# PERFORMANCE & AUDIT COMMITTEE

**Meeting Room 3D-34, Victoria Quay, Edinburgh, EH6 6QQ**
**Friday 18th November 2016 – 10am**

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AGENDA

1.  **ORDER OF BUSINESS**

2.  **APOLOGIES**

3.  **DECLARATIONS OF INTEREST**

4.  **MINUTES OF THE P&A COMMITTEE – FRIDAY 9th SEPTEMBER 2016**

5.  **GOVERNANCE REVIEW –** Report by Andrew Ferguson

6.  **FINANCE REPORTS –** Reports by Iain Shaw

    (a) Financial Planning 2017/18

    (b) Treasury Management Report – Mid Term Review

    (c) Purchase Card Policy

    (d) Travel & Subsistence Policy – Report by Emily Whitters

7.  **RISK FRAMEWORK –** Report by Angela Chambers

8.  **EQUALITY OUTCOMES 2017 – 2021 –** Report by Emily Whitters

9.  **RECORDS MANAGEMENT FRAMEWORK –** Report by Angela Chambers

10. **DELIVERY PLAN 2015-18 UPDATE/PROJECTS UPDATE/EU UPDATE –**
    Report by Jim Grieve

11. **REVIEW OF FORUMS –**Report by George Eckton

12. **RTS UPDATE –**Report by George Eckton

    **ITEMS LIKELY TO BE CONSIDERED IN PRIVATE IN TERMS OF PART 1 OF
    SCHEDULE 7A TO THE LOCAL GOVERNMENT (SCOTLAND) ACT 1973**

13. **SESTRAN MODEL 3 PROCESS UPDATE –** Report by George Eckton

14. **CONTRACT/PROCUREMENT UPDATE: INEO/ONE
    TICKET/LIFTSHARE/ONESTOP IT & IT UPGRADE –** Report by George Eckton

15. **PARTNERSHIP STAFFING UPDATE –** Report by George Eckton

11<sup>th</sup> November 2016.

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**PERFORMANCE & AUDIT COMMITTEE MEETING**

**HELD IN SESTRAN OFFICES, MEETING ROOM 3D-34, VICTORIA QUAY, EDINBURGH, EH6 6QQ ON FRIDAY, 9TH SEPTEMBER, 2016 11.00 A.M. – 12.30 P.M.**

| PRESENT: | Name | Organisation Title |
|---|---|---|
| | Councillor Gordon Edgar (Chair) | Scottish Borders Council |
| | Councillor Nick Gardner | City of Edinburgh Council |
| | Sandy Scotland | Non-Councillor Member |
| | John Jack | Non-Councillor Member |

| IN ATTENDANCE: | Name | Organisation Title |
|---|---|---|
| | George Eckton | SEStran |
| | Daniel Melly | Audit Scotland |
| | Catriona MacDonald | SEStran |
| | Emily Whitters | SEStran |
| | Andrew Ferguson | Fife Council |
| | Iain Shaw | City of Edinburgh Council |
| | Hugh Thomson | City of Edinburgh Council |

**Action by**

1. **ORDER OF BUSINESS**

   The Chair confirmed that the Order of Business was as per the agenda.

2. **APOLOGIES**

   Apologies were received from:

   Councillor Kenneth Earle, Clackmannanshire Council
   Councillor Michael Veitch East Lothian Council
   Councillor Joe Rosiejak, Fife Council
   Councillor Derek Rosie, Midlothian Council
   Councillor Lesley Hinds, City of Edinburgh Council
   Councillor Tony Boyle, West Lothian Council

3. **DECLARATIONS OF INTERESTS**

   No declarations of interest were made.

**A1/**

**Action by**

## A1   MINUTES

The minutes of the Performance & Audit meeting of Friday 3rd June, 2016 were noted and approved as a correct record.

## A2   MATTERS ARISING

None.

## A3   INTERNAL AUDIT – ANNUAL REPORT

Iain Shaw, on behalf of the Treasurer, introduced the report which highlighted the work carried out by the Internal Audit for the Financial Year 2015/16.

### Decision

The Committee:

(a) noted the contents of the report; and

(b) noted the Draft Annual Governance Statement contained in Appendix 2.

## A4   EXTERNAL AUDIT – ANNUAL AUDIT REPORT

Daniel Melly, Audit Scotland, presented the 2015/16 Annual Audit Reports from Audit Scotland, SEStran's external auditors.

### Decision

The Committee noted the report, and that it would now be presented to the Board on 23rd September.

## A5.   AUDITED ANNUAL ACCOUNTS 2015/16

The Committee considered the audited accounts for the year ended 31st March, 2016.

### Decision

The Committee:-

(i)  noted the audited accounts and the Auditor's opinion in the audit certificate to the accounts; and that the accounts would now be presented to the Board on 23rd September; and

(ii)  recorded their thanks to the team of Audit Scotland for their work as external auditiors, as this was their las year as such.

**A6.** **EUROPEAN UNION REFERENDUM**

The Committee considered a report by the Partnership Director and the Programme Manager regarding the outcome of the UK's referendum on EU membership and its potential implications for SEStran in terms of legislation. The primary focus of the report was on the potential impact on a number of existing and planning projects.

**Decision**

The Committee:-

(i)     noted the potential impact of invoking Article 50 and leaving the European Union on the SEStran budget and the proposal for underwriting of projects;

(ii)    agreed that the issue would be a standing item on both the Committee's and the Board's agenda, and that further reports will be tabled to the Committee and Board when further clarity is available; and

(iii)   that it would remain a key issue on the SEStran risk report.

**A7.** **SESTRAN REVIEW OF GOVERNANCE STRUCTURES**

The Committee considered a report by the Partnership Director on an initial desk review of SEStran forum and officer groups.

The purpose of the paper was to seek an initial discussion with the members on their views on the current SEStran forum structures and seek their agreement to engage with the wider stakeholder community over the next 2-3 months, if deemed necessary.

**Decision**

The Committee:-

(i)     noted the need to review, enhance and potentially consolidate the current set of stakeholder liaison forums operated by SEStran within its wider governance and liaison framework; and

(ii)    recommend to the Board the establishment of a Informal Liaison Group to further review structures and make proposals to a future Board.

**A8.    REVIEW OF HR POLICIES**

The Committee considered a report by the Partnership Director on an initial review of all the HR policies over the summer and identified those policies in need of prioritisation for review this year.

The review had presented the opportunity for a number of policies to be updated or brought into line with those of SEStran's constituent councils and other relevant comparator bodies such as other Regional Transport Partnerships.

**Decision**

The Committee:

(a)    agreed the amendments proposed to the relevant SEStran policies;

(b)    Agreed with the proposal that an annual update paper on this matter is in future years brought to the September meeting as a standing item, with any further additional papers tabled to other Committee dates as required as revisions were required; and

(c)    agreed that all aspects of the policies should apply to all SEStran employees including Chief Officers.

***NB: subject to Board approval. The Committee report can be viewed here: [http://www.sestran.gov.uk/files/1473933135.pdf](http://www.sestran.gov.uk/files/1473933135.pdf)***

**A9.    EQUALITIES AND DIVERSITY REPORT**

The committee considered a report by the Partnership Director and the Administrator relating to various matters concerning equality and diversity issues.

**Decision**

The Committee agreed:

(a)    the proposed amendments to SEStran's Equality and Diversity Policy including the specific recommendation to remove the annual reporting requirement for the policy;

(b)    the update from the SEStran Board Diversity Working group on the 31st August and the proposed set of actions to be recommended to the September Board.

(c)    to note the development proposals for SEStran's next set of Equality Outcomes.

(d)    to recommend the CIHT Diversity and Inclusion Charter to the Board for approval.

**A10    CLIMATE CHANGE ACT PUBLIC BODIES REPORTING**

The Committee considered a report in relation to reporting under the Climate Change (Scotland) Act 2009. SEStran voluntarily completed a trial report in 2014/15 and were now required to submit the first annual report for 2015/16 by 30th November 2016.

**Decision**

The Committee:-

(i)     agreed the Business Travel Policy as set out in the report; and

(ii)    approved the submission of the SEStran Climate Change report to Sustainable Scotland Network

**A11    PUBLIC SERVICES REFORM ACT REPORT**

The Committee considered a report by the Administrator on SEStran's duties under the Public Services Reform (Scotland) Act 2010, whereby the organisation is required to publish certain information annually.

**Decision**

The Board agreed to recommend to the Board the content of the material for publication under the Public Services Reform (Scotland) Act 2010 and detailed in appendix 1 of the report and that the relevant separate statements will be published on the SEStran web site.

**A12.    SESTRAN ANNUAL REPORT AND WEBSITE**

The Committee considered a report by the Marketing and Project Support Officer combining the changes to the format of this year's Annual Report following consultation with Transport Scotland, and the development of a new SEStran website.

**Decision**

The Committee noted the contents of the report, and agreed to recommend the revised Annual Report to the Board for approval.

**A13.    PROJECTS REPORT**

The Committee considered a report by the Project Officer which detailed the current year's Projects Budget which showed expenditure, to 8 August 2016, of £203,033.35.

**Decision/**

**Decision**

The Committee

(a)     noted the contents of the report;

(b)     recommended to the Board approval of a grant of £15,510 to Peter Hogg of Jedburgh as a contribution towards the cost of installing new equipment on 12 of their vehicles, so that they can be included in Bustracker SEStran; and

(c)     recommended to the Board the approval of the Grant Officers under Sustainable and Active Travel Grant Scheme, referred to in section 4.1.2 of the report.

## A14.    RECORDS AND IT MANAGEMENT

The Committee considered a report by the Office Manager, the purpose of which was to provide the Performance & Audit
Committee with an outline summary of the work being undertaken by SEStran to comply with its duties in terms of records management compliance.

**Decision**

The Committee:-

(a)     noted the contents of the report; and,

(b)     noted that an Information Security Policy and Records Management Plan (RMP) would be presented to a future Committee and Partnership Board for approval.

## A15.    AUDIT SCOTLAND – MAINTAINING SCOTLAND'S ROADS REPORT

The Committee considered a report by the Partnership Director, providing a summary of the follow-up report prepared and published by Audit Scotland in early August 2016 on roads maintenance issues.

**Decision**

The Committee:-

(i)     noted the publication of the Audit Scotland report; and,

(ii)     agreed that a further paper on the potential opportunities for joint project work or further collaboration around other aspects of transportation delivery should be brought to the December Board meeting.

*In accordance with the relevant provisions of Schedule 7A of the Local Government (Scotland) Act 1973, the following items were taken in private.*

## A16.  PROCUREMENT REVIEW

The Committee considered a report by the Partnership Director and the Secretary updating it on the ongoing review of recent procurements.

### Decision

The Committee:-

(i)     noted the summary of the review of current and previous procurement activity, noting with approval the proposed procurement strategy for INEO and OneTicket/Coachline;

(ii)    noted the proposed SEStran corporate procurement policy and the proposals for its publication and review of operation via annual reporting procedures in the revised legislative context; and

(iii)   recommended that the Policy, incorporating the Committee's comments, be put to the next Board meeting for adoption.

## A17.  SESPLAN AND SESTRAN REALIGNMENT

The Committee considered a report by the Partnership Director in relation to proposed governance arrangements for the Edinburgh City Region in relation to the City Region Deal.

### Decision

The Committee:

(i)     noted the proposals for the City Region Deal and emerging White Paper on Planning and its impact on staffing of SEStran; and

(ii)    agreed that, if an administrative or contractual mechanism was found to be suitable to all parties, that in the initial interim period provides the managerial overview of the SEStran and SESPlan teams, a report should be tabled to the Board consisting of a strategic proposal for the Partnership Director to legally become the SDP manager for SESPlan and provide leadership capacity over the next 12-18 months subject to appropriate financial compensation to SEStran.

## A18.  PARTNERSHIP STAFFING REVIEW

The Committee considered a report by the Partnership Director in relation to an opportunity to comment upon the porosals for a significant review of the SEStran organisational strucure of staffing.

### Decision/

**Decision**

The Committee noted the delegated decisions from the Partnership Director for a job evaluation review and recent changes of the organisational staffing structure of SEStran

**4.     AOCB**

The Partnership Director drew the Committee's attention to the current position relating to the Redundancy Modification Order. This Order regulates which organisations are included for the purposes of calculating continuous service with local government. It appeared that Regional Transport Partnerships have never been included in the Order and the Partnership Director confirmed that he, in consultation with legal and HR advisers, would be pursuing this matter to ensure that staff could benefit from continuity of service in common with other public organisations.

**5.     DATE OF NEXT MEETING**

The Committee noted that the next meeting has been scheduled to take place on Friday 18th November 2016, 3D-34 Meeting Room, Victoria Quay, Edinburgh, EH6 6QQ

**Review of Governance Documents**

**1    INTRODUCTION**

**1.1    The purpose of this report is to inform the committee of the conclusions of the recent review of governance documents as regards standing orders and scheme of delegation, and recommends a change to standing orders as regards this committee's remit and membership.**

**1.2    The overall review of governance documents was reported to the Board in June this year. These consisted of:**

- standing orders (including contract standing orders);
- financial regulations;
- scheme of delegation;
- committee structure;
- Liaison Group Structures
- Anti-Fraud and Corruption policy

**1.3    The review of the remaining governance documents has either been concluded or is ongoing. This report focuses on the two documents referred to in paragraph 1.1.**

**2    ISSUES**

**2.1    So far as the scheme of delegation is concerned, this continues to operate well for the existing organisation. There are no immediate plans to change its terms: however, this will be looked at again in the event of any organisational changes relating to, for example, SEStran/SESPlan integration, or model 3 partnership.**

**2.2    Discussion with the Partnership Director on standing orders has confirmed the view that these are in the main robust, and have stood the test of time in terms of procedural challenges over the years. However, the document incorporates the existing remit of the Performance and Audit Committee, and some issues have emerged which it is considered would be worth considering change.**

**2.3    Historically there have been concerns in relation to quorum. Currently the committee is comprised of 10 members, being one representative from each constituent authority, and two non-councillor members. The quorum in terms of standing orders for the committee is the same as that of the Board, namely one third. Despite the standing orders being amended to allow remote access to meetings some time ago, quorum issues remain.**

**2.4    One option would be to reduce the quorum further, so that only three members are required for the committee to proceed. However, members may feel that this gives potential for decisions by the bare minimum of three members being challenged as unrepresentative. Another option would be to add two non-councillor members to the make up of the committee, which would keep the**

quorum at four; increase the prospects of a quorum being achieved; and maintain equality amongst the constituent authorities.

**2.5** Another issue which has arisen in the course of the review is the committee's remit. Although it includes 'taking decisions on all staff matters which are not otherwise delegated to the Partnership Director, it does not specifically give the committee the decision making function in relation to employment and related policies. Members' views are sought on this matter.

**2.6** Finally, it is considered that the position regarding substitutes at the committee could be further clarified, particularly as regards councillor members. It is suggested that the normal position be that each authority nominates one member as representative on the committee, but that any other member of that authority may act as their substitute. Again, view on this matter would be welcomed.

## 3 CONCLUSIONS

**3.1** The Partnership's standing orders and scheme of delegation have in general been found to be fit for purpose. However, the committee's views would be especially welcome on the proposed changes to its remit and composition.

## 4 RECOMMENDATIONS

**4.1** It is recommended that the Committee provide comments on the terms of this report and any other changes considered desirable for standing orders and scheme of delegation.

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North Street,
Glenrothes,
Fife.
KY7 5LT

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| Policy Implications | None |
|---|---|
| Financial Implications | None |
| Race Equalities Implications | None |
| Gender Equalities Implications | None |

| | | |
|---|---|---|
| Disability Equalities Implications | None. | 13 |
| Climate Change Implications | None | |

# Financial Planning 2017/18

**18th November 2016**

### 1 Purpose of report

1.1 The purpose of this report is to present details of the financial planning being undertaken to present a revenue budget for 2017/18 to the Partnership for approval in March 2017.

### 2 Main report

Scottish Government Budget 2017-18

2.1 The UK Government Spending Review is anticipated to be announced on 23 November 2016. As was the case for 2016/17, it is the Scottish Government's intention to issue the Scottish Draft Budget and Local Government Finance Settlement in mid-December, with both announcements on the same day. Scottish Government Ministers have confirmed that the announcement will cover only one year.

2.2 While necessarily based on a range of projections and assumptions, the recently-published Fraser of Allander Institute report on the Scottish Budget 2016 findings suggest that the Scottish budget could be cut by between 3% – 4% percent in real terms by 2020-21 and up to 6% under a worst case scenario. Under the scenario presented within the report, overall external council funding (excluding Council Tax) is forecast to reduce by an average of 2.5% per year in real terms over the period to 2020/21.

