for Public Services Senior Managers](#) (Solace)
[Code of Practice on Managing the Risk of Fraud and Corruption](#) (CIPFA, 2014)
[Equality and Human Rights Commission's Public Sector Advice and Guidance](#)
 Equality Act 2010 – Fact Sheet: [Equality Act 2010 - Factsheet](#)
 Equality Act 2010 – Easy Read Version: [Equality Act 2010 - Easy Read Version](#)
 Equality Act 2010 – Explanatory Notes: [Equality Act 2010 - Explanatory Notes](#)
 Equality Legislation – Summary: [Equality Legislation - Summary](#)

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE B		Ensuring openness and comprehensive stakeholder engagement				
		Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
1	Openness	1.1	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness.	<ul style="list-style-type: none"> • <i>Annual report</i> • <i>Freedom of Information Act publication scheme</i> • <i>Online council tax information</i> • <i>Authority's goals and values</i> • <i>Authority website</i> • Annual Accounts 2021-2022 Audited Accounts • Board Meeting Minutes and relevant documents Board Documents are published on the Board's website: www.tayroadbridge.co.uk • Freedom of Information Policy • Team Charter introduced to coincide with organisation staffing changes and boost morale by providing clear expectations to improve focus and support to help staff manage the change successfully. 	4	Website needs a review with DCC Comms team and IT to look at where it might need a refresh and then issue public questionnaire.
		1.2	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.	<ul style="list-style-type: none"> • <i>Record of decision making and supporting materials</i> • Board Meeting Minutes and relevant documents Board Documents are published on the Board's website: www.tayroadbridge.co.uk • Freedom of Information Policy • Tender Procedures • Compliance with CIPFA's Financial Management Code. 	4	

		1.3	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.	<ul style="list-style-type: none"> • <i>Decision-making protocols</i> • <i>Report pro-formas</i> • <i>Record of professional advice in reaching decisions</i> • <i>Meeting reports show details of advice given</i> • <i>Discussion between members and officers on the information needs of members to support decision making</i> • <i>Agreement on the information that will be provided and timescales</i> • <i>Calendar of dates for submitting, publishing and distributing timely reports is adhered to</i> • Board Meeting Minutes and relevant documents Board Documents are published on the Board's website: www.tayroadbridge.co.uk • Pre-Agenda meetings held to discuss reports and issues that will be reported to Board meeting. • Tender Procedures • Calendar of reporting deadlines provided by Committee Services at the beginning of each calendar year. • Compliance with CIPFA's Financial Management Code. 	4	
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE B (Continued)		Ensuring openness and comprehensive stakeholder engagement				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.	Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement	
		1.4	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action.	<ul style="list-style-type: none"> • <i>Community strategy</i> • <i>Use of consultation feedback</i> • <i>Citizen survey</i> • Bridge closures/ cycle statistics reported in Annual Accounts. • Operational Restrictions and Closures 	4	

				<p>reported to the Board on a quarterly basis and published on the website Board Meeting Minutes</p> <ul style="list-style-type: none"> • Website www.tayroadbridge.co.uk • Social Media communications TRB twitter • TRBJB Bridge Manager is part of a Tolls Tunnels and Bridges best practice information sharing working group alongside all the major bridges across the UK. This group meets once a quarter. • TRBJB Bridge Manager is part of a suicide prevention working group to share best practice. • TRBJB Bridge manager attends or sends representatives to Road Authority and Utility Company meetings locally that is also a forum to share best practice and covers accidents/near misses within other organisations. Relevant matters are shared by TRBJB Bridge Manager with staff. • Compliance with CIPFA's Financial Management Code. 		
2	Engaging comprehensively with institutional stakeholders	2.1	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	<ul style="list-style-type: none"> • <i>Communication strategy</i> • Service Level Agreement (SLA) with Dundee City Council for a Communications Strategy. • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. • Website www.tayroadbridge.co.uk • Communication Strategy 	4	
		2.2	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	<ul style="list-style-type: none"> • <i>Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes</i> • TRBJB Bridge Manager is part of a Tolls Tunnels and Bridges best practice information sharing working group alongside all the major bridges across the UK. This group meets once a quarter. 	4	