2.3 Given the potential risk of Scottish Government Block grant reductions and until detailed grant allocations are confirmed by the Scottish Government to Regional Transport Partnerships (RTP's), budget planning has been undertaken on the basis of a 5% cash reduction in resources available to the Partnership in 2017/18.

SESTRAN – Financial Planning 2017/18

2.4 Revenue budget planning is being progressed for 2017/18. Planning assumptions are:

2.4.1 staff recharges to projects remain fixed at £137,000 in 2017/18;

2.4.2 pay award provision of up to 1% - £3,271;

2.4.3 increment pay provision of £3,983;

2.4.4 the Partnership's contribution of £11,352 to a Cycle Training Development Officer;

2.4.5 no change to the current employer pension contribution rate for 2017/18, based on the results of the latest actuarial review as at 31st March 2014;

2.4.6 a 5% reduction in Scottish Government and constituent council funding.

2.5 An analysis of all proposed activity for 2017/18 is shown in Appendix 1, with a detailed analysis of core activity in 2016/17 and 2017/18 shown in Appendix 2. Cost reductions have been achieved through realignment of employee costs, following changes to the Partnership's staffing structure.

2.6 Scottish Government grant funding has remained fixed at £782,000 since 2011/12, with council requisitions remaining fixed at £200,000 since 2012/13. The table below shows budgeted expenditure and income since 2011/12.

2.7 For 2017/18, external income of £345,000 is anticipated to fund 27% of proposed expenditure. Financial planning is currently based on the Partnership receiving £743,000 grant from the Scottish Government and £190,000 from constituent council requisitions in 2017/18, i.e. a 5% reduction from 2016/17 funding. Based on these estimates, Scottish Government grant funding would meet 58% of proposed expenditure with council contributions funding 15% of expenditure.

**SEStran Budget 2011/12 – 2016/17 and Indicative Budget 2017/18**

|  | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 |
|---|---|---|---|---|---|---|---|
|  | £'000 | £'000 | £'000 | £'000 | £'000 | £'000 | £'000 |
| Core | 467 | 461 | 463 | 465 | 550 | 545 | 515 |
| Projects | 791 | 709 | 504 | 1,076 | 2,384 | 785 | 440 |
| RTPI | 110 | 117 | 222 | 286 | 230 | 402 | 323 |
|  |  |  |  |  |  |  |  |
| **Total Budget** | **1,368** | **1,287** | **1,189** | **1,827** | **3,164** | **1,732** | **1,278** |
| **External Funding** |  |  |  |  |  |  |  |
| EU Grants | 313 | 245 | 146 | 233 | 131 | 64 | 95 |
| Other income | 48 | 60 | 61 | 266 | 1,051 | 686 | 250 |
| Bus Investment Fund |  |  |  | 346 | 1,000 | 0 | 0 |
| **Total Ext. Funding** | **361** | **305** | **207** | **845** | **2,182** | **750** | **345** |
| Scottish Government | 782 | 782 | 782 | 782 | 782 | 782 | 743 |
| Council Requisition | 225 | 200 | 200 | 200 | 200 | 200 | 190 |
| **Total Funding** | **1,368** | **1,287** | **1,189** | **1,827** | **3,164** | **1,732** | **1,278** |

2.8 Further expenditure reduction measures will require to be implemented in the event that either Scottish Government grant funding or council contributions exceeds to anticipated reduction of 5%.

2.9 Indicative council requisitions based on standstill funding and current population statistics would be as follows:

| | |
|---|---|
| Clackmannanshire | £6,281 |
| East Lothian | £12,524 |
| Edinburgh | £60,464 |
| Falkirk | £19,346 |
| Fife | £45,071 |
| Midlothian | £10,580 |
| Scottish Borders | £13,994 |
| West Lothian | £21,740 |
| | £190,000 |

Risk Assessment

2.10 When approving the revenue budget in March 2017, the Board will be required to consider the risks inherent in the budget process and the arrangements in place to manage those risks. An initial risk assessment has been drafted and this is included at Appendix 3. An updated risk assessment will be reported to the Board in March 2017.

## 3    Conclusions

3.1 Financial planning is progressing to develop a revenue budget for 2017/18.

3.2 A final report on the revenue budget for 2017/18 will be considered by the Chief Officers Liaison Group at its meeting in February 2017, before the report is presented to the Partnership Board for approval.

## 4    Recommendations

Performance and Audit Committee is asked to note:

4.1 the financial planning assumptions currently being progressed for 2017/18 revenue budget;

4.2 the risk that Scottish Government funding allocations to RTP's may be reduced, given the uncertainty around the Scottish Government budget for 2017/18;

4.3 this report will be presented to the Partnership Board meeting of 2nd December 2016;

4.4 the revenue budget for 2017/18 will be presented to Members for approval at the meeting of the Partnership in March 2017.

**Hugh Dunn**
Treasurer

| Appendix | Appendix 1 – Proposed Activity 2017/18 |
| | |

Appendix 1 – Proposed Activity 2017/18

Appendix 2 – Indicative Core Revenue Budget 2017/18 – Detail

Appendix 3 – Risk Assessment

Contact/tel/Email     Iain Shaw
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Wards affected     All

Background Papers     Fraser of Allander Institute - Scotland's Budget – 2016

| Policy Implications | There are no policy implications arising as a result of this report. |
|---|---|
| Financial Implications | There are no financial implications arising. |
| Race Equalities Implications | There are no race equality implications arising as a result of this report. |
| Gender Equalities Implications | There are no gender equality implications arising as a result of this report. |
| Disability Equalities Implications | There are no disability equality implications arising as a result of this report. |
| Climate Change Implications | There are no climate change implications arising as a result of this report. |

**Core Budget Proposed Activity 2017-18**

| Service Area | Expenditure | Recharges | Net | Activity |
|---|---|---|---|---|
| Professional Staff | £345,000 | £137,000 | £208,000 | £125,000 (36%) allocated to statutory duties - Partnership Board, Regional Transport Strategy, Annual Report, Business Plan; £220,000 (64%) allocated to committed projects. |
| Administration | £165,000 | | £165,000 | Administration staff, office costs (rent, rates, heat and light, telephones, repairs, cleaning, photocopying, printing, stationery), interest costs. |
| Transport | £12,000 | | £12,000 | Members and officers travel and subsistence. |
| Marketing | £20,000 | | £20,000 | £10,000 allocation for Car Share; £10,000 general marketing and sustainable transport allocation. |
| Hosted Services | £53,000 | | £53,000 | £53,000 for Routewise - shared service hosted by SEStran available to all constituent councils. £30,000 saving per annum achieved by consolidating council agreements. |
| Governance Fees | £57,000 | | £57,000 | Statutory functions - financial statements; Partnership governance and External Audit. £25,000 Accountancy and Finance; £22,000 Clerk, Legal and HR; £10,000 External Audit. |
| **Total - Core** | **£652,000** | **£137,000** | **£515,000** | |

**Projects - Proposed Activity 2017-18**

| Service | Expenditure | Income | Net | Activity |
|---|---|---|---|---|
| Sustainable Travel | £130,000 | - | £130,000 | Fund to lever-in additional investment towards sustainable travel from organisations prepared to invest in initiatives promoting sustainable travel, consistent with the RTS. |
| Urban Cycle Network | £100,000 | £100,000 | - | Development of cross boundary cycle networks in association with Sustrans. This will also be used to lever in contributions from partner organisations in addition to the Sustrans funding, to maximise the impact. |
| Regio – mob | £33,000 | £28,000 | £5,000 | 85% EU funded |
| Share–north | £40,000 | £20,000 | £20,000 | 50% EU funded |
| Social Car | £47,000 | £47,000 | - | 100% EU funded. Open social transport network for urban approach to car pooling. |
| South Tay Park and Ride | £10,000 | - | £10,000 | Scheme development costs. |
| Rail/Bus Advice | £10,000 | - | £10,000 | Specialist advice necessary to be able to promote input to a wide range of consultations relating to proposals affecting the Region. |
| SDP/LDP | £20,000 | - | £20,000 | Transport input and advice on the preparation of Strategic and Local Development Plans. |
| Equalities Action Forum | £10,000 | - | £10,000 | Pursuing initiatives arising from the Equalities Action Forum. |
| RTS Development | £20,000 | - | £20,000 | Development of new Regional Transport Strategy. |
| RTPI Project | £323,000 | £150,000 | £173,000 | Substantial proportion of both Stagecoach and First Group Edinburgh fleets equipped with the system, including all associated back-office and communication systems. |
| Urban Cycle Network | £20,000 | 0 | £20,000 | Cycling Officer |
| **Total** | **£763,000** | **£345,000** | **£418,000** | |

**Indicative Core Revenue Budget 2017/18 - Detail**

| | Approved Budget 2016/17 | Indicative Budget 2017/18 |
|---|---|---|
| | **£000** | **£000** |
| **Employee Costs** | | |
| Salaries | 361 | 331 |
| National Insurance | 31 | 34 |
| Pension Fund | 62 | 53 |
| Recharges –EU | (70) | (117) |
| Recharges – Sustainable Travel | (20) | (20) |
| Recharges - RTPI | (47) | 0 |
| Training & Conferences | 10 | 10 |
| Interviews & Advertising | 2 | 2 |
| | **329** | **293** |
| | | |
| **Premises Costs** | **16** | **16** |
| | | |
| **Transport** | **9** | **9** |
| | | |
| **Supplies and Services** | | |
| Marketing | 20 | 20 |
| Communications & Computing | 84 | 90 |
| Printing, Stationery & General Office Supplies | 10 | 10 |
| Insurance | 4 | 4 |
| Equipment, Furniture & Materials | 1 | 1 |
| Miscellaneous Expenses | 11 | 11 |
| | **130** | **136** |
| **Support Services** | | |
| Finance | 25 | 25 |
| Legal Services / HR | 7 | 7 |
| | **32** | **32** |
| **Corporate & Democratic** | | |
| Clerks Fees | 15 | 15 |
| External Audit Fees | 10 | 10 |
| Members Allowances and Expenses | 3 | 3 |
| | **28** | **28** |
| | | |
| **Interest** | **1** | **1** |
| | | |
| **Total Gross Expenditure** | **545** | **515** |
| | | |
| **Funding:** | | |
| Scottish Government Grant | (345) | (325) |
| Council Requisitions | (200) | (190) |
| | | |
| **Total Funding** | **(545)** | **(515)** |

**Risk Assessment**

| Risk Description | Existing Controls |
|---|---|
| Pay awards.<br>The proposed budget makes provision for a pay award of up to 1% in 2017/18. An uplift of 1% in pay award equates to an increase of £3,300. | Alignment with Scottish Local Government pay award. |
| Staff recharges – EU Projects.<br>The proposed budget assumes that £117,000 of staff time can be recharged to 3 EU Projects – Share-north, Regio-mob and Social Car. There is a risk this may not be achievable. | Any shortfall in employee cost recharges will be offset by a corresponding reduction in Projects Budget expenditure. |
| Inflation.<br>There is a risk that the proposed budget does not adequately cover price inflation and increasing demand for services. | Allowance made for specific price inflation. Budgets adjusted in line with current cost forecasts. |
| Delays in payment of grant by the EU results in additional short-term borrowing costs. | SEStran grant claims for EU funded projects are submitted in compliance with requirements of EU processes to ensure minimal delay in payment. Ongoing monitoring of cash flow will be undertaken to manage exposure to additional short-term borrowing costs. |
| There is a risk that current levels of staffing cannot be maintained due to funding constraints and that the Partnership will incur staff release costs. | Recruitment control and additional sources of external funding for activities aligned to the Partnership's objectives to supplement resources. |
| Funding Reductions.<br>Reduction in funding from Scottish Government and/or council requisitions. | The draft budget is prepared on the basis of a 5% reduction in funding from Scottish Government and council requisitions.<br>Continue to source and develop external funding. |

**Mid Term Review - Treasury Management Activity**

**1.     Introduction**

**1.1**   The purpose of this report is to review the investment activity undertaken on behalf of the Partnership during the first half of the 2016/17 Financial Year.

**2.     Background**

**2.1**   In accordance with Investment Regulations in Scotland the Partnership adopted the appropriate Codes of Practice and approved an Annual Investment Strategy at its meeting on the 4th March 2016.

**3.     Mid Term Review - Annual Investment Strategy**

**3.1**   As approved in the Partnership's Investment Strategy, the Partnership continues to maintain its bank account as part of the City of Edinburgh Council's group of bank accounts. Any cash balance is effectively lent to the Council, but is offset by expenditure undertaken by the City of Edinburgh Council on behalf of the Board. Interest is given (charged) on month end net indebtedness balances between the Council and the Board in accordance with the Local Authority (Scotland) Accounts Advisory Committee's (LASAAC) Guidance Note 2 on Interest on Revenue Balances (IoRB). In line with recent short term interest rates, the investment return/charge continues to be low, but the Board gains security from the counterparty exposure being to the City of Edinburgh Council. Net end of month balances for the first half of the year were:

| | |
|---|---|
| Opening Balance | -572,561.36 |
| April | 353,248.41 |
| May | 468,020.96 |
| June | 443,635.10 |
| July | 450,025.48 |
| August | 448,405.34 |
| September | 443,062.64 |

**3.2**   Although interest is not calculated until March, in line with the guidance note, the interest rate averaged 0.193% during the first half of the financial year. The reduction in interest rate is mainly due to the cut in UK Bank Rate by the Bank of England in August.

## 4. Recommendation

**4.1** It is recommended that the Committee notes the investment activity undertaken on behalf of the Partnership.

**Hugh Dunn**
Treasurer

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**Appendix**    None

**Contact/tel**    Iain Shaw, Tel: 0131 469 3117
(iain.shaw@edinburgh.gov.uk)

| Policy Implications | There are no policy implications arising as a result of this report. |
|---|---|
| Financial Implications | There are no financial implications arising as a result of this report. |
| Race Equalities Implications | There are no race equality implications arising as a result of this report. |
| Gender Equalities Implications | There are no gender equality implications arising as a result of this report. |
| Disability Equalities Implications | There are no disability equality implications arising as a result of this report. |
| Climate Change Implications | There are no climate change implications arising as a result of this report. |

**Purchase Card Rules and Procedures**

**1    INTRODUCTION**

**1.1**    The purpose of this report is to present to the Partnership's Performance and Audit Committee Purchase Card Rules and Procedures for review. Subject to any comments by the Performance and Audit Committee, the Purchase Card Rules and Procedures will be presented to the Partnership Board for approval at its meeting on 2nd December 2016.

**2    MAIN REPORT**

**2.1**    The Partnership's Internal Auditors recommended the Partnership develop a formal procurement card policy and that this should be approved and adopted to ensure that all card users are aware of the terms and conditions of use of purchase cards and cardholders responsibilities when using the cards.

**2.2**    Draft Purchase Card Rules and Procedures are attached at Appendix 1.

**2.3**    The Partnership maintains its banking and treasury management arrangements with the City of Edinburgh Council. Purchase Cards are provided to officers of the Partnership using the City of Edinburgh Council's banking contract.

**2.4**    Purchase Card Rules and Procedures have been drafted in consultation with officers of the City of Edinburgh Council's Payments Team. The Purchase Card Rules and Procedures align with the requirements of the City of Edinburgh Council's banking contract and to the financial procedures operated by the Partnership and the City of Edinburgh Council.

**2.5**    The City of Edinburgh Council is due to implement a new financial ledger system in 2017. The Purchase Card Rules and Procedures will be reviewed during 2017, to ensure consistency with new financial system processes.

**3    RECOMMENDATIONS**

It is recommended that the Partnership's Performance and Audit Committee:

3.1    notes the draft Purchase Card Rules and Procedures and comments as appropriate;

3.2    subject to any comments by the Performance and Audit Committee refers the Purchase Card Rules and Procedures to the Partnership Board for approval.

**Hugh Dunn**
Treasurer
November 2016

**Appendix 1 -**     Draft Purchase Card Rules and Procedures

**Contact/tel**     Iain Shaw, Tel: 0131 469 3117
(iain.shaw@edinburgh.gov.uk)

| Policy Implications | There are no policy implications arising as a result of this report. |
|---|---|
| Financial Implications | There are no financial implications arising as a result of this report. |
| Race Equalities Implications | There are no race equality implications arising as a result of this report. |
| Gender Equalities Implications | There are no gender equality implications arising as a result of this report. |
| Disability Equalities Implications | There are no disability equality implications arising as a result of this report. |
| Climate Change Implications | There are no climate change implications arising as a result of this report. |

# South East of Scotland Transport Partnership

# Purchase Card Rules and Procedures

# Contents

**Section 3: Purchase Card Procedures** **15**

# Authorisation of Guidance and Procedures

Foreword from Hugh Dunn, Treasurer

*"Purchase Cards offer a convenient means of buying and paying for goods and services, but with that comes personal responsibility and accountability. As an employee of a public body, you should always be mindful of our statutory duty to secure Best Value. This guidance sets out the rules around the use of Purchase Cards for all card holders and approvers and reflects best practice. It is vital that these are complied with."*

Signed: Hugh Dunn

Position: Treasurer

Date: 2nd December 2016

Review Date: 1st April 2017

# Glossary of terms

| Glossary term | Glossary definition |
|---|---|
| Service Area | The Service Area is a single or multiple service areas to which purchase card expenditure is charged. For the purposes of this Policy, the Service Area is all of the South East of Scotland Transport Partnership (SEStran). |
| Cost Centre | This is a unique Cost Centre to which purchase card expenditure will be charged for that particular purchase card. |
| Budget Holder | Individual within the Service Area that has overall responsibility for the budget. Has overall responsibility for ensuring compliant use of Purchase Cards within their service area. For the purposes of this Policy, the Budget Holder is the Partnership Director of the South East of Scotland Transport Partnership (SEStran). |
| Cardholder | The person who is named on the Purchase Card and is the responsible officer. |
| Card Supervisor / Authoriser | The person who the cardholder "reports to" in relation to the use of the Purchase Card. This may or may not be the cardholder's line manager. Responsible for reviewing transactions in the Purchase Card system for cardholders they are responsible for. |
| Card Administrator | The first point of contact in relation to general programme administration and control. For the purposes of this Policy, the Card Administrator is the Payments Team of the City of Edinburgh Council. |
| Card Provider | The Card Provider is the bank who issues Cards and provides statements. This is currently the Royal Bank of Scotland. |
| Smartdata Online (SDOL) | Smartdata is an online management tool supplied by the Card Provider which provides the Service Area, Card Administrators and Card Holders with the ability to review card transactions online. |

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# Section 1: Context & Rules

## 1.    Introduction

### 1.1    Purpose of this document

This document details the rules and procedures governing the purchase card scheme for the South East of Scotland Transport Partnership (SEStran) (Section 1) and the roles and responsibilities of the key stakeholders (Section 2).

All prospective cardholders and card supervisors must read this document prior to applying for a card. This document must be read in conjunction with the SDOL user guides for card holders and card authorisers.

All staff must follow the rules and procedures detail in this document and related guides.

### 1.2    Purchase Card Governance and Assurance

The City of Edinburgh Council operates the Purchase Card Scheme on behalf of SEStran. Governance is part of the overall SEStran financial control environment including the Contract Standing Orders of SEStran.

The main controls include, but are not limited to:

- Segregation of duties (there must always be a separation of duties between the Card Holder, Card Supervisor and Card Administrator);
- Full audit trail, including recording of key information in SDOL and storing of receipts;
- Management reports to Senior Managers; and
- Compliance checks.

### 1.3    Purchase Card overview

The Purchase Card is intended to complement the current purchasing and payment systems, not to replace them. The Cards are intended for low value and one-off purchases where a contract does not exist. Where a contract exists, the purchase must be made by raising a purchase order.

Purchase Card holders must only use the purchase card for official SEStran business purposes. Personal use is absolutely prohibited and misuse of the purchase card may result in disciplinary action and/or criminal proceedings.

The Purchase Card Administrator will report any major concerns to the City of Edinburgh Council Chief Internal Audit Manager.

### 1.4    Purchase Card Transactions - Transparency

All Purchase Card transactions will be reported to the SEStran Senior Management Team on a monthly basis for their information. The City of Edinburgh Council and SEStran may also be requested, though the Freedom of Information (Scotland) Act, to publish details of expenditure.

Card holders should be aware of this and consider this when deciding whether a purchase is an appropriate use of public funds.

## 2. Regulations and restrictions

### 2.1 Administration and authorisation

Wherever possible, the Card Supervisor/Authoriser should be the Card Holder's line manager, but in all cases must be a more senior member of staff, unless an alternative arrangement has been approved by the Partnership Director and Treasurer.

A Card Supervisor can act in the supervisory role for one or more Card Holders.

All new Card Holder requests must be approved by the Partnership Director and signed by an approved Bank Signatory prior to being actioned by the Card Administrator.

All requests for change, such as a change in card limit, must be approved by the Partnership Director prior to being submitted by the Card Administrator.

### 2.2 Delegated Financial Authority

It is the responsibility of the Partnership Director to ensure Card Holders have the appropriate delegated authority. By authorising a staff member to be a Card Holder, the Partnership Director is delegating authority for purchasing (up to the card limits) to the Card Holder.

It is recommended that Card Holders obtain prior approval from the Card Supervisor prior to making each transaction, although this may not be practical in every case.

Each Card will be set up with a cost centre where all purchases will be charged to unless the cardholder enters an alternative cost centre in SDOL.

### 2.3 Purchase Card Limits

Each Purchase Card has two limits for control purposes, these are:

- 'Single transaction limit', this is the maximum value that can be purchased for each individual transaction; and
- 'Monthly credit limit', this is the total amount that can be purchased within each monthly cycle.

When a new card is requested, the Card Supervisor must indicate, and justify, the single transaction and monthly limits required. It is recommended that limits are kept as low as possible to reduce risk.

### 2.4 Purchase Card purchasing rules

The following rules apply for Card Holders making purchases with their Purchase Card:

- The cards are intended for low-value one off type expenditure where a contracted supplier does not exist. The Card Holder must ensure value for money is being secured for every purchase;
- The Card Holder is the only person who is authorised to use the card;
- Card Holders must never arrange with suppliers to split a single purchase over more than one payment in order to avoid exceeding their single transaction limit;
- When using a Purchase Card, Card Holders must never personally benefit by gaining points on store loyalty cards, accepting sales vouchers or by any other means;
- The Card Holder must always obtain a receipt at the time of purchase. If ordering by phone, this should be emailed or sent to the Card Holder's work address;
- Where VAT is included, a VAT receipt must be obtained in order to reclaim the VAT. If no VAT receipt is supplied, the total gross cost (including VAT) will be charged to the cost centre;
- When an incorrect amount has been charged, the Card Holder must approach the supplier to resolve the problem within 2 working days of becoming aware of the problem.

Purchase Cards must not be used for:

- Cash withdrawals;
- Paying supplier invoices;
- Direct debits;
- Purchases where a contracted supplier exists;
- Making payments that fall under the Construction Industry Scheme (CIS);
- Making payments to individuals /self employed;
- Purchase of alcohol.

If in any doubt about any of the above exclusions please contact the City of Edinburgh Council's Payments Team Leader, Payment Operations on 0131 469 4365.

It is the responsibility of the Partnership Director to ensure appropriate use of the Purchase Cards by the Partnership.

### 2.5   Delivery of goods purchased with a Purchase Card

It is Purchase Card policy that all orders must be delivered to an official SEStran address. Exceptions may be made to this with prior approval from the Partnership Director. Ideally orders should be delivered to the Card Holder, wherever possible.

Note: where the supplier agrees to credit returned goods or failed service, they must apply the credit to the purchase card from which the original purchase was made.

### 3. Records management

Good records management is essential to the success of the Purchase Card scheme.

Receipts are required to be scanned, or photographed, then attached to each transaction on the card system (currently, Smart Data on Line SDOL).

The Card Holder must ensure that card statements and receipts are retained in accordance with the Council's and SEStran's Records Retention Policy and be available for inspection upon request. It is recommended that these are retained in a folder by person by month in a central location in each site.

All documents should be kept in a secure location and be available for audit as required. Records can be destroyed after 6 years.

### 4. Risk Management and Controls

The potential for fraud, irregularity and misuse is a key risk in the use of the Purchase Cards. A number of key controls have been built into the system to prevent, detect and deal with this, as follows.

Key risks include:

- Transactions are not pre-authorised resulting in a risk that unauthorised and inappropriate or fraudulent purchases can be made;

- There is the risk that Card Holders will purchase from non contracted suppliers when a contract does exist (increasing off contract/ maverick spend);

- There is a risk that sufficient records and receipts are not kept resulting in incomplete records and increased risk of fraud;

- There is a risk that CIS Tax will not be properly deducted or accounted for;

- There is a risk that VAT may not be fully reclaimed by SEStran resulting in higher costs to SEStran.

In order to mitigate these risks, tight controls and compliance with procedures must be in place. Such controls include:

- Clear guidance for card holders and card supervisors, accompanied by training;

- Low value transaction and weekly limits;

- Payments falling under the CIS Tax scheme are not permitted;

- Transparency – reporting of transactions to Partnership Director (and possibly publish online);

- Consequences – cards removed and possible disciplinary procedure for inappropriate use.

It is the responsibility of the Partnership Director to ensure appropriate use of the Purchase Cards in their area. It is recommended that the Partnership Director carries out spot checks on Purchase Card transactions for cardholders in their areas on a regular basis.

Any known, or suspected, misuse, fraud, irregularities or potential breaches of propriety with regard to purchase cards must be reported to the Partnership Director and also the Purchase Card Administrator immediately.

When in use the Card Holder must retain the card on their person at all times and must never leave the card unattended. When not in use, the card must be retained in a secure place, ideally in a safe.

The cardholder must not write down the full card number, CSV code and PIN number wherever possible for security reasons. This includes emailing or faxing the card details. If the cardholder is making a payment by phone (MOTO payment) then the cardholder should be comfortable that they are dealing with the legitimate provider of the service they are procuring.

Cardholders are expected to take reasonable care to avoid inadvertent disclosure of their card number, and to be aware of their surroundings and those present when using the purchase card. In particular, they should take care when using the card in public areas and should not let the card be taken away out with their sight or over the telephone.

The Card Holder should never disclose their PIN or CSV code to any other staff member in any situation. If this happens accidentally (or the Cardholder suspects it has happened), Card Holders should contact the Purchase Card Administrator to request a new PIN, or Purchase Card. Never write the PIN or security code down.

When making purchases online Card Holders must ensure that the site is secure by checking that the site is "https", not just "http".

When a Card Holder leaves SEStran, the card must be cut up and returned to the Purchase Card Administrator immediately. This is the responsibility of the Card Supervisor.

# Section 2: Roles and responsibilities

This section briefly defines the roles and responsibilities involved in the Purchase Card scheme.

## 1. The Card Holder

### 1.1    Card Holder Role

The Card Holder must be a SEStran employee. The cardholder is nominated by the Partnership Director and has been assigned the appropriate level of delegated financial authority to purchase goods and services via a purchase card in accordance with this document and associated guides.

### 1.2    Card Holder responsibilities

The Card Holder is responsible for ensuring compliant use of their Purchase Card as set out in this document, including:

| |
|---|
| Ensuring that they comply with the purchasing rules |
| Completing records in SDOL in a complete, accurate and timeous way |
| Scanning and uploading receipts for every transaction |
| Ensuring the security of their Purchase Card, CSV and PIN number |
| Dealing with any overcharges/erroneous transactions with the supplier |
| Updating the Purchase Card Administrator with any changes of details |

## 2. The Card Authoriser / Supervisor

### 2.1   Card Authoriser Role

The Card Authoriser must be a SEStran employee. The Card Authoriser supervises the use of Purchase Cards by Card Holders who "report" to them.

### 2.2   Card Authoriser Responsibilities

The Card Authoriser is responsible for the following:

| |
|---|
| Ensuring that the Cardholder undertakes their responsibilities according to this document |
| Ensuring that Purchase Card transaction descriptions recorded in SDOL are useful and suitable for disclosure under FOI(S)A. |
| Ensuring that descriptions are entered in accordance with the timescales required |
| Reviewing all transactions in SDOL for cardholders which they are responsible for |
| Undertaking sample checks of receipts on a regular basis |
| Alerting the Partnership Director and Payments Manager of any actual or suspected misuse, fraud or irregularities regarding purchase cards |
| Authorising any changes required to cost centres |
| Ensuring that when a Card Holder leaves or a card is being removed from them, that the card is cut into pieces and sent to the Purchase Card Administrator |

## 3. The Budget Holder

### 3.1   Budget Holder

The Budget Holder is defined as an individual that has overall responsibility for the governance and compliant use of the Purchase Cards within their Service Area.

### 3.2   Budget Holder Responsibilities

The Budget Holder is responsible for the following:

| |
|---|
| Approving staff members to be Card Holders and Card Supervisors |
| Delegating financial authority to Cardholders |
| Authorising changes to card limits |
| Ensuring adequate record keeping for all Purchase Cards in the Service Area |
| Ensuring that Purchase Card Supervisors undertake their review processes properly and timeously |
| Ensuring that Purchase Cards in their service area are properly utilised in accordance with this document |
| Alerting the City of Edinburgh Council's Payments Manager of any actual or suspected misuse, fraud or irregularities regarding purchase cards |
| Dealing with any allegations or suspicion of potential misconduct in accordance with the Council's disciplinary procedure and reporting the matter to Police Scotland where appropriate |

## 4    The Purchase Card Administrator

### 4.1    Purchase Card Administrator Role

The Purchase Card Administrator is the first point of contact for Cardholders, Card Supervisors and Budget Holders.

### 4.2    Purchase Card Administrator Responsibilities

The Purchase Card Administrator is responsible for the following:

| |
|---|
| Dealing with requests for new cards and PINS (for new and existing cardholders) |
| Ensuring there is a clear business justification for a purchase card prior to approval |
| Single point of contact for the card provider (bank) |
| Setting up, and maintaining, records on SDOL as required |
| Dealing with queries from cardholders, supervisors, and service area representatives e.g. relating to SDOL; unblocking cards; password resets; cost centre changes |
| Dealing with requests to increase or decrease card limits |
| Communicating with cardholders, supervisors, and service area representatives as required |
| Day to day systems administration in relation to SDOL |
| Posting of expenditure accurately and timeously to the main financial system |
| Alerting the City of Edinburgh Council's Payment Manager and/or Chief Internal Audit Manager, as required of any actual or suspected misuse, fraud or irregularity with regard to Purchase Cards |

## 5 Financial Services

### 5. 1 Financial Service's Role

The role of Financial Services is as authorised signatories for the Bank. The application for a new Purchase Card requires to be signed by an authorised signatory.

### 5.2 Financial Service's Responsibilities

| |
|---|
| Checking that the applicant is an employee of the SEStran |
| Ensuring that a SEStran email address has been provided |
| Checking that the card transaction and monthly limits applied for are appropriate and acceptable |
| Checking that the proposed use of the Purchase Card is justifiable and in accordance with the rules for use |
| Checking that the person authorising the application is suitable |

# Section 3: Purchase Card Procedures

## 1. Obtaining and activating a Purchase Card

### 1.1 Nominating the Cardholder and Card Supervisor

The Partnership Director will decide on when it is appropriate for specific staff members to hold a Purchase Card. They will complete a Purchase Card Application Form and send this to the Purchase Card Administrator, indicating who the Card Supervisor will be.

### 1.2 Checking of Card Application

The Card Administrator must check and verify the Cardholder's application form and validate its contents including the default cost centre, ensuring that it is appropriately approved. The form will be sent to Financial Services for signature.

Note that personal phone numbers and/or email addresses will not be accepted. Applications require the personal, residential address of the applicant to comply with Money Laundering Regulations.

The Purchase Card Administrator will forward the application to the Card Provider within five working days of it being received, subject to there being no problems with the application. The Purchase Card Administrator will retain a copy of the application form, including the date sent to the Provider, for record keeping purposes.

### 1.3 Purchase Card Distribution

All new purchase cards and PINS will be sent directly to the Card Holder (separately). The Cardholder must memorise and destroy the PIN in confidential waste, immediately on receipt. Please note that the PIN can be changed at an ATM machine by the Cardholder.

The Council's Payments Team expect cards to be issued within 5-7 working days from the day that it is received by the Card Provider. If the card has not been received within 10 working days cardholders can alert the Purchase Card Administrator.

### 1.4 Cardholder Training

All new Cardholders must undertake training to ensure that they understand their role and responsibilities.

### 1.5 Card activation

Once cardholder training has been undertaken, the Purchase Card Administrator will activate the Purchase Card, within 3 working days of notification of completion of the training. This acts as a control to ensure that the appropriate training is undertaken prior to use of the card.

## 2. Making a Purchase

Purchases can be made in one of the following ways:

- By telephone;
- Online, via a secure site (https);
- In person, using CHIP & PIN.