				<ul style="list-style-type: none"> • Bridge Manager attends quarterly SCOTS Bridges Group meetings. • Service Level Agreement (SLA) with the Roads Maintenance Partnership to provide TRBJB with additional resources to cover staff absences/ emergency support on bridge. This was agreed in the summer of 2020 in response to a business continuity review in terms of the impact of the Covid-19 pandemic. This SLA is being maintained on a three-year agreement for renewal in 2024 if agreed by both parties. • SLA with DCC City Development to assist TRBJB in Statutory Roadworks Noticing on the Scottish Roadworks Register. 		
		2.3	<p>Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> ○ trust ○ a shared commitment to change ○ a culture that promotes and accepts challenge among partners <p>and that the added value of partnership working is explicit.</p>	<ul style="list-style-type: none"> • <i>Partnership framework</i> • <i>Partnership protocols</i> • Service Level Agreements (SLAs) with Dundee City Council for services provision, and annual review meeting to assess success needs for both parties. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE B (continued)		Ensuring openness and comprehensive stakeholder engagement				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.	Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement	
3	Engaging stakeholders effectively, including individual citizens and service users	3.1	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.	<ul style="list-style-type: none"> Record of public consultations Partnership framework Communication Strategy Compliance with CIPFA's Financial Management Code. Website www.tayroadbridge.co.uk 	4	
		3.2	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	<ul style="list-style-type: none"> Communications strategy Communication Strategy Website www.tayroadbridge.co.uk Social Media communications TRB twitter 	4	
		3.3	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	<ul style="list-style-type: none"> Communications strategy Joint strategic needs assessment Communication Strategy Website www.tayroadbridge.co.uk Social Media communications TRB twitter Feedback forms are provided to members of the public who break down on the bridge as a means to monitor performance and aid continuous improvement. Record of enquiries from the public and responses are kept and a five-day turnaround in responding is achieved. Strategic Plan 2019-2024 A public questionnaire was issued on social media during 2020 with the aim of 	4	

				<ul style="list-style-type: none"> gathering information to help improve the website. Compliance with CIPFA's Financial Management Code. 		
		3.4	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account.	<ul style="list-style-type: none"> <i>Communications strategy</i> Communication Strategy Feedback information to TRBJB Board at quarterly meeting of elected community councillors. 	4	
		3.5	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	<ul style="list-style-type: none"> <i>Processes for dealing with competing demands within the community, for example a consultation</i> Feedback information to TRBJB Board at quarterly meeting of elected community councillors. Open channel for ongoing communication with elected officials and community groups. Working with other stakeholder professionals in a Wellbeing Steering group. 	4	
		3.6	Taking account of the interests of future generations of tax payers and service users.	<ul style="list-style-type: none"> <i>Reports</i> <i>Joint strategic needs assessment</i> Engineer and Bridge Manager Reports to the Board detailing structural condition and inspection process as appropriate / Quarterly Closure statistics reported to the TRBJB. Compliance with CIPFA's Financial Management Code. 	4	

Ensuring openness and comprehensive stakeholder engagement	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations					13	13

Have there been any significant / critical events relating to Principle 2 during the financial year? If yes, please provide details.	
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Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.	
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Further Guidance:

[Model Publication Scheme Monitoring Report 2018](#) (Scottish Information Commissioner, 2018)

[Good Governance Principles for Partnership Working](#) (Audit Scotland, 2011)

[Community Planning Toolkit](#) (Community Places, 2014)

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

In addition to the overarching requirements for acting in the public interest in principles A and B, achieving good governance in local government also requires effective arrangements for:

PRINCIPLE C		Defining outcomes in terms of sustainable economic, social, and environmental benefits				
		The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
1	Defining Outcomes	1.1	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions.	<ul style="list-style-type: none"> • <i>Vision used as a basis for corporate and service planning</i> • The Board's structure, functions and powers are prescribed in the Tay Road Bridge TRB Confirmation Act 1991 • Management Arrangements of Scottish Government. • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 	4	
		1.2	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer.	<ul style="list-style-type: none"> • <i>Community engagement and involvement</i> • <i>Corporate and service plans</i> • <i>Community strategy</i> • Sharing long-term capital plan with Scottish Government through liaison with Transport Scotland Officials. • Communication Strategy will include press releases for changes impacting service users. • Strategic Plan 2019-2024 • Integrated Impact Assessments. • Compliance with CIPFA's Financial Management Code. 	4	

		1.3	Delivering defined outcomes on a sustainable basis within the resources that will be available.	<ul style="list-style-type: none"> • <i>Regular reports on progress</i> • Reports to the quarterly TRBJB meetings. 	4	
		1.4	Identifying and managing risks to the achievement of outcomes.	<ul style="list-style-type: none"> • <i>Performance trends are established and reported upon</i> • <i>Risk management protocols</i> • Business Continuity Plan. • Risk Management Strategic Plan and Strategic Risk Register 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE C (continued)		Defining outcomes in terms of sustainable economic, social, and environmental benefits				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		1.5	Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	<ul style="list-style-type: none"> • <i>An agreed set of quality standard measures for each service element are included in service plans</i> • <i>Processes for dealing with competing demands within the community</i> • Through Board member engagement with their constituents. 	4	
2	Sustainable economic, social and environmental benefits	2.1	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision.	<ul style="list-style-type: none"> • <i>Capital investment is structured to achieve appropriate life spans and adaptability for future use so that resources are spent on optimising social, economic and environmental wellbeing:</i> • <i>Capital programme</i> • <i>Capital investment strategy</i> • Sharing long-term capital plan with Scottish Government through liaison with Transport Scotland Officials. • Compliance with CIPFA's Financial Management Code. 	4	