For security, a supplier may request the billing address of a card. For all cards, this is the Cardholder's business address.

Cardholders should ensure that purchases comply with the purchasing rules detailed in paragraph 2.4 above.

## 3.   Completing the Purchase Card Transaction Log in SDOL

The purchase card transactions will be uploaded monthly to the SDOL system. Cardholders will receive an email alert advising them that transactions have been uploaded and are available for review.

The Cardholder must then complete the transaction record in SDOL for each transaction by the deadline for that month. This will involve:

- Entering the VAT to be recovered (see separate guidance re VAT recovery);
- Description of the transaction (most meaningful information at the beginning of the description);
- Add/amend cost centre or coding for each transaction (amending the defaults if required);
- Scan and upload a receipt for each and every transaction.  Only where scanning facilities are not available can receipts be submitted in paper form.

Once the Cardholder has completed their duties, the card supervisor can review the transactions, satisfying themselves that the transactions are fully compliant with the Purchase Card rules and procedures.

Please note that if the above actions are not undertaken by the deadline, the transactions will be coded to the default codes and VAT will not be recovered. This will be logged as non compliant and a report will be sent to the Service Area Representative. If a Cardholder or Supervisor repeatedly fails to complete the required actions by the deadline, the card will be disabled and the Supervisor will be removed.

## 4.   Dealing with disputed transactions

Cardholders may from time to time want to query a transaction on their statement. This can be for a number of reasons such as:

- The card statement lists a transaction that the Cardholder does not recognise;
- An incorrect amount has been charged;
- The goods or services purchased have not been supplied;
- The wrong goods or services have been supplied;
- Refunds have not been received as expected.

The Cardholder should contact the supplier in the first instance, retaining copies of all correspondence. If a resolution is not forthcoming this is treated as a disputed transaction.

Should the Cardholder require the Card Provider to intervene, they must contact them by email by contacting City of Edinburgh Council Payments Team, initially, attaching a completed Declaration Form. Once they have receipt of this, the Card Provider will perform a thorough investigation with the supplier in question, and will endeavour to get the disputed amount credited back to the Cardholder's purchase card account.

**Note: All queries must be raised with the Card Provider within 30 days from the statement date; otherwise the Card Provider is not obliged to deal with it.**

## 5. Changes of information

For all of the various changes listed below, a "Purchase Card Change Form" must be completed and forwarded to the Purchase Card Administrator. All changes must be advised promptly to reduce risk of fraudulent activity.

- Changes to Cardholder details. If the change is a change of name, then a new card will be issued, within 10 working days;

- Changes to Credit limits. The Service Area Purchase Card Representative can approve temporary or permanent adjustments to transaction or monthly limits. They must assess the requirements for each card carefully in order to set the limits at an appropriate level. The limits should be high enough to enable the Cardholder to make the purchases expected of them, whilst low enough to act as a control;

- Changes to default Cost Centre.

## 6. What to do if a card is lost or stolen, or declined

### 6.1 What to do if a card is lost or stolen

If a card has been lost, stolen or damaged, the Cardholder must notify the Card Provider immediately using the 24-hour customer service line.

The Card Provider will cancel the card, ensuring that no further transactions can be made. They will then make the necessary arrangements for a new card to be issued to the Cardholder.

### 6.2 What to do if a card is declined

If a purchase card or transaction is declined the Cardholder must:

- first check with the supplier that all the details they have are correct;

- ensure they have sufficient credit on their purchase card; if not, the Cardholder must either wait for renewal of the credit limit or seek a temporary increase in the monthly limit from their Service Area Representative;

- ensure they are not making purchases listed in the Purchase Card prohibited purchases list (see Section 1, paragraph 2.4 above).

If the Cardholder has sufficient credit, and is sure the supplier has all correct details, they need to contact the Card Provider. If the Card Provider is unable to resolve the cardholder must contact the Purchase Card Administrator.

## 7. Reporting and Management Information

### 7.1 Monthly Reporting to Senior Management

Monthly transaction reports for all purchase card transactions will be produced by the Purchase Card Administrator and sent to Senior Managers in Service Areas.

### 7.2 Requests for Reports or Management Information

Requests for reports must be made using the Management Information Request Form. These will be dealt with within 10 working days, unless there is justification for a quicker turnaround.

### 7.3 Service Area Management Controls

The Service Area must carry out its own local risk management checks and compliance controls. See Section1, paragraph 4 re Risk Management and Controls section above.

## 8. Summary of Service Levels

The following Service Levels apply.

| Form | Purchase Card Administrator | Card Provider |
|---|---|---|
| Purchase card application form | Up to two working days | Up to ten working days |
| Acknowledgement of card and PIN receipt form | N/A | N/A |
| Change of information form | Up to two working days | Up to ten working days |
| Management Information Request | Reports will be provided at the end of full calendar month | N/A |

**Travel & Subsistence Policy**

**1.    INTRODUCTION**

**1.1**   At the Performance & Audit Committee on the 9th September 2016, a Business Travel Policy was approved to further SEStran's compliance under the Climate Change (Scotland) Act 2009, to encourage more sustainable business travel among staff.

**1.2**   A the Partnership Board on the 23rd September 2016, Cllr. Edgar suggested that the Business Travel Policy could apply to Board members as well as staff. Officers therefore undertook a review of the policy and concluded that the policy should apply to all staff, Board Members and other personnel employed by SEStran. Furthermore, the policy has been updated to include guidance on travel planning and subsistence rates to ensure that best value for money is achieved.

**1.3**   The Business Travel Policy has therefore been updated and has been renamed the Travel & Subsistence policy to reflect these changes. The full policy can be seen in appendix 1.

**2.    POLICY**

**2.1**   The three main objectives of the policy are to:
- Reduce the need to travel;
- Increase awareness among staff, members and other personnel of travel choices and their implications;
- To encourage the use of sustainable forms of transport on official business.

**2.2**   This will be achieved through the use of a business travel hierarchy, travel planning and clear guidance on subsistence reimbursement.

**2.3**   All restrictions in terms of travel & subsistence claims also apply to any costs incurred on SEStran purchase cards.

**2.4**   The expense claim form for Board Members has been updated to reflect these changes and is included at appendix 2.

**3.    REVIEW**

**3.1**   The policy is designed to encourage a change in employee and Member business travel modes to be more financially efficient and also to reduce the organisations CO2 emissions and will be monitored through the following provisions:
- Carbon emissions will be reported under the Climate Change (Scotland) Act 2009 which requires SEStran to publish details of compliance with climate change duties.

- A report on Members' allowances will be published annually, under the SEStran financial regulations.

## 4. RECOMMENDATION

**4.1** The Committee is asked to comment upon the Travel & Subsistence Policy for approval and;

**4.2** Agree to table the policy for approval by the Partnership Board.


Emily Whitters
**Business Support Officer**
November 2016


**Appendix 1 –** Travel & Subsistence Policy

**Appendix 2 –** Members Expenses form


| Policy Implications | Implementation of Travel & Subsistence Policy. |
|---|---|
| Financial Implications | A reduction in business travel through use of the business travel hierarchy may result in cost savings. Travel planning and clear guidance on subsistence claims may also further reduce costs. |
| Race Equalities Implications | None |
| Gender Equalities Implications | None |
| Disability Equalities Implications | None |
| Climate Change Implications | SEStran's carbon emissions are now monitored, with a planned reduction in emissions. |

## TRAVEL & SUBSISTENCE POLICY

**POLICY STATEMENT**

The purpose of this policy is to set out the procedures relating to official travel and the entitlement to travel and subsistence (T&S) claims.

The provisions of this policy are designed to ensure that best value for money is achieved. The policy identifies the most appropriate arrangements for T&S costs.

In addition to the above, SEStran also has an obligation under Section 44 of the Climate Change (Scotland) Act 2009 to act:

- In a way best calculated to contribute to the delivery of the Act's emissions reduction targets;
- In a way best calculated to deliver any statutory adaptation programme, and
- In a way that it considers most sustainable

Adherence to the guidance within this procedure will ensure that business travel arrangements are safe, cost effective and compliant with SEStran's environmental and legal obligations.

**SCOPE**

This policy applies to all employees of SEStran, any consultants employed by SEStran and all Members/Observers of the SEStran Partnership Board while engaged on SEStran business. SEStran is committed to delivering best value and encouraging greener travel and as such this policy endorses the following objectives:

- To reduce the need to travel
- To increase awareness among staff of travel choices and their implications
- To encourage the use of sustainable forms of transport on official business

**RESPONSIBILITIES**

It is important that employees, Members and other personnel are aware of their individual responsibilities to ensure the policy is adhered to.

- Use the Business Travel Hierarchy as below
- Ensure that personal vehicles are insured for business use and have current MOT certificates (if applicable);
- Ensure that all subsistence claim forms are completed in accordance with the guidance provided within this policy.

Line Managers

- Ensure that only essential travel is undertaken and that alternative options and forward planning are used to achieve best value

- Ensure that all subsistence claim forms are completed in accordance with the guidance outlined within this document before providing authorisation.

**BUSINESS TRAVEL HIERARCHY**

When employees, Members and other personnel are required to travel for official purposes (official meetings, seminars or workshops, training courses) they must consider the business travel hierarchy as laid out below. This hierarchy considers both environmental and economic impact.

1. Is there a need for travel – can a telephone call, video conference or email deliver the same outcome
2. Walking/Cycling – These are the healthiest, most sustainable and lowest cost travel options, however only viable for journeys over a short distance.
3. Bus/Rail – Public Transport provides an alternative to car-based business travel. Benefits include lower $CO_2$ emissions and increased efficiency allowing for the ability to work while travelling.
4. Taxi/Private Car – It is recognised that sometimes this may be the most time-efficient mode of transport however this results in congestion and high carbon emissions. If this mode of transport is used multi-occupancy trips should be encouraged where possible.
5. Air Travel – This method of transport may be more efficient in terms of cost and travel time however it does result in the highest $CO_2$ emissions and should be the last option considered for domestic travel.

**TRAVEL PLANNING**

Travel arrangements should be planned to keep the total expense to the minimum taking account of business needs and efficiency. As walking/cycling are only viable for journeys over a short distance, public transport should be considered the preferred mode of business travel for most journeys unless it significantly increases door-to-door travel time. Travel should be booked as far in advance as possible to ensure the best available priced ticket. It is recognised that public transport will not be a practical option for all employees/Members. In these cases it is acceptable to consider alternative travel options instead. Those with travel concession passes should use these where possible to reduce the cost of travel.

Rail

Rail travel should be restricted to specific train times to allow staff to purchase lower cost 'advance' tickets. Flexible tickets should only be purchased when those travelling cannot be sure of when their meeting/event will end. First class travel is not permitted for any employee or Board member unless the overall cost of the first class ticket is less than the overall cost of the cheapest standard class ticket. In exceptional cases rail tickets may be upgraded to first class tickets with the

authorisation of the Chair (in the case of Board Members) and authorisation of the Partnership Director (in the case of staff).

SEStran will purchase railcards on behalf of employees or Members who travel regularly on SEStran business, if the purchased railcard can be used to reduce the cost of their business travel.

<u>Personal Vehicle</u>

For round trips a personal vehicle can be used at the discretion of the employee and authorising officer if it represents the most efficient option in terms of travelling time and/or no alternative method of undertaking the journey is practical. The vehicle must have an up to date MOT certificate and insurance to cover business travel. Mileage will only be paid for approved business journeys. The vehicle's odometer should be used to determine the journey distance. Online route planning websites such as Google Maps can assist in providing mileage if required. Mileage will be claimed at the below rates:

| Miles Claimed | Rate Per Mile |
|---|---|
| 0 – 10,000 | 45p |
| 10,000 + | 25p |

<u>Air Travel</u>

This method of transport may be more efficient in terms of cost and travel time however it does result in the highest CO2 emissions and this should be taken in to consideration when arranging travel. All fares booked will be the lowest cost economy class ticket that satisfies travel requirements. Availability of lower cost air fares is generally greater when reservations are made significantly in advance of travel, although the optimal advance booking time will vary for each destination. Employees and Members should therefore request travel bookings as far in advance as possible.

**SUBSISTENCE**

Subsistence should not be claimed where SEStran, or any other body, provides a suitable meal free of charge.

SEStran will only reimburse subsistence expenses incurred by an employee if they meet the following qualifying conditions:

- The employee/Member is travelling on behalf of the SEStran in performance of their duties, in the case of attending Partnership Board meetings, Performance & Audit committee and any other pre-authorised activity.
- The employee/Member incurred a cost of a meal (food and drink) after starting the journey

Subsistence claims must be supported by receipts stapled securely to the form. Reimbursement of subsistence expenses will be limited to the benchmark rates provided by HM Revenues & Customs as detailed below:

| Rate | Description | Value |
|------|-------------|-------|
| Breakfast | Where an employee leaves home before 6am and has to buy a meal which they would normally had at home. | Up to £5.00 |
| 5 hour | Where an employee has been away from home for a period of at least 5 hours and has incurred the cost of a meal | Up to £5.00 |
| 10 hour | Where an employee has been away from home for a period of at least 10 hours and has incurred the cost of a meal or meals | Up to £10.00 |
| Late evening | Where an employee has to work later than usual and has to buy a meal which they would normally have had at home | Up to £15.00 |

Only three 'rates' can be claimed in a 24 hour period. A meal is defined as a combination of food and drink. Alcohol is not a claimable expense. Exceptions to the above rates may be pre-agreed with the Partnership Director when employees/Members are travelling outwith the SEStran area e.g. attending a conference in London/Europe.


**COMPLETING THE TRAVEL & SUBSISTENCE EXPENSES CLAIM FORM**

Travelling and subsistence claims must be authorised by line managers for staff and Partnership Director for Board Members. Claims must be submitted for payment within 90 days of the expense being incurred or journey undertaken. Expense claims submitted outside of this 90 day limit will only be paid in exceptional circumstances. Claims will be paid a month in arrears.


**STAFF PURCHASE CARDS**

The above restrictions in terms of travel & subsistence also apply to any costs incurred on SEStran purchase cards. For further information on use of the purchase cards please refer to the SEStran purchase card rules and procedures.


**REVIEW**

This policy is designed to encourage a change in employee and Member business travel modes to be more financially efficient and to reduce the organisations $CO_2$ emissions. This will be monitored through the following provisions:

- Carbon emissions will be reported under the Climate Change (Scotland) Act 2009 which requires SEStran to publish details of compliance with climate change duties.
- A report on Members' allowances will be published annually, under the SEStran financial regulations.

This policy will be subject to review every three years.

Area 3D (Bridge), Victoria Quay, Edinburgh, EH6 6QQ

Chairman: Cllr Lesley Hinds        Partnership Director: George Eckton

## SEStran - EXPENSES CLAIM FORM (OTHER MEMBERS)

**Date of Meeting…………………**

| Name of Claimant : | |
|---|---|
| **Address** | |
| | |
| **Post Code** | |

| To whom cheque should be made payable if different from above | |
|---|---|
| **Payee** | |
| **Address** | |
| | |
| **Post Code** | |

Your expenses will be paid as soon as possible after you submit this form. Payment cannot be made on the date of the Partnership meeting.

**In accordance with the Travel & Subsistence policy, please consider where practicable, travel by foot, bicycle or public transport. Rail fares should be the cheapest rate available. First class travel is not permitted unless the overall cost of the first class ticket is less than the overall cost of the cheapest standard class ticket.**

### DETAILS OF EXPENSES INCURRED

| | | |
|---|---|---|
| **PUBLIC TRANSPORT** Bus, Rail etc. | | £ |
| **CAR MILEAGE** (45p per mile) | **Number of miles claimed** | £ |
| **ACCOMMODATION / SUBSISTENCE** | | £ |
| **OTHER - PARKING CHARGES, ETC.** | | £ |

**Amount payable  £ _____**

**<span style="color:red">RECEIPTS MUST BE ATTACHED FOR ALL EXPENSES OTHER THAN CAR MILEAGE</span>**

I declare that I have incurred the above expenses attending this SEStran meeting

**Signature of claimant……………………………………………**

**Date…………………**

*For Office Use Only*

**Authorised by ……………………………**                **Date…………….**

**Ledger Code to be charged to**

☐☐ ☐☐☐☐  ☐☐☐☐☐ ☐☐☐

**Please return this form to: Iain Shaw, The City of Edinburgh Council,
Department of Finance, Waverley Court (Business Centre 2/6),
4 East Market Street, Edinburgh, EH8 8BG
Telephone:  0131 469 3117    iain.shaw@edinburgh.gov.uk**

**Risk Framework**

## 1. INTRODUCTION

1.1 The item provides the Committee with its six monthly update on the risk register which is an integral part of SEStran's Risk Management Framework.

1.2 A further purpose of the report is to seek a mandate from the Committee to review the current Risk Management Framework for SEStran over the course of the next 6-9 months.

## 2. BACKGROUND

2.1 Performance and Audit Committee have received six-monthly updates of the risk register in recent years, as part of SEStran's commitment to a framework of risk management within the organisation.

## 3. CURRENT POSITION

3.1 SEStran has been using its Risk Register to record, report and evaluate risks within the organisation since May 2008. All risks are reviewed regularly by the relevant staff and Appendix 1 to this report is an extract from the SEStran Risk Register, highlighting the key net rated risks, including new entries/action associated with risks around :
- Article 50 of the Lisbon Treaty;
- Planning Review and National Transport Strategy 2; and
- City Deal and SESplan/SEStran alignment.
- Climate Change Reporting Duties

## 4. CONTINUOUS IMPROVEMENT

4.1 The current scope and format of the risk management framework has in strategic terms served SEStran well and provided a platform for scrutiny of key operational and strategic risks. However, as with any document or process it can be and should be continuously reviewed and improved. Therefore, given this is the last time it will be tabled to the Committee prior to the 2017 Local Government Elections, the officers would suggest it may be an appropriate point to seek a mandate to provide a review and make recommendations to the newly constituted Committee in Summer 2017 for implementation.

## 5. RECOMMENDATIONS

5.1 The Committee are requested to discuss and comment upon the latest version of the Risk Register and agree that the proposed new risks should be added to the register.

5.2    The Committee are asked to give SEStran officials a mandate to review the current framework in terms of format and scope, reporting back to the Committee with recommendations in Summer 2017.

Angela Chambers
**Business Manager**
November 2016

**Appendix 1**: SEStran Risk Register – Key Risks

| | |
|---|---|
| Policy Implications | None |
| Financial Implications | None |
| Race Equalities Implications | None |
| Gender Equalities Implications | None |
| Disability Equalities Implications | None |
| Climate Change Implications | None |

**SESTRAN**
**DETAILED RISK REGISTER**
**18-Nov-16**

| Business Unit | Risk Category | Risk | Risk Owner | Business Objective | Risk Detail | Gross Impact | Gross Likeli | Gross Rating | Gross Score | Net Impact | Net Likeli | Net Rating | Net Score | Conclusion | Actions | Controls |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 200 - Strategy/Regional Transport Strategy | 03 - Strategic Risk | 0181 - Lack of local authority alignment. | George Eckton | 006 - Economy | Lack of local authority alignment to the regional transport strategy may lead to inconsistent actions within the local authority leading to non-delivery of the regional priorities. | Ma | Po | M | 16 | Ma | Pr | M | 16 | Treat | City Deal Transport Appraisal Group Being lead by SEStran | 01 - Regional Transport Strategy communicated to all local authorities.<br><br>02 - Strategy Liaison Group<br><br>03 - Chief Officers Liaison Group<br><br>04 - Sustainable Transport Liaison Group<br><br>05 - Bus Liaison Group<br><br>06 - Rail Liaison Group<br><br>07 - Align Local nOutcome Improvement Plans (LOIPs) with Regional Transport Strategy |
| 423 - Project Management/Response to External Consultations | 03 - Strategic Risk | 0374 - Inadequate project appraisal | George Eckton | 0 | Proposed regional interventions have been inadequately analyses and appraised leading to a financial exposure of the RTP | M | P | M | 12 | M | P | M | 12 | Tolerate | City Deal Transport Appraisal Group being lead by SEStran. | 01 - Comprehensive brief<br>02 - Risk analysis<br>03 - Competent advisor<br>04 - All significant contracts are referred for Board approval. |

| Business Unit | Risk Category | Risk | Risk Owner | Business Objective | Risk Detail | Gross Impact | Gross Likeli | Gross Rating | Gross Score | Net Impact | Net Likeli | Net Rating | Net Score | Conclusion | Actions | Controls |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 300 - Communications/Media Response | 06 - Reputational Risk | 0227 - Negative or inaccurate media coverage | George Eckton | 022 - Make SEStran a household name in SE Scotland | Negative or inaccurate media coverage leading to misrepresentation of SEStran position | Ma | Po | M | 12 | Mo | Pr | M | 12 | Tolerate | Proactively seek opportunities for coverage. Continue active twitter engagement. New web site being introduced. | 08 - Good relationships with media<br><br>09 - quick response to negative or inaccurate coverage<br><br>10 - Proactive Placement of copy<br><br>11 - Avaliblity of Spokesperson<br><br>12 - Agreed broad media positions ☐ |
| 130 - Office Management/Finance | 09 - External Risk | 0216 - The organisation may be unprepared for changes in the economy. | George Eckton | 004 - Support Office Finance | Changes in the economy and currency fluctuations may affect project costs and delivery. | M | P | H | 16 | M | P | M | 12 | Tolerate | 01082 - Attract EU funding for projects.<br><br>01083 - Charge core staff and overhead costs to EU funded projects.<br><br>01084 - Attract private sector funding for projects<br><br>01085 - Demonstrate added value to Board | 01 - Regular review of project costs, delivery and viability<br>08 - Individual Project Risk Registers ☐<br><br>09 - Maximise use of fixed lump sum contracts<br><br>10 - Prudent Budget with contingency allowances<br><br>11 - Conditions of contract ☐ |
| 400 - Programme Management/Programme | 06 - Reputational Risk | 0293 - Quality of advice and research | George Eckton | 031 - Deliver revenue programme on budget | Poor quality products will result in lack of credibility for SEStran as a strong influencing body. | M | P | M | 12 | M | P | M | 12 | Tolerate | Partnership Director sign-off. Quaity assure all responses | 32 - Quality Assurance<br>33 - Internal peer review<br><br>34 - External Audit |

| Business Unit | Risk Category | Risk | Risk Owner | Business Objective | Risk Detail | Gross Impact | Gross Likeli | Gross Rating | Gross Score | Net Impact | Net Likeli | Net Rating | Net Score | Conclusion | Actions | Controls |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 130 - Office Management/Finance | 05 - Financial Risk | 0188 - Money may not be available to fund plans and activities. | Iain Shaw | 004 - Support Office Finance | SEStran may not have sufficient cash to fund operational requirements, investment opportunities or to meet contingency requirements. | M | Po | M | 25 | Ma | Po | M | 12 | Treat | 01067 - Identify other sources of funding. Manage existing funds | 01 - Board policies set priorities for funding.  02 - Partner Authorities Funding  17 - EU Funding ☐  18 - Scottish Government Funding  19 - Partnership with Private Sector in EU projects ☐ |
| 130 - Office Management/Finance | 05 - Financial Risk | 0193 - Inaccurate, incomplete or delayed financial information may lead to poor decisions. | Iain Shaw | 004 - Support Office Finance | Information provided or presented by the finance function may not be of sufficient quality to support decisions. | Ma | Pr | H | 16 | Ma | Po | M | 12 | Treat | 01068 - Contingency plannings | 01 - Qualified and experienced staff are recruited and adequate training provided for accounting employees.  02 - Treasurer involved at an early stage in discussions of strategic and operational planning.  03 - Where reporting involves spreadsheets, tools used are documented, tested and protected from unauthorised changes. |

**SESTRAN**
**DETAILED RISK REGISTER**
**18-Nov-16**

| Business Unit | Risk Category | Risk | Risk Owner | Business Objective | Risk Detail | Gross Impact | Gross Likeli | Gross Rating | Gross Score | Net Impact | Net Likeli | Net Rating | Net Score | Conclusion | Actions | Controls |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 400 - Programme Management/Programme | 06 - Reputational Risk | 0292 - Delayed delivery of projects | Jim Grieve | 031 - Deliver revenue programme on budget | Delayed delivery of projects leading to undermining of credibility with partners, government, media and general public | Ma | Pr | H | 16 | Ma | Po | M | 12 | Treat | 01069 - Ensure project managers clearly understand briefs | 28 - project monitoring, mangement & control<br><br>29 - Project meetings<br><br>30 - Contractual requirement for programme<br><br>31 - Production of realistic programme☐ with commitment by all parties<br>32 - ensure budget and spend profile is clear and communicated. |
| 400 - Programme Management/Programme | 09 - External Risk | 0384 - Poor communications with EU project partners | Jim Grieve | | Breakdown in communication could lead to wrong expectation of progress and delivery | M | P | M | 12 | M | P | M | 12 | Treat | regular Communication | 41 - Clear communications protocol with partners<br><br>42 - Regular progress reports<br><br>43 - Regular Board reports and Partnership Meetings |
| 400 - Programme Management/Programme | 10 - Specific Operational risk | 0215 - Scheme Specific Risk Registers | Jim Grieve | 019 - Ensure delivery of projects within agreed programme timeframe | As new projects and initiatives are started their scheme specific risk registers fail to be added. | Ma | HP | H | 20 | Mo | Pr | M | 12 | Tolerate | | 01 - Conditions of Contract<br><br>02 - Projects Management<br><br>38 - reminder sent out to all risk managers |
| 400 - Programme Management/Programme | 10 - Specific Operational risk | 0294 - Scheme Specific Risk Registers | Jim Grieve | 031 - Deliver revenue programme on budget | As new projects and initiatives are started their scheme specific risk registers will be added. | M | P | M | 12 | M | P | M | 12 | Tolerate | | 01 - Conditions of Contract<br><br>02 - Projects Management<br><br>38 - reminder sent out to all risk managers |
| 411 - Project Management/RTPI | 05 - Financial Risk | 0327 - Project not supported by all SEStran authorities | Jim Grieve | 051 - Provide reliable real-time information to passengers | RTPI system will not be financially sustainable. | Ma | Pr | H | 20 | Mo | Pr | M | 12 | Treat | 01070 - Apply for addtional EU funding<br><br>01071 - Bus Improvement Fund Bids & Keep LAs informed | 03 - Emphasise benefits to each partner authority<br><br>13 - EU funding for some areas ☐<br><br>14 - Formal, signed Operator Agreements |

**SESTRAN**
**DETAILED RISK REGISTER**
**18-Nov-16**

| Business Unit | Risk Category | Risk | Risk Owner | Business Objective | Risk Detail | Gross Impact | Gross Likeli | Gross Rating | Gross Score | Net Impact | Net Likeli | Net Rating | Net Score | Conclusion | Actions | Controls |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 100 - Office Management/Corporate | 03 - Strategic Risk | 0183 - Lack of government support for RTP | George Eckton | 001 - Develop and Implement RTS | If the government does not recognise the added value and significant contribution that a regional transport partnership can make to delivering national and regional transport objectives the RTP may be wound up. | C | P | H | 15 | C | U | M | 10 | Treat | 01065 - Meeting with Minister for Transport REGULAR MEETINGS AT JOINT RTP CHAIRS WITH MINISTER TAKE PLACE.<br><br>01097 - SG RTP Working Group Report "Develop to Deliver" now agreed by Minister and published indicating closer working between RPTs and Scottish Government.<br><br>Action - Active lobbying of the SG/TS in the run-up to National Transport Strategy 2 [RTP Chairs meeting Minsiters on 30 November] + Partnership Director active engagement in the Review of the | 01 - High profile communication<br><br>02 - Regular involvement of the Transport minister in RTP business<br><br>03 - Communication with Scottish Parliament<br><br>04 - Consultation responses<br><br>05 - RTP co-operation<br>06 - COSLA support<br>07 - Community Planning<br><br>08 - Single Outcome Agreements<br><br>09 - Strategic Planning Authorities<br><br>10 - Health transport<br><br>12 - EU Funding □ |
| 400 - Programme Management/Programme | 05 - Financial Risk | Reduced Income | Jim Grieve | To keep SEStran working in European Projects | Brexit is likely to result in the cessation of SEStran's partnerships in Europe | M | HP | 0 | 10 | 0 | 0 | 0 | 10 | Tolerate | Regular review of UK and Scottish Government advice | Standing paper to Partnership Board |

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**SEStran Equality Outcomes 2017 – 2021**

## 1.    BACKGROUND

**1.1**   The paper outlines the requirement for SEStran as a listed public body under the Equality Act 2010 and the Equality Act 2012 (Scotland) Specific Duties Regulations to publish a set of Equality Outcomes covering the period April 2017 – March 2021 which it considers will enable it to better perform the equality duty.

**1.2**   The general equality duty requires public authorities, in the exercise of their functions, to have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010;
- Advance equality of opportunity between people who share a relevant protected characteristic and those who do not;
- Foster good relations between people who share a protected characteristic and those who do not.

**1.3**   The relevant protected characteristics are: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

## 2.    PURPOSE

**2.1**   The purpose of the 2017-2021 SEStran Equality Outcomes report is to identify details of actions being progressed, to assist SEStran is performing the public sector equality duty under the Equality Act 2010, specifically the 2012 specific duties regulations. The 2012 Specific Duties Regulations require:
- each listed authority to publish a set of equality outcomes which it considers will enable the authority to better perform the general equality duty. It must publish a fresh set of equality outcomes within four years of publishing its previous set.
- In preparing this set of equality outcomes, the authority must take reasonable steps to involve people who share a relevant protected characteristic and any person which appears to the authority to represent the interests of those people.
- The authority must also consider relevant evidence relating to people who share a relevant protected characteristic.
- If an authority's set of outcomes does not seek to further the needs of the general equality duty in relation to every relevant protected characteristic, it must publish its reasons for proceeding in this way.
- An authority must publish a report on the progress made to achieve its' equality outcomes every two years.

**2.2** The final outcomes report will detail relevant policies, projects and processes, including a proposed voluntary employee information survey disaggregated by equality characteristics and a gender pay gap calculation. The report will also outline a set of equality outcomes SEStran will seek to achieve across the next 4 years and beyond in a proportionate manner relevant to the public functions it exercises.

**2.3** The 2012 regulations also outline that if a set of equality outcomes published by a listed public authority does not seek to further the needs of the equality duty, in relation to every relevant protected characteristic, the authority must publish its reasons for proceeding in this way.

## 3. OUTCOMES 2013 – 2017

**3.1** SEStran published our first set of Equality Outcomes[1] in March 2013 and a Mainstreaming Report[2] on progress was published in March 2015. The EHRC guidance outlines a need to review progress against and continuing relevance of the public bodies previous set of outcomes before setting a new set of outcomes.

**3.2** The 2013-2017 outcomes focused on policy related and employer related outcomes. SEStran had more outcomes than the Scottish Government despite having a much narrower function, and a clear result of this review should be to focus on clearer outcomes, rather than actions/outputs. SEStran currently has 28 proposed outcomes for better performance of the Equality Duty whereas the Scottish Government proposed 7 in their 2013-2017 report.

**3.3** For context, a number of the outcomes are based on the existing Regional Transport Strategy, developed in 2006/07 when SEStran had a considerable capital budget. In the course of subsequent years, this funding was removed from SEStran's control, reducing the capability of SEStran to directly influence delivery of many of the outcomes.

**3.4** Moving forward, a number of the policy or employer related outcomes could be continued as part of a wider outcome, a number of outcomes need to be consolidated and it could be argued a number of outcomes should not be continued in their present form. Appendix 1 provides an update on the progress with the outcomes specified for 2013-2017. The 2017-2021 outcomes will need to focus on the current functions, resources and capabilities of SEStran.

**3.5** The EHRC guidance is clear that we need to set proportionate and relevant equality outcomes taking account of the organisation's function and resources, which seek to better perform the general equality duty. The outcomes we all co-produce need to further: the elimination of discrimination, advance equality of opportunity or foster good relations. The results of the outcomes should achieve identifiable improvements. The guidance also says

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[1] http://www.sestran.gov.uk/uploads/Draft_Equalities_outcome_report_update.pdf
[2] http://www.sestran.gov.uk/uploads/A10_appx_1_SEStran_Mainstreaming_Feb2013.pdf

we should aim to produce the Business Plan in tandem, so there will be a need to mainstream this work into the 2017-18 Plan.

**3.6** SEStran has a very specific remit to produce a Regional Transport Strategy, alongside our duties as an employer, which would appear to SEStran officers to provide a very clear and defined scope for developing equality outcomes. SEStran has developed two draft outcomes for comment around each of the following 2 strategic issues:
- An Equitable, Diverse and Representative Organisation
- Safe, Accessible and Equitable Regional Transport Network

**3.7** SEStran officers recognise that the two areas of focus above do not cover all that we could do on equality, but they focus on our main functions and duties. We recognise that there are important issues in terms of equality, but these are within the duties of other public bodies.