	2.2	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints.	<ul style="list-style-type: none"> • <i>Discussion between members and officers on the information needs of members to support decision making</i> • <i>Record of decision making and supporting materials</i> • Three yearly Revenue and Capital Budgets are updated and reported to Board annually. • Long-term Capital Plan is produced and discussed with Transport Scotland. • Business Continuity Plan. • Risk Management Strategic Plan and Strategic Risk Register • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 	4		
	2.3	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.	<ul style="list-style-type: none"> • <i>Record of decision making and supporting materials</i> • <i>Protocols for consultation</i> • Liaison meetings with Scottish Government through Transport Scotland to agree spend profiles. • Compliance with CIPFA's Financial Management Code. 	4		
	2.4	Ensuring fair access to services.	<ul style="list-style-type: none"> • <i>Protocols ensure fair access and statutory guidance is followed</i> • Lift and ramp allow access to bridge's central walkway. 	4		

Defining outcomes in terms of sustainable economic, social, and environmental benefits	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations					9	9

Have there been any significant / critical events relating to Principle 3 during the financial year? If yes, please provide details.	
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Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.	
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Further Guidance:

[CIPFA Insights...Devolution webpage including Building Partnerships](#) (CIPFA / Grant Thornton)

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE D		Determining the interventions necessary to optimise the achievement of the intended outcomes					
		Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.					
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance		Evaluation Level (1 - 4)	Areas Requiring Improvement
1	Determining interventions	1.1	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.	<ul style="list-style-type: none"> • <i>Discussion between members and officers on the information needs of members to support decision making</i> • <i>Decision making protocols</i> • <i>Option appraisals</i> • <i>Agreement of information that will be provided and timescales</i> • Pre-Agenda meetings held to discuss reports and issues that will be reported to Board meeting. • Tender Procedures outline the requirements of when to report to Board. • Calendar of reporting deadlines provided by Committee Services at the beginning of each calendar year. • Service Level Agreement (SLA) with Dundee City Council Procurement Team for procuring services and protect the board against changes to procurement legislation. • Compliance with CIPFA's Financial Management Code. 	4		
		1.2	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise	<ul style="list-style-type: none"> • <i>Financial strategy</i> • Working with Fife Council and SUstrans to deliver Park and Choose facility at Fife side of the bridge with the aim of supporting the reduction of carbon emissions, to improve 	4	TRBJB will support all stakeholders and lead authorities in the delivery of a	

			<p>competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.</p>	<p>sustainability and comply with Road Scotland Act 2019.</p> <ul style="list-style-type: none"> • Open channel for ongoing communication with elected officials and community groups. • TRB management have open communication channels with cycling groups. • Website www.tayroadbridge.co.uk • New safety signage to advise shared path users to watch out for each other has been delivered. This was a user request. Signage is much clearer. 		<p>Park and Choose Scheme in Fife.</p>
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE D (continued)		Determining the interventions necessary to optimise the achievement of the intended outcomes				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
2	Planning interventions	2.1	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	<ul style="list-style-type: none"> • <i>Calendar of dates for developing and submitting plans and reports that are adhered to</i> • Calendar of reporting deadlines provided by Committee Services at the beginning of each calendar year. 	4	
		2.2	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	<ul style="list-style-type: none"> • <i>Communication strategy</i> • Communication Strategy 	4	
		2.3	Considering and monitoring risks facing each partner when working collaboratively including shared risks.	<ul style="list-style-type: none"> • <i>Partnership framework</i> • <i>Risk management protocol</i> • Regular risk management / contract meetings are held during works contracts on the bridge. 	4	

			<ul style="list-style-type: none"> Compliance with CIPFA's Financial Management Code. 		
	2.4	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.	<ul style="list-style-type: none"> <i>Planning protocols</i> Regular risk management / contract meetings are held during works contracts on the bridge. Compliance with CIPFA's Financial Management Code. 	4	
	2.5	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured.	<ul style="list-style-type: none"> <i>KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly</i> Record of enquiries from the public and responses are kept and a five-day turnaround in responding is achieved. Strategic Plan 2019-2024 defines how KPI's are collected. Compliance with CIPFA's Financial Management Code. 	4	
	2.6	Ensuring capacity exists to generate the information required to review service quality regularly.	<ul style="list-style-type: none"> <i>Reports include detailed performance results and highlight areas where corrective action is necessary</i> Annual Governance Statement Local Code of Corporate Governance Management Meetings with Bridge Management Staff are formally recorded. Strategic Plan 2019-2024 Compliance with CIPFA's Financial Management Code. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE D (continued)		Determining the interventions necessary to optimise the achievement of the intended outcomes				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.7	Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan.	<ul style="list-style-type: none"> • <i>Evidence that budgets, plans and objectives are aligned</i> • Three yearly Revenue and Capital Budgets are updated and reported to Board annually. • Long-term Capital Plan is produced and discussed with Scottish Government through Transport Scotland. • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 	4	
		2.8	Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.	<ul style="list-style-type: none"> • <i>Budget guidance and protocols</i> • <i>Medium-term financial plan</i> • <i>Corporate plans</i> • Three yearly Revenue and Capital Budgets are updated and reported to Board annually. • Long-term Capital Plan is produced and discussed with Transport Scotland. • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 	4	
3	Optimising achievement of intended outcomes	3.1	Ensuring the medium-term financial strategy integrates and balances service priorities, affordability and other resource constraints.	<ul style="list-style-type: none"> • <i>Feedback surveys and exit/decommissioning strategies</i> • <i>Changes as a result</i> • Three yearly Revenue and Capital Budgets are updated and reported to Board annually. • Compliance with CIPFA's Financial Management Code. 	4	

		3.2	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.	<ul style="list-style-type: none"> • <i>Budgeting guidance and protocols</i> • Three yearly Revenue and Capital Budgets are updated and reported to Board annually. • Long-term Capital Plan is produced and discussed with Transport Scotland. • Compliance with CIPFA's Financial Management Code. 	4	
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE D (continued)		Determining the interventions necessary to optimise the achievement of the intended outcomes					
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance		Evaluation Level (1 - 4)	Areas Requiring Improvement
		3.3	Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.	<ul style="list-style-type: none"> • <i>Financial strategy</i> • Three yearly Revenue and Capital Budgets are updated and reported to Board annually. • Long-term Capital Plan is produced and discussed with Transport Scotland. • Senior management receive regular financial reports to enable financial management. • Regular meetings are held to support the Revenue and Capital Monitoring and reporting process. • Regular Revenue and Capital Monitoring Reports are reported to the Board and published on the website Board Meeting Minutes • Bridge manager discusses finances at quarterly management meetings with his key staff. • Compliance with CIPFA's Financial Management Code. • Regular management meetings held to improve control given number of capital and inspection surveys due from 2020. 	4		

		3.4	Ensuring the achievement of 'social value' through service planning and commissioning.	<ul style="list-style-type: none"> • <i>Service plans demonstrate consideration of 'social value'</i> • <i>Achievement of 'social value' is monitored and reported upon</i> • Regular Engineer and Bridge Manager Reports presented at Board meetings detailing structural condition and inspection process as appropriate / Quarterly Closure statistics reported to the TRBJB. • Strategic Plan 2019-2024 	4	
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Determining the interventions necessary to optimise the achievement of the intended outcomes	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations					14	14

Have there been any significant / critical events relating to Principle 4 during the financial year? If yes, please provide details.

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Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.

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Links to relevant Tay Road Bridge Policies, Procedures and Guidelines:

Further Guidance:

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE E		Developing the entity's capacity, including the capability of its leadership and the individuals within it				
		Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
1	Developing the entity's capacity	1.1	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness.	<ul style="list-style-type: none"> Regular reviews of activities, outputs and planned outcomes Quarterly review meetings between Bridge Manager and Engineer to the Board to monitor and manage resources to ensure compliance with TRBJB Asset Management Plan and national and published structural inspection requirements. Compliance with CIPFA's Financial Management Code. Organisation restructure implemented in July 2021 to improve operations, after review of staff structure and shift patterns, and to improve staff welfare and bridge user expectations. Organisational structure amended following discussion with staff and trade unions to provide working rota certainty and internal staff support improvements. 	4	
		1.2	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's	<ul style="list-style-type: none"> Utilisation of research and benchmarking exercises The Board's Financial Regulations require that all contracts entered into shall, where practicable, comply with the organisation's 	4	

			resources are allocated so that outcomes are achieved effectively and efficiently.	<p>Tendering Procedures. These state 'the underlying spirit of the procedures is to provide openness, accountability and Best Value in the Board's procurement of goods, services and works.</p> <ul style="list-style-type: none"> • Compliance with CIPFA's Financial Management Code. 		
		1.3	Recognising the benefits of partnerships and collaborative working where added value can be achieved.	<ul style="list-style-type: none"> • <i>Effective operation of partnerships which deliver agreed outcomes</i> • Service Level Agreements with Dundee City Council for services provision, and annual review meeting to assess success needs for both parties. 	3	Annual Service Reviews have recommenced but remain inconsistent.
		1.4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	<ul style="list-style-type: none"> • <i>Workforce plan</i> • <i>Organisational development plan</i> • A structural bridge inspection plan is in-place and monitored by the Deputy Bridge Manager. • Strategic Plan 2019-2024 • A routine maintenance plan for the bridge and bridge property was delivered in 2021 and is being implemented and monitored by the Deputy Bridge Manager. • An Annual Development plan is in place. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE E (Continued)		Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
2	Developing the capability of the entity's leadership and other individuals	2.1	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a	<ul style="list-style-type: none"> • <i>Job descriptions</i> • <i>Chief executive and leader pairings have considered how best to establish and maintain effective communication</i> • Standing Orders Scheme of Delegation 	4	