**3.8** The two areas of activity are suggested as the areas of focus for activity over the next 4 years as they represent key issues, have areas of policy and practice which can be addressed through our functions and are supported by the available evidence. Draft outcomes have been prepared in a new format, broadly based on the Scottish Government's current format, for comment at appendix 2.

## 4. DUTY TO REPORT

**4.1** SEStran will publish a new set of equality outcomes, a progress report on previous equality outcomes and a progress report on mainstreaming the equality duty in April 2017.

## 5. BOARD DIVERSITY SUCCESSION PLAN

**5.1** Under the Public Sector Equality Duty Amendment Regulations 2016, all listed public authorities are required to produce a Board Diversity Succession Plan to be published within an equalities mainstreaming report.

**5.2** The specific duties require listed public authorities to use information on the diversity of their Board, broken down by all relevant protected characteristics, to support succession planning, and to publish the Board's gender breakdown. This information will feed in to the development of a Board Diversity Succession Plan.

**5.3** Scottish Government have conducted a Board Diversity survey on all Public Bodies. The results of this will be fed in to a Board Diversity Succession Plan to be published in April 2016 as part of the equalities mainstreaming report.

**5.4** SEStran have prepared a draft Board Diversity Plan, attached as appendix 3. This will be altered once we are in receipt of the Scottish Government gathered Board Diversity figures. The draft plan shows the measures that SEStran will look to implement to improve Board diversity.

## 6. EVIDENCE BASE

**6.1** The Scottish Government launched an Equality Evidence[3] web resource in June 2012, which provides a wealth of data and other evidence with accompanying commentary, background papers, and links to further information. This will be a valuable source of data for formulating SEStran's next set of outcomes but also identifies gaps in data which we need to address over the next 4 years. There is a specific section on transport and travel[4].

**6.2** The EHRC guidance talks about a reasonable level of data and analysis and outlines 5 main criteria for Outcomes: scale, severity, concern, impact and remit. The guidance highlights that any outcomes emerging from evidence, should focus on addressing the most significant inequalities from evidence of data and involvement of stakeholders. From which public bodies should set outcomes which will have the most impact and focus efforts on what proportionately we can be best in terms of SEStran's function.

**6.3** The identified equality outcomes need to be as far as possible specific and measureable, albeit they don't need to be hard/tangible outcomes in terms of measurement e.g. emissions reduced. An example the guidance does highlight is around non-tangible outcomes e.g. women feeling confident about using public transport after dark. The guidance is also clear in terms of seeking to counsel public authorities to avoid vague outcomes, for example have a more diverse workforce.

**6.4** Therefore, whilst the Scottish Government evidence base has a wide range of data, we must retain a clear focus on the function of SEStran and therefore limit discussion to what SEStran's functions can achieve in terms of the performance of the public sector equality duty.

**6.5** SEStran have begun the process of compiling relevant equality evidence to support our Equality Outcomes. This evidence will be further expanded upon and developed, through officer research and engagement with relevant organisations through the consultation process. The draft evidence base can be seen in appendix 4.

## 7. GUIDANCE – PARTICIPATION

**7.1** One of the first suggestions from the guidance is the need to involve staff with the process. Members should be aware that SEStran employees met several times over the autumn months to discuss the process of reviewing the set of outcomes and developing new outcomes.

**7.2** From these meetings a project plan and participation statement was developed to better enable the involvement of individuals and groups representing those with protected characteristics under the Equality Act to

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[3] http://www.gov.scot/Topics/People/Equality/Equalities
[4] http://www.gov.scot/Topics/People/Equality/Equalities/TransportTravel

know how and when they can engage in shaping SEStran's Equality Outcomes and alongside this, the SEStran Business Plan for 2017/18. The participation statement was subsequently endorsed by the Equalities Forum on the 24th October and is included at appendix 5.

**7.3** As outlined in the Participation Statement, SEStran are seeking Board approval for a 4-6 week consultation on the draft set of outcomes.

## 8.    CONCLUSION

**8.1** The committee are asked to:
- Comment upon the review of the 2013 – 2017 Equality outcomes and on the development of the two new outcomes;
- Agree to table the draft outcomes to the December Board for approval of a 4-6 week consultation period.


Emily Whitters                                      Angela Chambers
**Business Support Officer**              **Business Manager**
18th November 2016


**Appendix 1 –** Progress with 2013 – 2017 Outcomes
**Appendix 2 –** Proposed Equality Outcomes for 2017 – 2021
**Appendix 3 –** Draft Board Diversity Succession Plan
**Appendix 4 –** Draft Equality Evidence
**Appendix 5 –** Public Sector Equality Duty Participation Statement


| | |
|---|---|
| Policy Implications | Provide assurance for the delivery of the Equality policies and objectives of the Regional Transport Strategy and ensure the Equality Outcomes are mainstreamed through the Business planning process of SEStran. |
| Financial Implications | None |
| Race Equalities Implications | Compliance with Equality legislation to ensure fostering of good relations between people who share a protected characteristic and those who do not, elimination of unlawful discrimination, harassment and victimisation and advance equality of opportunity between people who share a relevant protected characteristic and those who do not. |
| Gender Equalities Implications | Compliance with Equality legislation to ensure fostering of good relations between people who share a protected characteristic and those who do not, elimination of unlawful discrimination, |

| | harassment and victimisation and advance equality of opportunity between people who share a relevant protected characteristic and those who do not. |
|---|---|
| Disability Equalities Implications | Compliance with Equality legislation to ensure fostering of good relations between people who share a protected characteristic and those who do not, elimination of unlawful discrimination, harassment and victimisation and advance equality of opportunity between people who share a relevant protected characteristic and those who do not. |
| Climate Change Implications | None |

**PROGRESS WITH 2013-2017 OUTCOMES**

| Proposed Outcome | Action | 2013 – 2017 Progress |
|---|---|---|
| To provide a forum for consultation on SEStran policy | Provide an Equalities Forum | The SEStran Equalities Forum has been running successfully since 2009. |
| An equality audit procedure for proposed initiatives and projects | Develop and implement a procedure. | Work is ongoing. An Equality Impact Assessment process has been started for RTS renewal. |
| A monitoring process that specifically identifies equality issues. | Identify equality issues and relative monitoring requirements. | Equalities monitoring has been reported in the annual report which is presented to the SEStran Board. |
| Monitor and report progress on equality issues | Include a report on progress in our Annual Report | As above, progress has been reported in our annual report. |
| All documents produced by SEStran to be accessible to all aspects of the community | Provide a translation/Braille facility for any published documents as necessary. Provide large text/speech facilities for documents on the web site. | These are available on request. |
| Improved accessibility for those dependent on public transport | RTS Policy 3 – Encouragement will be given to the improvement of all aspects of bus services (services, vehicle quality, fares, infrastructure, bus rapid transit, and integration) as a means of reducing congestion and enhancing accessibility. | SEStran have consulted on accessibility issues such as accessibility at Waverley and Haymarket stations and lobbied on behalf of the Equalities forum.<br><br>Development of RTPI. |

| | | |
|---|---|---|
| Improved public transport affordability | RTS Policy 6 – SEStran will support intervention or seek to intervene where affordability is recognised by the Partnership as a barrier to the use of public transport. | SEStran have worked with One-Ticket Ltd to deliver an integrated multi-modal ticket to provide cost savings to those using public transport regularly. |
| Improved public transport accessibility for deprived and rural communities | RTS Policy 18 – SEStran will seek to ensure that communities with poor access to employment by PT and low car ownership / high deprivation will be the subject of targeted measures to address this. | Following a change to RTP funding this no longer became a deliverable outcome. |
| Improved accessibility for those with no access to a car | RTS Policy 19 – Where improvements in accessibility are found to be require, the RTS will seek, in the first instance, to deliver these by enhancing conditions for pedestrians, cyclists and public transport users | SEStran have been involved in projects such as SocialCar and Liftshare which seek to promote and increase usage of car-pooling as a mode of transport. Further, SEStran have commissioned several cycling studies, seeking to improve active travel opportunities. |
| Equal opportunities audit of all interventions | RTS Policy 25 – All interventions will be subject to an equal opportunities audit to ensure that they promote equal opportunities in accordance with the law. | An Equality Impact Assessment is required for all projects. |

| | | |
|---|---|---|
| Improved access to PT for those with mobility problems. | RTS Policy 26 – SEStran will seek to ensure that people who have difficulties in using conventional public transport due to disability will be the subject of targeted measures to address this. | SEStran developed the Thistle Card to assist elderly and disabled people in using public transport. This has been very successful. |
| Improved access to health facilities by PT. | RTS Policy 27 – SEStran and its constituent authorities will work in partnership with Health Boards and the Scottish Ambulance Service to improve access to health services and to reduce congestion caused by travel to these services. | Facilitated the Access to Healthcare forum. |
| Facilitation of independent travel by children. | RTS Policy 34 - There will be a presumption in favour of schemes that lead to greater physical activity, and that facilitate independent travel especially by children. | SEStran commissioned Young Scot to carry out a study with young people to discuss the barriers they face when using active travel and to come up with solutions to overcome these barriers. |
| Enhanced security particularly for women who are discouraged from using public transport by personal security concerns. | RTS Policy 35 – There will be a presumption in favour of schemes that enhance personal security, especially for pedestrians, cyclists, and public transport users. | Provided funding for lighting on cycle paths to increase safety. SEStran have developed the real time passenger information scheme with a Bustracker app which allows passengers to plan when to leave home/a safe place to get to the bus stop reducing the time needed to wait alone. |

| | | |
|---|---|---|
| Quality audit of all interventions to ensure needs of all aspects of the community are addressed. | RTS Policy 40 – All projects and interventions will be subject to a quality audit to ensure they maximise opportunities to meet all RTS objectives. | This outcome was not developed. |
| Ensure equalities issues are considered in project justification/ prioritisation | Include equalities section in project prioritisation/justification pro forma. | Following a change to RTP funding this no longer became a deliverable outcome. If SEStran had the funding to initiate our own projects we would ensure that equalities issues were embedded in project justification. |
| Ensure equalities progress is reported to the board annually | Included in annual progress report on equalities | Equalities Progress is reported annually through the RTS Monitoring report. |
| Ensure equalities issues are integral to our future planning | Include section on equalities in the annual business plan | Equalities issues have been included in the annual business plan. |
| SEStran's communications encourage equalities | Audit SEStran publications to ensure equal access by all | SEStran communications are openly available for all, in a range of formats and languages. |
| Promote access to SEStran for all sectors of the community | Participate in events designed to promote equal opportunities | Officers have participated at various events such as Edinburgh Mela, SATA events and at rural events such as the Tweedlove Cycling Festival. |
| Ensure that in SEStran communications to all aspects of society are treated equally | Audit SEStran publications to ensure that the image portrayed gives equal emphasis to men and women, includes images of ethnic minorities and includes images of people with disabilities | New website is in development and will be audited to ensure that a diverse range of media is presented. |

**SESTRAN EQUALITY OUTCOME 1**

**An Equitable, Diverse and Representative Organisation**

SEStran is committed to creating a culture in which diversity and equality of opportunity are promoted actively, discrimination is eliminated and good relations are fostered amongst all staff, members and stakeholders.

SEStran seeks to increase the diversity in the nature of its members who they represent and the workforce of the organisation. We recognise that we need to evaluate both the current monitoring of the diversity of our workforce and governance, and are committed to activity and plans to achieve these outcomes over the next 4 years. Currently, we don't have up-to-date and ongoing staff monitoring data processes and it is proposed to address these as part of a wider staff and board survey.

- **Women represent XX% percentage of the SEStran workforce compared to 52% of the population,**
- **how many in the most senior grades of the organisation (%) – gender pay gap**
- **how many of our staff our disabled compared to 20% of the Scottish population**
- **Gender balance on the Board is:**

SEStran's commitment to improving the diversity of our workforce is constrained by the wider public sector financial situation at present, which means increasing diversity solely through recruitment will be limited and we are also constrained by the current legislative context at time of issuing these outcomes around governance diversity. However, we will seek to take all possible steps to enhance opportunities within the current policy and parliamentary legislation context over the next 4 years. SEStran has committed to undertake positive action with Equate Scotland over the summer of 2017 to address the wider under-representations in gender terms with the Science, Technology, Engineering and Mathematics (STEM) sector but also recognises our wider public duties to the wider workforce of Scotland.

This will build on the existing commitment made by the SEStran Partnership board in Summer 2016 to set up a Board Diversity Working Group to address issues of under-representation as far as possible, committing to producing a Board Diversity Succession Plan. While SEStran will seek to influence the advancement of equality of representation on our Board, there is a legislative recognition that over two-thirds of our Board are elected members appointed by constituent councils. Therefore this will depend to a large extent on the diversity of members appointed by constituent councils and the impacts of the proposed Gender Balance Bill for Parliament in 2016/17 on the requirement for public bodies such as SEStran to seek to improve the diversity of its Board through the appointment of non-councillor members by April 2018.

| Equality Outcome | An Equitable, Diverse and Representative Organisation |
|---|---|
|  |  |

| Activity/Plans | Employee information should be collected with an 80% response rate across all characteristics by 2019 and 100% response rate by 2021.

Undertake awareness raising of SEStran as an employer and use positive action as appropriate to address underrepresentation within certain areas.

Develop a plan for moving towards a more representative workforce and Board by 2021.

Seek to influence primary legislation and regulations on Board governance by 2018.

Work with our stakeholders to ensure that a wide range of applicants are encouraged to apply for non-councillor member appointments using a variety of mechanisms, including application support and other positive action initiatives.

Monitor and review our promotion, training and progression opportunities to ensure they are fair and transparent for workforce and board members.

Work with staff networks to ensure that staff are able to work in a supportive and inclusive environment where they feel safe and respected through the delivery of relevant policies and procedures. |
|---|---|
| Measuring Progress | Employee data, disaggregated by protected characteristic.

Annual employee survey responses provided by staff across protected characteristics on an annual basis.

Regular survey of diversity of Board members in line with 2016 Equality Act regulations.

Calculate a non-statutory analysis of SEStran's gender pay gap

Qualitative feedback mechanisms on staff experience and training and development policy monitoring. |
| Public Sector Equality Duty | Eliminate discrimination
Advance Equality of Opportunity
Foster good relations |
| Protected Characteristics | Age
Disability
Gender Reassignment
Race |

| | Religion or Belief |
| --- | --- |
| | Sex |
| | Sexual Orientation |
| | Marriage & Civil Partnership |
| | Pregnancy & Maternity |

## SESTRAN EQUALITY OUTCOME 2

### A Safe, Accessible and Equitable Regional Transport Network

SEStran is committed to producing and delivering a strategy that seeks to make transport easier to use for all by promoting measures to further improve the safety, accessibility and equity of the transport network across the South-East of Scotland.

The journeys which take place across the transport network within the region, start in the planning/decision stage of an individual citizen or business choosing which method of transport to utilise for their travel. These types of journeys should be fully accessible to all, and particularly those who share a protected characteristic. There is evidence that shows that issues such as lack of support, comfort and safety when travelling or lack of availability of suitable forms of transport may mean that some users with protected characteristics are unable to make these journeys.

A contributing factor to this is that transport users can sometimes be unaware of the level of accessible travel information provided or where to find it.

In 2011, SEStran launched the Thistle Assistance Card to make it easier for older and disabled people to use public transport. The initial idea was raised by the SEStran Equality Forum following the demise of the nationally funded assistance card by Enable Scotland.  Forum Members believed that the card was essential for helping people with all types of disability to access and use public transport.  Since its launch SEStran has distributed around 45,000 cards and the design has been adopted by other Regional Transport Partnerships making it a nationally recognised card.