			shared understanding of roles and objectives is maintained.	Compliance with CIPFA's Financial Management Code.		
		2.2	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body.	<ul style="list-style-type: none"> • <i>Scheme of delegation reviewed at least annually in the light of legal and organisational changes</i> • <i>Standing orders and financial regulations which are reviewed on a regular basis</i> • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations 	4	
		2.3	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority.	<ul style="list-style-type: none"> • <i>Clear statement of respective roles and responsibilities and how they will be put into practice</i> • TRBJB does not have these distinct roles within its structure due to the size and function of the organisation. 	N/A	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE E (Continued)		Developing the entity's capacity, including the capability of its leadership and the individuals within it					
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance		Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.4	Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and	<ul style="list-style-type: none"> • <i>Access to courses/information briefings on new legislation</i> • Continuous Professional Development for Bridge Manager and his staff. • Induction training for new members. • Equalities and Human Rights Training delivered to all staff 2019. • Maintaining Service Level Agreement (SLA) 	3	Roll-out Equality and Diversity and Human Rights training updates to all staff via e-learning.	

		environmental changes and risks by:	<ul style="list-style-type: none"> with DCC Legal. Compliance with CIPFA's Financial Management Code. 		
	2.4 a)	ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged.	<ul style="list-style-type: none"> <i>Induction programme</i> <i>Personal development plans for members and officers</i> Staff Training Plan. Employee Appraisal process. Training Matrix that links to job competence and H&S requirements for all roles is monitored by Bridge Management and monies set aside in revenue budget every year to ensure this is an ongoing process. Review of staff training undertaken at management meetings. Induction training for new members. Equalities and Human Rights Training delivered to all staff 2019. Compliance with CIPFA's Financial Management Code. 	3	<p>Staff Appraisals are behind schedule.</p> <p>Roll-out Equality and Diversity and Human Rights training updates to all staff via e-learning.</p>
	2.4 b)	ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis.	<ul style="list-style-type: none"> <i>For example, for members this may include the ability to:</i> <ul style="list-style-type: none"> <i>scrutinise and challenge</i> <i>recognise when outside expert advice is required</i> <i>promote trust</i> <i>work in partnership</i> <i>lead the organisation</i> <i>act as a community leader</i> <i>Efficient systems and technology used for effective support</i> Staff Training Plan. Employee Appraisal process. Induction training for new members. Equalities and Human Rights Training delivered to all staff 2019. Compliance with CIPFA's Financial Management Code. Team Charter introduced to coincide with organisation staffing changes and boost morale by providing clear expectations to 	3	Roll-out Equality and Diversity and Human Rights training updates to all staff via e-learning.

				improve focus and support to help staff manage the change successfully.		
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE E (Continued)		Developing the entity's capacity, including the capability of its leadership and the individuals within it					
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance		Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.4	ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses.	<ul style="list-style-type: none"> • <i>Arrangements for succession planning</i> • Annual Governance Statement's Continuous Improvement Agenda. • Local Code of Corporate Governance • Recommendations from Internal and External Audit reviews are acted upon. • Compliance with CIPFA's Financial Management Code. 	4		
		2.5	Ensuring that there are structures in place to encourage public participation.	<ul style="list-style-type: none"> • <i>Residents' panels</i> • <i>Stakeholder forum terms of reference</i> • <i>Strategic partnership frameworks</i> • Members of the public can contact the bridge with any queries through www.tayroadbridge.co.uk or through elected members, whether represented on the board or otherwise. • A public questionnaire was issued on social media during 2020 with the aim of gathering information to help improve the website. 	4		
		2.6	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.	<ul style="list-style-type: none"> • <i>Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs</i> • <i>Peer reviews</i> • Appraisal process for Bridge Manager. 	4		
		2.7	Holding staff to account through regular performance reviews which take account of training or development needs.	<ul style="list-style-type: none"> • <i>Training and development plan</i> • <i>Staff development plans linked to appraisals</i> • <i>Implementing appropriate human resource policies and ensuring that they are working effectively</i> 	4		

			<ul style="list-style-type: none"> Employee Appraisal process. Staff Training Plan. 		
	2.8	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.	<ul style="list-style-type: none"> <i>Human resource policies</i> Service Level Agreement (SLA) with People Asset Management (PAM) Occupational Health Provider. Mindfulness and Stress Management Courses were introduced in 2018/2019 and will form part of the regular staff training programme. 	3	Further courses are planned for 2023 to cover Recognising Stress and Staff Resilience.

Developing the entity's capacity, including the capability of its leadership and the individuals within it	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations	1			5	9	15

Have there been any significant / critical events relating to Principle 5 during the financial year? If yes, please provide details.

Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.

Links to relevant Tay Road Bridge Policies, Procedures and Guidelines:

Further Guidance:

[Commissioner for Ethical Standards in Public Life in Scotland](#)

[The Standards Commission for Scotland](#)

[Councillors' Code of Conduct](#)

[Code of Ethics for Public Services Senior Managers](#) (Solace)

[Equality and Human Rights Commission's Public Sector Advice and Guidance](#)

Equality Act 2010 – Fact Sheet: [Equality Act 2010 - Factsheet](#)

Equality Act 2010 – Easy Read Version: [Equality Act 2010 - Easy Read Version](#)

Equality Act 2010 – Explanatory Notes: [Equality Act 2010 - Explanatory Notes](#)

Equality Legislation – Summary: [Equality Legislation - Summary](#)

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE F		Managing risks and performance through robust internal control and strong public financial management				
		<p>Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision-making activities.</p> <p>A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.</p> <p>It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.</p>				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
1	Managing Risk	1.1	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making.	<ul style="list-style-type: none"> • <i>Risk management protocol</i> • Risk Management Strategic Plan and Strategic Risk Register • Compliance with CIPFA's Financial Management Code. 	4	
		1.2	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	<ul style="list-style-type: none"> • <i>Risk management strategy/ policy formally approved, adopted, reviewed and updated on a regular basis</i> • Risk Management Strategic Plan and Strategic Risk Register • Compliance with CIPFA's Financial Management Code. 	4	
		1.3	Ensuring that responsibilities for managing individual risks are clearly allocated.	<ul style="list-style-type: none"> • <i>Risk management protocol</i> • Risk Management Strategic Plan and Strategic Risk Register 	4	
2	Managing Performance	2.1	Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review.	<ul style="list-style-type: none"> • <i>Performance map showing all key activities have performance measures</i> • <i>Benchmarking information</i> • <i>Cost performance (using inputs and outputs)</i> 	4	

				<ul style="list-style-type: none"> • <i>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</i> • Contract spreadsheet has a column for the responsible officer to make comment on performance. On larger contracts meetings are held annually with service providers to discuss needs for both parties. • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 		
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE F (Continued)		Managing risks and performance through robust internal control and strong public financial management					
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance		Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.2	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook.	<ul style="list-style-type: none"> • <i>Discussion between members and officers on the information needs of members to support decision making</i> • <i>Publication of agendas and minutes of meetings</i> • <i>Agreement on the information that will be needed and timescales</i> • Board Meeting Minutes and relevant documents Board Documents are published on the Board's website: www.tayroadbridge.co.uk • Calendar of reporting deadlines provided by Committee Services at the beginning of each calendar year. • Appointing professional Consultants to advise on projects/ maintenance requirements to gain independent advice. • Compliance with CIPFA's Financial Management Code. 	4		

		2.3	<p>Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible.</p> <p>(OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making.</p>	<ul style="list-style-type: none"> • <i>The role and responsibility for scrutiny has been established and is clear</i> • <i>Agenda and minutes of scrutiny meetings</i> • <i>Evidence of improvements as a result of scrutiny</i> • <i>Terms of reference</i> • <i>Training for members</i> • <i>Membership</i> • External Audit reports are reported to the Board and recommendations are acted upon. • Internal Auditors comply with Public Sector Internal Audit Standards. • Internal Audit reviews are reported to the Board and recommendations are acted upon. • Internal Audit Follow Up reports on progress against recommendations are reported to the Board. • Compliance with CIPFA's Financial Management Code. 	4	
		2.4	<p>Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.</p>	<ul style="list-style-type: none"> • <i>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</i> • Calendar of reporting deadlines provided by Committee Services at the beginning of each calendar year. • Regular reports Board Meeting Minutes submitted to the Board include Revenue and Capital Monitoring, Engineer's report, Operational Restrictions and Closures. • Strategic Plan 2019-2024 • Compliance with CIPFA's Financial Management Code. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE F (Continued)		Managing risks and performance through robust internal control and strong public financial management				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.5	Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (e.g. financial statements).	<ul style="list-style-type: none"> • <i>Financial standards, guidance</i> • <i>Financial regulations and standing orders</i> • Standing Orders Scheme of Delegation Tender Procedures Financial Regulations • Revenue and Capital Budgets, Revenue and Capital Monitoring, and Annual Accounts have consistency in how they are presented. • Major Capital projects are reported against budget within Engineer's reports. • Compliance with CIPFA's Financial Management Code. 	4	
3	Robust Internal Control	3.1	Aligning the risk management strategy and policies on internal control with achieving objectives.	<ul style="list-style-type: none"> • <i>Risk management strategy</i> • <i>Audit plan</i> • <i>Audit reports</i> • Risk Management Strategic Plan and Strategic Risk Register • External Auditor's Annual Audit Plan reported to Board and any recommendations are acted upon. • Internal Audit produce an Audit Needs Assessment and Strategic Plan at the start of their three yearly contract and update their Audit Plan annually. • Internal Audit reviews are reported to the Board and recommendations are acted upon. • Internal Audit Follow Up reports on progress against recommendations are reported to the Board. • Compliance with CIPFA's Financial Management Code. 	4	