Safety and security can also be a concern for young and older people, women and certain BAME people, more so than other groups. There can be a fear of crime particularly when travelling alone on certain modes/routes of transport, particularly in terms of antisocial behaviour or sexual harassment of women on public transport and/or hate crime towards other groups. This can affect the frequency of travel for these groups and curtail their mobility. There is also the difference in road safety outcomes especially for children/young people or older people in terms of greater likelihood for negative outcomes in road use. There are a number of protected characteristics shared by those who experience or are most vulnerable to serious incidents on roads.

| Equality Outcome | Safe, Accessible and Equitable Regional Transport Network |
| --- | --- |
| | |

| | |
|---|---|
| Activity/Plans | Continue to roll out Real Time Passenger Information system to increase users confidence of using the bus at certain times.<br><br>Undertake a full Equality Impact Assessment for the renewal of the Regional Transport Strategy during 2017-2021<br><br>Undertake awareness raising of the various accessible services and information available within the SEStran area, continue to work with partners around the further development of the Thistle Card scheme.<br><br>Continue and extend engagement to groups with or representing groups who have/share a protected characteristic.<br><br>Seek to influence national strategy and policy of key partners on the issue of safety, accessibility ad equity for all users of transport during 2017-2021.<br><br>Work with our stakeholders to ensure that equality advances through the work of a range of partners within the SEStran area and act as an advocate for equality issues across all transport modes.<br><br>Monitor and review existing equality actions to see if further advances promoting opportunity can be undertaken through further developments of existing projects. |
| Measuring Progress | Conduct passenger surveys on bus networks to analyse perceptions of accessibility, safety and security.<br><br>Qualitative feedback from protected characteristics groups via the SESTRAN Equality Forum.<br><br>User satisfaction surveys and general feedback on the delivery of projects such as the Thistle Card and App. |
| Public Sector Equality Duty | Eliminate discrimination<br>Advance Equality of Opportunity<br>Foster good relations |
| Protected Characteristics | Age<br>Disability<br>Gender Reassignment<br>Race<br>Religion or Belief<br>Sex |

| | Sexual Orientation<br>Marriage and Civil Partnership<br>Pregnancy and Maternity |
| --- | --- |

**SEStran Board Diversity Succession Plan**

## INTRODUCTION

Under the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2016 listed public bodies are required to produce a Board Diversity Succession Plan in April 2017. This document aims to outline the current make-up of the SEStran Partnership Board and to outline ways in which SEStran will commit to making progress on improving the diversity of our Board. SEStran recognises that increasing diversity on the Board will encourage new and innovative thinking and maximise use of talent, leading to better decision making and governance.

The Scottish Government and a number of other parties at the Scottish Parliament have a commitment to greater diversity and equality of representation on public boards. The 2015 "On Board" guidance issued to Board Members of Public Bodies in Scotland recognises this commitment to redressing the current imbalance of representation with gender parity outlined as a particular area of focus. The guidance outlines that Public Boards themselves should give consideration to establishing a committee to consider matters such as planning for succession and Board performance as this should lead to more diversity at Board level. The guidance outlines a clear aim of 50:50 gender balance by 2020.

The "On Board" publication outlines an expectation that all public bodies will champion diversity and mainstream equal opportunities in their work. Public Boards are also challenged to give specific consideration to the impact on equality of opportunity when developing policies and making decisions. Having greater diversity of representation on the Board when making decisions is one clear mechanism for driving greater value in this regard and there is a growing level of evidence that "groupthink" or having a non-diverse Board can be a risk to an organisation and that having a more diverse Board can lead to more nuanced discussions and more informed decisions.

It is recognised by Scottish Government that a Board made up of people who are "visibly diverse" will not necessarily be immune to "Groupthink". Visible diversity is simply an indicator but no guarantee that the Board's members have the diversity of skills, knowledge, experience and perspectives needed to make it effective. However, the Scottish Government acknowledge that there is currently an insufficient visible and invisible diversity on the Board's of Scotland's public bodies, which can be evidenced in relation to factors ranging from gender to black and minority ethnic (BME) status, employment sectors and income.

**BOARD MAKEUP**

SEStran has 20 Board members drawn from constituent local authorities and 9 non-Councillor members. The number of Councillor Members has been allocated on the basis of relative population within the partnership area. Non-Councillor Members are appointed to the Board based on Scottish Government guidance on membership for RTPs which states that the following principles should govern the selection and appointment of members, albeit the Gender Balance on Public Boards may alter these requirements:

- Transparency
- Appointment on merit
- Achieving a balance among the Non-Councillor membership

The current diversity of the Partnership Board has been surveyed by Scottish Government and data will be relayed back to SEStran on a confidential basis in December 2016. SEStran will publish the current Gender Balance of the Partnership Board.

**COUNCILLOR MEMBERS**

As stated above, the majority of the SEStran Partnership Board is made up of Councillor Members from constituent local authorities. They are appointed solely by local authorities, a process over which SEStran has no input. To address this, the SEStran Chair will write to the constituent local authorities ahead of the May 2017 elections to advise them of the Board's diversity in 2016/17 and ask them to assist SEStran in achieving our objectives of improving the Partnership Board diversity.

**NON-COUNCILLOR MEMBERS**

The current term for SEStran Non-Councillor Members finishes in April 2018. Under the Regional Transport Partnership (RTP) guidance for membership, produced by the Scottish Government, RTP's appoint their own Non-Councillor Members. SEStran aim to produce a gender balance for non-executive appointments on the Board, in line with the final requirements of Scottish Government Gender Balance on Public Boards Bill, and will consult with a range of equalities organisations to ensure that the application process is not exclusionary. SEStran will aim to publicise Non-Councillor Board vacancies through a wide range of sources including equality organisations and social media to encourage a wide range of good candidates with a diverse range of skills and experience. The RTP membership guidance states that non-councillor members should bring a range of benefits to the work of the RTP such as:

- Experience and knowledge from working at board/strategic level in business, the public sector and the voluntary sector
- Regional rather than local perspective
- Political and media awareness
- Transport knowledge

- Financial awareness
- Communication skills

Further, the guidance states that "lay members" will bring a different perspective to the Board.

**OBSERVERS**

The RTP guidance on membership states that RTP's can appoint observers, who as advisers can make a valuable contribution. This provision would allow SEStran to involve people on the Board who were not appointed as Non-Councillor Members but who would have useful input to make. The SEStran Board agreed in September 2016 to appoint 4-5 observers to the Board. These observers would not have a vote on the Board and would not be expected to participate in all discussions or all meetings. Officers have progressed this and will now appoint Observers from Changing the Chemistry and the SEStran Equalities Forum.

SEStran anticipate appointing these observers in early 2017. The aim of this is to provide wider opportunities to suitable representatives to gain experience of attending meetings with the intention that they are able to then go on and gain a seat on a Board. The appointment of observers will also benefit the work of the SEStran Partnership Board by engaging with those who may have new ideas and who may bring an alternative viewpoint to the Board. SEStran will work with a range of equality organisations to publicise and appoint these observers.

**CONCLUSION**

SEStran therefore aim to work towards a more diverse Board through the following actions:

- Communicate with constituent local authorities to encourage them to appoint a greater diversity of Board members
- Appoint a diverse range of Non-Councillor Board members in 2018
- Continue to offer Board Observer opportunities in partnership with Groups who represent those with Protected Characteristics such as Changing the Chemistry.

**SEStran Equality Outcomes 2017 – 2021 – Draft Evidence**

The 2011 census showed that Scotland has an estimated population of 5,295,403 people, the highest ever population with a rise of 4.6% since 2001[1]. The SEStran region comprises the local authority areas of City of Edinburgh, Fife, Falkirk, Clackmannanshire, Scottish Borders, East Lothian, Midlothian and West Lothian. The total estimated population of the SEStran area is 1,521,148 people. While the population of Scotland is projected to grow further[2], and both East Lothian and City of Edinburgh have been subject to large population increases from 2005 – 2015, by 11.1% and 11% respectively[3].

**Age**

While the population of Scotland is growing, it is also an aging population with an increase of 17% in the number of people aged 75 and over and 18% in the 60-74 age group[4]. In the SEStran area 16.1% of the population is aged 65 years and older, 66.6% is aged between 16 – 64 years old and 17.3% is under 16 years old.

The Scottish Health Survey published most recently in 2015, shows that as people age they are less likely to describe their health as "very good" or "good"[5]. A number of health problems have been identified that may affect elderly people's ability to use varying transport options, which could also come under the disability protected characteristic such as:

- Limited mobility
- Visual impairments
- Hearing conditions

**Disability**

Within the SEStran area, 29.3% of the population is affected by a long term health condition or disability which impacts on their daily activities. The Scottish Government has collated data that states that adults with a disability or long-term illness were more likely to use a local bus service than those with no disability or long-term illness. In 2015, 50.4% of adults who had a long term health condition or disability had used a bus service in the previous month compared to 43.9% of adults who had no long term health condition or disability[6].

- 1.6 per cent of the adult population have a long-standing illness, health problem or disability that meant they find using a car difficult to manage on their own.

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[1] http://www.scotlandscensus.gov.uk/ods-web/area.html
[2] http://www.nrscotland.gov.uk/files/statistics/high-level-summary/j11198/j1119804.htm
[3] http://www.nrscotland.gov.uk/files/statistics/high-level-summary/j11198/j1119803.htm
[4] http://www.nrscotland.gov.uk/files/statistics/high-level-summary/j11198/j1119802.htm
[5] http://www.gov.scot/Topics/Statistics/Browse/Health/scottish-health-survey
[6] http://www.gov.scot/Topics/People/Equality/Equalities/TransportTravel

- 4.7 per cent of the adult population had a long-standing illness, health problem or disability that meant they find using a bus difficult to manage on their own.
- 3.6 per cent of the adult population had a long-standing illness, health problem or disability that meant they find using a train difficult to manage on their own[7].

The bus industry has in recent years become far more accessible with 94% of buses being accessible or having a low floor in 2014/15, up from 33% in 2004/5.

**Race**

The proportion of black and ethnic minority people living in the SEStran area is 4.02%, with a higher proportion in the City of Edinburgh of 8.3%. Indian, Pakistani and Chinese households were most likely to have access to a car. African households were least likely to have access to a car. At the time of the 2011 census, three quarters of households in Scotland had access to a car or van. The proportion was over 80% for Pakistani and White: Other British households and lowest (47%) for African households. Pakistani households were most likely to have access to three or more cars; 20% of Pakistani households had three or more cars, compared to a Scottish average of 9%.

**Religion or Belief**

In the 2011 census, 56.3% of the Scottish population reported currently having a religion. 36.7% of the Scottish population reported having no religion. Within the SEStran area 49.9% of people reported having a religion and 43.2% reported having no religion. Sikhs had the highest car access with the majority (52%) having access to two or more cars or vans. Hindus had the lowest car access, with over two fifths (42%) living in households with no access to a car or van.

**Sex**

In 2011 the gender balance across Scotland was recorded as 51.5% female and 48.5% male. The gender balance across the SEStran area was broadly the same.

As stated in the Transport and Travel in Scotland study 2015, women are more likely to use public transport than men, 49% of women had used the bus in the last month compared to only 42% of men. 13% of women used the bus everyday compared to 11% of men. 8% of men and 31% of women had used the train within the past month.

**Sexual Orientation**

The Scottish Household Survey introduced a question on sexual orientation in 2011 as one of their core questions. In 2015 98.1% of respondents identified themselves as heterosexual, 0.8% as gay/lesbian, 0.2% as bisexual and 0.2% as other[8].

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[7] Transport Scotland, Transport & Travel in Scotland 2011
[8] http://www.gov.scot/Resource/0050/00506173.pdf

**Gender Reassignment**

There is currently no formal monitoring to collect information on gender identity through the census or Scottish Household Survey. Officers are to carry out more research and engage with groups such as Stonewall Scotland and the Scottish Transgender Alliance.

**Pregnancy & Maternity**

There is limited available quantitative evidence on use of transport with regard to those on maternity leave, or those caring for children. Within the SEStran area, Lothian Buses are a major provider of bus travel. As of December 2011 buses with buggy space make up around 40% of the Lothian Bus fleet[9].

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[9] https://lothianbuses.co.uk/assets/files/Accessibility_Review.pdf

# Equality Outcomes and the Public Sector Equality Duty:

## Participation Statement

### Introduction

Under the Equality Act 2010 and the Equality Act 2012 (Scotland) Specific Duties, SEStran has a duty to publish a set of Equalities Outcomes covering the period April 2017- March 2021, which it considers will enable it to better perform the equality duty.

### The General Equality Duty

The general equality duty requires public authorities, in the exercise of their functions, to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010
- Advance equality of opportunity between people who share a relevant protected characteristic and those who do not
- Foster good relations between people who share a protected characteristic and those who do not

### The Equality Act 2012 (Scotland) Specific Duties

The specific duties are designed to help public authorities in their performance of the general duty:

- To publish a set of equalities outcomes which it considers will enable the authority to better perform the equality duty.  It must publish a fresh set of equality outcomes within four years of publishing its previous set.
- In preparing this set of equalities outcomes, the authority must take reasonable steps to involve people who share a relevant protected characteristic and any person which appears to the authority to represent the interests of those people.
- The authority must consider relevant evidence relating to people who share a relevant characteristic.
- If an authority's set of outcomes does not seek to further the needs of the general equality duty in relation to every relevant protected characteristic, it must publish its reasons for proceeding in this way.
- An authority must publish a report on the progress made to achieve its equality outcomes every two years.

### Participation Commitment

SEStran are committed to engaging with individuals and groups with protected characteristics to enable us to develop a set of Equalities Outcomes which are fit for purpose and further the elimination of discrimination, advance equality of opportunity or foster good relations. To achieve this we will undertake the following:

*October 2016 – SEStran Equalities Forum*

Invite current members, and also extend invites to a wider range of persons or groups with protected characteristics to:

- Participate in reviewing the current set of equalities outcomes in terms of progress and relevance and recommend which outcomes should be continued to March 2017.
- Provide input into drafting a new set of outcomes for the period April 2017 – March 2021.
- Provide opportunity for those invited but unable to attend the Forum to put their views forward.

*December 2016 – SEStran Partnership Board*
Seek approval from the SEStran Partnership Board to engage in a 4-6 week consultation on the draft set of new equalities outcomes.

*December 2016 – Mid-January 2017 – Equalities Outcomes Consultation*
We will undertake a consultation exercise which will be sent to all equalities groups within the SEStran region.  We will also ask our 8 partner authorities to promote the initiative within their council areas.  We may host or attend an event as part of the exercise, if appropriate.

*January – Early February 2017 – Consideration of Consultation Responses*
We will consider the consultation responses and draft a set of outcomes based on the findings.

*Early – Mid-February 2017 – Equalities Forum*
Publish the Consultation Report and air actions to seek to address comments.

*March 2017 – SEStran Partnership Board*
Seek approval from the SEStran Partnership Board to implement the set of Equalities Outcomes for the period April 2017 – March 2021.

*March 2017 – Publication*
Publish the Equalities Outcomes for 2017-2021.

**Further information**

Further information can be obtained by contacting:

**George Eckton**, Partnership Director   **Angela Chambers**, Business Manager
Email: George.eckton@sestran.gov.uk   Email: angela.chambers@sestran.gov.uk
Tel: 0131 524 5512   Tel: 0131 524 5154

Address: SEStran, Area 3D (Bridge), Victoria Quay, Edinburgh, EH6 6QQ

**Links**

*Link to Equality and Human Rights Guidance*
https://www.equalityhumanrights.com/sites/default/files/2._equality_outcomes_-_formatted.pdf

*Link to SEStran Equalities Outcomes 2015*
http://www.sestran.gov.uk/uploads/draft_equalities_outcome_report_update_ac_jan_2015_a8_appendix_4_(2).doc
*Link to SEStran Website and papers*
*www.sestran.gov.uk*

**Records Management**

## 1. INTRODUCTION

1.1 The purpose of this report is to present to the Committee, SEStran's Records Management Framework, which will be subject to assessment by The Keeper of the Records of Scotland.

1.2 SEStran are required to submit their Records Management Plan to the Keeper by 31st January 2017. This date was mutually agreed by both parties.

## 2. BACKGROUND

2.1 SEStran is required under the terms of Section 1 of the Public Records (Scotland) Act 2011 to produce a Records Management Plan, setting out proper arrangements for the management of its records and to submit this to The Keeper of the Records for approval.

## 3. RECORDS MANAGEMENT FRAMEWORK DOCUMENTS

3.1 Records management is the corporate and professional function of managing records to meet the needs of the organisation, promote efficiency and provide legal and financial accountability.

3.2 The records management framework consists of the following policy and guidance documents:
- Records Management Plan
- Information Security Policy
- Records Management Policy
- Records Management Guidance

## 4. RECORDS MANAGEMENT PLAN (RMP)

4.1 Effective records management brings substantial benefits to the organisation, which results in greater efficiency and improvements in the use of information and resources.

4.2 SEStran's RMP is based on the principles of The Keeper of the Records Model Plan and sets out the arrangements for the management of its records.

4.3 The scope of the RMP applies to all records, irrespective of the technology used to create and store them or the type of information that they contain.

4.4 In preparing the RMP, it was identified that further work is required to be undertaken to develop a framework for Element 4 - Business Classification, and will coincide with the approved programme of IT upgrades. This will enable a new classification hierarchy to be created on

the server, in line with National Records guidelines.