		3.2	Evaluating and monitoring risk management and internal control on a regular basis.	<ul style="list-style-type: none"> • <i>Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis</i> • Risk Management Strategic Plan and Strategic Risk Register • Bridge Manager meets annually with Risk Manager for Dundee City Council to review Risk Management Register. • Compliance with CIPFA's Financial Management Code. 	4	
		3.3	Ensuring effective counter fraud and anti-corruption arrangements are in place.	<ul style="list-style-type: none"> • <i>Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</i> • Fraud Guidelines • Anti-Bribery Policy • Whistle blowing Policy • Compliance with CIPFA's Financial Management Code. 	3	Revise Fraud Guidelines.
		3.4	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	<ul style="list-style-type: none"> • <i>Annual governance statement</i> • <i>Effective internal audit service is resourced and maintained</i> • Annual Governance Statement • Local Code of Corporate Governance • Internal Audit provision is outsourced, via a tender process, to a private sector audit firm. • Compliance with CIPFA's Financial Management Code. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE F (Continued)		Managing risks and performance through robust internal control and strong public financial management				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		3.5	<p>Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:</p> <ul style="list-style-type: none"> ○ provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment. ○ that its recommendations are listened to and acted upon. 	<ul style="list-style-type: none"> • <i>Audit committee complies with best practice – see Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013) (Cost £175)</i> • <i>Terms of reference</i> • <i>Membership</i> • <i>Training</i> • TRBJB does not have a separate audit committee or equivalent group due to size and function of the organisation. The Board fulfils this role. 	N/A	
4	Managing Data	4.1	<p>Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.</p>	<ul style="list-style-type: none"> • <i>Data management framework and procedures</i> • <i>Designated data protection officer</i> • <i>Data protection policies and procedures</i> • Data Protection Policy • Freedom of Information Policy • Data Protection and CCTV Procedures • Service Level Agreement (SLA) with Dundee City Council IT Services to include all up to date safeguards with respect to data security. Individual work drives secured requiring login and all personal data is locked for senior management access only. • Guidance on Information, Records Management and Preservation of Archival Records • Subject Access Request (SAR) Procedures, Data Breach Flow Chart, and Data Breach 	3	<p>Training on Data Protection to be rolled-out to all staff.</p> <p>Bridge Manager to carry out review with DCC Information Governance Manager in 2023. Last meeting was in 2021.</p>

			<p>Procedures have been developed and are available on TRBJB website.</p> <ul style="list-style-type: none"> • A CCTV Policy and Privacy Statement and a Privacy Notice for the TRBJB website has also been introduced, along with a Cookies Policy Cookie Policy. • A Privacy Statement for the Complaint Handling Procedure is also in place. 		
	4.2	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	<ul style="list-style-type: none"> • <i>Data sharing agreement</i> • <i>Data sharing register</i> • <i>Data processing agreements</i> • Data Protection Policy • Freedom of Information Policy • Data Protection and CCTV Procedures • Guidance on Information, Records Management and Preservation of Archival Records 	3	Training on Data Protection to be rolled-out to all staff.

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE F (Continued)		Managing risks and performance through robust internal control and strong public financial management				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		4.3	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	<ul style="list-style-type: none"> • <i>Data quality procedures and reports</i> • <i>Data validation procedures</i> • Annual Accounts process subject to External Audit. • A programme of Internal Audit reviews covering a wide range of systems and processes. • Compliance with CIPFA's Financial Management Code. 	4	
5	Strong Public Financial Management	5.1	Ensuring financial management supports both long-term achievement of	<ul style="list-style-type: none"> • <i>Financial management supports the delivery of services and transformational change as well as securing good stewardship</i> 	4	

		outcomes and short-term financial and operational performance.	<ul style="list-style-type: none"> Senior management receive regular financial reports to enable financial management. Regular meetings are held to support the Revenue and Capital Monitoring and reporting process. Tender Procedure Waiver form implemented. This allows DCC procurement to approve / challenge decisions to waiver tender procedures to provide a third-party check and balance on TRBJB. Compliance with CIPFA's Financial Management Code. 		
	5.2	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	<ul style="list-style-type: none"> <i>Budget monitoring reports</i> Regular Revenue and Capital Monitoring Reports are reported to the Board and published on the website Board Meeting Minutes Compliance with CIPFA's Financial Management Code. 	4	

Managing risks and performance through robust internal control and strong public financial management	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations	1			3	14	18

Have there been any significant / critical events relating to Principle 6 during the financial year? If yes, please provide details.

Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.

Links to relevant Tay Road Bridge Policies, Procedures and Guidelines:

Further Guidance:

National Fraud Initiative: [National Fraud Initiative](#)

[From Bolt-on to Built-in: Managing Risk as an Integral Part of Managing an Organization](#) (IFAC, 2015)

[Code of Practice on Managing the Risk of Fraud and Corruption](#) (CIPFA, 2014)

[Whole System Approach to Public Financial Management](#) (CIPFA, 2012)

[The Role of the Head of Internal Audit in Public Service Organisations](#) (CIPFA, 2019)

[Following the Public Pound](#) (Audit Scotland, 2004)

[Safeguarding Public Money: Are you getting it right?](#) (Audit Scotland, 2019)

Information Commissioner's Office (ICO): <https://ico.org.uk/>

ICO Guide to Data Protection: <https://ico.org.uk/for-organisations/guide-to-data-protection/>

Scottish Information Commissioner: <http://www.itspublicknowledge.info/home/ScottishInformationCommissioner.aspx>

Records Retention Schedules from Scottish Council on Archives: <https://www.scottisharchives.org.uk/resources/scars/>

Freedom of Information Act: <http://www.dundee.gov.uk/foisa>

Data Protection Act: <https://www.dundee.gov.uk/supportservs/dataprotection/>

General Data Protection Regulation: <https://onedundee.dundee.gov.uk/news/gdpr-employee-handbook>

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE G		Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
		Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
1	Implementing Good Practice in Transparency	1.1	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate.	<ul style="list-style-type: none"> Website Board Meeting Minutes and relevant documents Board Documents are published on the Board's website: www.tayroadbridge.co.uk Annual Accounts 2021-2022 Audited Accounts includes the Bridge Manager's report which provides an outline of the Board's activities. Compliance with CIPFA's Financial Management Code. 	4	
		1.2	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.	<ul style="list-style-type: none"> Annual Report Annual Accounts 2021-2022 Audited Accounts Compliance with CIPFA's Financial Management Code. 	4	
2	Implementing Good Practices in Reporting	2.1	Reporting at least annually on performance, value for money and the stewardship of its resources.	<ul style="list-style-type: none"> Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery Annual financial statements Annual Accounts 2021-2022 Audited Accounts Annual Report by Internal Audit. Regular reports Board Meeting Minutes 	4	

				submitted to the Board include Revenue and Capital Monitoring, Engineer's report, Operational Restrictions and Closures.		
		2.2	Ensuring members and senior management own the results.	<ul style="list-style-type: none"> • <i>Appropriate approvals</i> • Reports to the Board are submitted for approval from Board Members Board Meeting Minutes • Compliance with CIPFA's Financial Management Code. 	4	

Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE G (Continued)		Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
		2.3	Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement).	<ul style="list-style-type: none"> • <i>Annual governance statement</i> • Annual Governance Statement reported to Board and published on website Board Meeting Minutes • Local Code of Corporate Governance • Compliance with CIPFA's Financial Management Code. 	4	
		2.4	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate.	<ul style="list-style-type: none"> • <i>Annual governance statement</i> • N/A. 	N/A	

		2.5	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations.	<ul style="list-style-type: none"> • <i>Format follows best practice</i> • Annual Accounts are published in accordance with statutory regulations. • Compliance with CIPFA's Financial Management Code. 	4	
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Tay Road Bridge Joint Board: SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE

PRINCIPLE G (Continued)		Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
Sub-Principle		Behaviours and actions that demonstrate good governance in practice.		Examples of systems, processes, documentation and other evidence demonstrating compliance	Evaluation Level (1 - 4)	Areas Requiring Improvement
3	Assurance and Effective Accountability	3.1	Ensuring that recommendations for corrective action made by external audit are acted upon.	<ul style="list-style-type: none"> • <i>Recommendations have informed positive improvement</i> • External Audit reports are reported to the Board and recommendations are acted upon. • Compliance with CIPFA's Financial Management Code. 	4	
		3.2	Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon.	<ul style="list-style-type: none"> • <i>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2019)</i> • <i>Compliance with Public Sector Internal Audit Standards</i> • Internal Auditors comply with Public Sector Internal Audit Standards. • Internal Audit reviews are reported to the Board and recommendations are acted upon. • Internal Audit Follow Up reports on progress against recommendations are reported to the Board. • Compliance with CIPFA's Financial Management Code. 	4	

	3.3	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	<ul style="list-style-type: none"> • <i>Recommendations have informed positive improvement</i> • External Auditors are appointed. • Compliance with CIPFA's Financial Management Code. 	4	
	3.4	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	<ul style="list-style-type: none"> • <i>Annual governance statement</i> • N/A. 	N/A	
	3.5	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	<ul style="list-style-type: none"> • <i>Community strategy</i> • N/A. 	N/A	

Implementing good practices in transparency, reporting, and audit to deliver effective accountability	n/a	1	2	3	4	TOTAL
Summary of Number of Evaluations	3				9	12

Have there been any significant / critical events relating to Principle 7 during the financial year? If yes, please provide details.	
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Are there any examples of best practice (or exceeding best practice) in the Board? If yes, please provide details.	
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Links to relevant Tay Road Bridge Policies, Procedures and Guidelines:

Further Guidance:

[The Role of the Head of Internal Audit in Public Service Organisations](#) (CIPFA, 2019)
[Following the Public Pound](#) (Audit Scotland, 2004)

[CIPFA Insights...Devolution webpage including Building Partnerships](#) (CIPFA / Grant Thornton)
[Whole System Approach to Public Financial Management](#) (CIPFA, 2012)
[Good Governance Principles for Partnership Working](#) (Audit Scotland, 2011)
[Arm's-length External Organisations \(ALEOs\): Are you getting it right?](#) (Audit Scotland, 2011)
[Safeguarding Public Money: Are you getting it right?](#) (Audit Scotland, 2019)