4.5 Similarly a framework for Element 5 – Retention Schedules will also be developed. This framework will set out the period of time that records are retained and a pre-determined date of destruction.

4.6 A number of protocols and templates are being drafted, to support the development process outlined in 4.3 and 4.4, which will allow for continuous improvement, and will be finalised for inclusion in the submission of the RMP to The Keeper of the Records.

## 5. INFORMATION SECURITY POLICY

5.1 The purpose of this policy is to provide a set of rules, measures and procedures that ensure that SEStran and all the information that it holds, is adequately protected against threats to confidentiality, integrity and availability.

5.2 The scope of this policy applies to all SEStran employees, contractors, visitors and anyone not employed by the organisation but who has access to SEStran information and covers all locations from which SEStran systems are accessed, including home use.

5.3 This policy will serve as a pillar and guideline for the development of any associated policies, procedures and standards.

## 6. RECORDS MANAGEMENT POLICY

6.1 This policy follows on from SEStran's Information Security Policy and its purpose is to ensure the creation and maintenance of authentic, reliable and useable records within the organisation. It will underpin the effective management of the Partnership's records and information and is an essential element of the RMP.

6.2 The scope of this policy applies to all records created in all formats and is binding on all those who create or use SEStran records.

## 7. RECORDS MANAGEMENT GUIDANCE

7.1 This guidance document provides context and further information to support the implementation of SEStran's Records Management Policy within the organisation.

7.2 This document will serve as a key component of records management training and will be included as part of the SEStran employee induction programme.

## 8. CONCLUSION

8.1 Approval of the Records Management Framework will help ensure that SEStran complies with its legal obligations under the Public Records (Scotland) Act 2011.

## 9.    RECOMMENDATIONS

9.1    The Committee are asked to scrutinise the Records Management Framework;

9.2    Agree that the Records Management framework documents will be presented to the Board for approval;

9.3    Note that further work will be undertaken to develop a Business Classification scheme and Retention schedule in parallel with the IT upgrades and the Business Manager will seek a mandate from the Board to implement a range of supporting continuous improvement procedures;

9.4    Note that the Records Management Plan will be submitted to The Keeper of the Records by the 31st January 2017 for approval;

9.5    Note that The Keeper of the Records Assessment Report will be tabled to a future meeting of the Performance and Audit Committee.

Angela Chambers
**Business Manager**
November 2016

**Appendices**:        1. SEStran Records Management Plan
                       2. SEStran Information Security Policy
                       3. SEStran Records Management Policy
                       4. SEStran Records Management Guidance

| | |
|---|---|
| Policy Implications | As outlined above. |
| Financial Implications | None |
| Race Equalities Implications | None |
| Gender Equalities Implications | None |
| Disability Equalities Implications | None |
| Climate Change Implications | None |

**South East of Scotland Transport Partnership (SEStran)**

# Records Management Plan

**Setting out the Partnership's arrangements for the management of SEStran's public records under Section 1 of The Public Records (Scotland) Act 2011**

**Document Version Control**

| Records Management Plan | Name(s) & Designation(s) | Date | Version |
|---|---|---|---|
| Author: | | | |
| Owner: | | | |
| Approved by: | | | |
| Reviewer/Update: | | | |

Changes to the document (e.g. as part of annual review or following a change to elements) should be approved by the Performance & Audit Committee.

# Contents

# Introduction

SEStran is required in terms of Section 1 of the Public Records (Scotland) Act 2011 to produce a Records Management Plan setting out proper arrangements for the management of its public records and to submit this to the Keeper of the Records of Scotland for approval.

Records Management is the systematic control of an organisation's records (in this document a "record" means anything in which information is recorded in any form including, for example, paper and electronic reports, emails, photographs, etc.) throughout their lifecycle in order to meet operational business needs, statutory and fiscal requirements, and community expectation. It allows fast, accurate and reliable access to records, whilst ensuring the timely destruction of redundant information and the identification and protection of vital and historically important records.

SEStran believes that effective records management will bring substantial benefits, which will result in greater business efficiency and considerable improvements in the use of information as well as financial, human and other resources within the organisation.

The scope of the plan applies to all records irrespective of the technology used to create and store them or the type of information they contain.

# Records Management Plan

SEStran's Records Management Plan is based on the Keeper of the Records of Scotland's published Model Records Plan and comprises the following 14 elements:-

1. Senior Management Responsibility

2. Records Manager Responsibility

3. Records Management Policy Statement

4. Business Classification

5. Retention Schedules

6. Destruction Arrangements

7. Archiving and Transfer Arrangements

8. Information Security

9. Data Protection

10. Business Continuity and Vital Records

11. Audit Trail

12. Competency Framework for Records Management Staff

13. Assessment and Review

14. Shared Information

| Element 1: | Senior Management Responsibility |
| --- | --- |

Identify an individual at senior level who has overall strategic responsibility for records management

14.1    The Senior Officer within SEStran with overall strategic responsibility for records management is:

George Eckton
Partnership Director
SEStran
Area 3D (Bridge)
Victoria Quay
Edinburgh
EH6 6QQ

Tel: 0131 524 5152

14.2    The Partnership Director fully endorses this plan and will ensure the required improvements to records management procedures are implemented corporately and monitored by the designated officers through the assessment and review process.

**Evidence:**

1.    Covering letter from the Partnership Director of SEStran.

2.    Records Management Policy.

**Future Development:**

There are no planned future developments for Element 1. However, if there is a change to the Senior Responsible Officer, this element would require review.

| Element 2: | Records Manager Responsibility |
|---|---|

Identify an individual within SEStran, answerable to senior management, to have day-to- day operational responsibility for records management within SEStran

2.1     The individual answerable to Senior Management within SEStran and who has operational responsibility for records management is:

>       Angela Chambers
>       Business Manager
>       SEStran
>       Area 3D (Bridge)
>       Victoria Quay
>       Edinburgh
>       EH6 6QQ
>
>       Tel: 0131 524 5154
>       Email: angela.chambers@sestran.gov.uk

**Evidence:**

1.     Covering letter from the Partnership Director of SEStran.

2.     Records Management Policy.

3.     Extract from the Business Manager's Job Description.

4.     Business Manger - Certificates of Training for attending Public Records (Scotland) Act 2011 Training

**Future Development:**

There are no planned future developments for Element 2.  However, if there were to be changes to these designations, this element would require review.

| Element 3: | Records Management Policy Statement |
| --- | --- |

The records management policy statement underpins the effective management of SEStran's records and information. It demonstrates to employees and stakeholders that managing records is important to SEStran and serves as a mandate for the activities of the Manager

3.1    SEStran's Records Management Policy is available on both its staff drive and internet site.

**Evidence:**

1.    Records Management Policy and Guidance.

2.    Information Security Policy.

**Future Development:**

There are no planned future developments for Element 3.  However, if there were to be changes to these designations, this element would require review.

| Element 4: | Business Classification |
|---|---|
| A business classification scheme describes what business activities the organisation undertakes – whether alone or in partnership | |

4.1     SEStran's Business Classification Scheme is based on departmental filing hierarchies and records are categorised by the functional units of the organisation. Separate retention schedules have been developed.

**Evidence:**

1.      Organisational business classification hierarchy.

2.      SEStran Full File Index.

3.      Records & IT Management Report to Partnership Board 23 September 2016

**Future Development:**

SEStran are making arrangements to upgrade the IT provision within the organisation and intend to develop a new electronic filing structure that will be based on core functions. Electronic and Paper Records Management and retention schedule arrangements are subject to review.

| Element 5: | Retention Schedules |
| --- | --- |

A retention schedule is a list of records for which pre-determined destruction dates have been established.

5.1     SEStran has drawn up a retention schedule framework, in line with Partner Authorities and EU Project rules. The framework will apply to both electronic and paper records

**Evidence:**

1.      Retention Schedule Framework.

**Future Development:**

This is a new framework and will be reviewed in Dec 2017 and annually thereafter.

| Element 6: | Destruction Arrangements |
|---|---|

It is not always cost-effective or practical for an organisation to securely destroy records in-house. Many organisations engage a contractor to destroy records and ensure the process is supervised and documented

6.1 SEStran uses an on-site paper/cd shredder which ensures paper and optical media is destroyed to 4x35mm cross cut, security level P-4 and S3.

6.2 For some elements of its activities SEStran makes use of shared resources facilitated by the organisation's landlords, one of these is secure document shredding. Currently this service is provided by Shred It which disposes of material shredded in the office and also provides destruction service for bulk confidential paper records.

6.3 SEStran has an arrangement with its IT Contractor (Onestop IT) for the provision of secure IT Hardware destruction.

**Evidence:**

1. In house shredder specifications.

2. Details of Landlord's sensitive waste contract with Shred-It.

3. Certificate of Destruction from IT Contractor (Onestop IT)

**Future Development:**

There are no planned future developments for element 6.

| Element 7: | Archiving and Transfer Arrangements |
| --- | --- |

This is the mechanism by which an organisation transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions

7.1    SEStran and National Records Scotland have agreed a Memorandum of Understanding with National Records of Scotland to facilitate the transfer of enduring records to the national archive.

**Evidence:**

1.    Memorandum of Understanding between SEStran and the Keeper of the Records of Scotland.

**Future Development:**

There are no planned future developments for Element 7.

| Element 8: | Information Security |
| --- | --- |

Information security is the process by which an organisation protects its records and ensures they remain available. It also maintains privacy where appropriate and provides for the integrity of the records

8.1 SEStran's Information Security Policy is available on the staff server and internet site

**Evidence:**

1.    Information Security Policy.

**Future Development:**

The Information Security Policy will be subject to annual review by Senior Management, IT Contractor and the Performance & Audit Committee.

| Element 9: | Data Protection |
|---|---|

An organisation that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998

9.1   Under the Data Protection Act 1998 SEStran is a data controller and is registered as such with the Information Commissioner's office (ICO).

9.2   SEStran has a data protection policy in place as well as a detailed policy on information security.

9.3   Members of the public are made aware of their right to submit a subject access request through the Data Protection Policy published on the SEStran website.

**Evidence:**

1.   Data Protection Public Registration
     https://ico.org.uk/ESDWebPages/Entry/Z9382423 .

2.   Data Protection Policy.

3.   Information Security Policy.

**Future Development:**

There are no planned future developments for Element 9. However, this policy will be regularly reviewed to ensure it remains fit for purpose.

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| Element 10: | Business Continuity and Vital Records |
| --- | --- |

A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an organisation

10.1  SEStran has in place a business continuity plan in the event of any disaster. Reference to records management arrangements, in particular vital IT applications and systems, has been included in the plan.

**Evidence:**

1.  Information Security Policy.

2.  Business Continuity Plan.

**Future Development:**

Business Continuity Plan will be subject to review and testing to ensure it remains fit for purpose.

| Element 11:   Audit Trail |
| --- |
| An audit trail is a sequence of steps documenting the processing of a transaction flow through an organisation resulting from activities such as communications and requests by individuals, systems or other entities |

11.1    All documents and records are saved on a central server and by applying the business classification scheme and descriptive filenames electronic records can be quickly located in the central filing system.  All members of staff apply naming conventions to documents to assist in document and version control. Furthermore, all staff are instructed to save all documents to the central server to minimise risk of data loss but also facilitate document and record audit.

11.2    Paper records are referenced and maintained in the filing index and the status of each file is recorded.

**Evidence:**

1.    SEStran Full File Index

**Future Development:**

Audit processes will be subject to regular review and further protocols developed for electronic records when server is upgraded.

**Element 12:   Competency Framework for Records Management Staff**

A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance

12.1   SEStran will provide appropriate training and development support to ensure all staff are aware of their records management responsibilities.

**Evidence:**

1.   Details of training/courses attended by designated officers.

2.   Extract from Business Manager Job Description.

3.   Records Management Policy.

**Future Development:**

All staff responsible for operational records management will be afforded the opportunity to attend any relevant courses, seminars or conferences as and when required.

| Element 13: | Assessment and Review |
| --- | --- |

Regular assessment and review of records management systems will give an organisation a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper

13.1    The Partnership Director and Business Manager will formally review SEStran's Record Management Plan annually (commencing Nov 2017) and report to the Performance &Audit Committee.

**Evidence:**

1.      Performance & Audit Committee meetings.

**Future Development:**

Assessment and review of the Records Management Plan will be reported to the Performance & Audit Committee (and, where appropriate, the Partnership).

| Element 14: | Shared Information |
|---|---|

Under certain conditions information given in confidence may be shared. Most commonly this relates to personal information but it can also happen with confidential corporate records

14.1    SEStran information is shared with third parties on a limited and managed basis in line with legislation and SEStran policy. Any information received from partner organisations is subject to strict access controls.

**Evidence:**

1.    Data Protection Policy.

2.    Records Management Policy

3.    Information Security Policy

**Future Development:**

There are no planned future developments for Element 14. However, this policy will be regularly reviewed to ensure it remains fit for purpose.

| | |
|---|---|
| **Element 1** | Covering letter from the Partnership Director of SEStran |
| | Records Management Policy |
| **Element 2** | Covering letter from the Partnership Director of SEStran |
| | Records Management Policy |
| | Extracts from the Business Manager Job  Description |
| | Certificates of Training |
| **Element 3** | Records Management Policy and Guidance (reviewed April 2016) |
| | Information Security Policy |
| **Element 4** | Overview of the organisational business classification hierarchy |
| | SEStran Full File Index |
| | Records and IT Management Report to Partnership Board 23/09/16 |
| **Element 5** | Retention Schedule Framework |
| **Element 6** | In house shredder specifications |
| | Details of Landlord's Contract with Shred-it |
| | Certificate of destruction from IT Consultant (Onestop IT) |
| **Element 7** | Memorandum of Understanding between SEStran and the Keeper of the Records of Scotland |
| **Element 8** | IT and Information Security Policy |
| **Element 9** | Data Protection Public Registration |
| | Data Protection Policy |
| | Information Security Policy |
| **Element 10** | IT and Information Security Policy |
| | Business Continuity Plan |
| **Element 11** | SEStran Full File Index |
| **Element 12** | Details of training/courses attended by designated officers |
| | Extract of Business Manager Job Description |
| | Records Management Policy |
| **Element 13** | Performance & Audit Committee Meetings |
| **Element 14** | Data Protection Policy |
| | Records Management Policy |
| | Information Security Policy |

**South East of Scotland Transport Partnership**

**(SEStran)**

# Information Security Policy

**Dec 2016**

# INFORMATION SECURITY POLICY

## 1. Introduction

The objective of this policy is to ensure that SEStran and all its assets are adequately protected against threats to confidentiality, integrity and availability.

SEStran relies on information to fulfil its outcomes, goals and obligations. Information and the systems we hold and use represent an extremely valuable asset both to SEStran and potentially to others. The increasing reliance on information technology for the delivery of the services provided by SEStran make it necessary to ensure that these systems are developed, operated, used and maintained in a safe and secure fashion.

Threats to Information Security are becoming more widespread, ambitious and increasingly sophisticated. The consequences of the loss and misuse of confidential and sensitive information can not only be significant to the organisation but can be devastating to individuals. It is essential, therefore, that all information processing systems within SEStran, in whatever format, are protected to an adequate and effective level from disruption or loss of service or compromise whether through accidental or malicious damage.

It is necessary to have an Information Security Policy ('the Policy') to provide the guidelines and framework for ensuring that the confidentiality, security and integrity of information held by SEStran, its services and officers is maintained.

This policy should serve as a pillar and guideline for the development of the associated security policies, procedures and standards.

## 2. Scope

This policy applies to all employees of SEStran, contractors, visitors and anyone not employed by the organisation but engaged to work with or who have access to SEStran information, e.g. contractors or consultants who work through SEStran.

This policy applies to all locations from which SEStran systems are accessed (including home use).  Where there are links to enable other organisations to have access to SEStran information, they must confirm the security policies they operate meet our security requirements or the risk is understood and mitigated.  (With the exception of third party customers utilising SEStran systems.)

For the purpose of this policy, "Devices" shall mean all computers, laptops, telephone, smart phones, tablets and potable equipment.

## 3. Review and Audit

The SEStran Partnership Director is responsible for regular review of the policy in the light of changing circumstances. The review will occur annually or when there are significant changes. The Partnership Director has a responsibility to ensure that the policy is appropriate for the protection of SEStran's interests.

## 4. Content

Information is and should be considered as one of our most valuable assets. These assets should not be given away, stolen, modified without authorisation, or lost without trace or hope of recovery. Protecting our organisation from the threats against our assets is the responsibility of everybody.

Information can exist in various forms. It can be printed or written on paper, stored electronically, transmitted by post or using electronic means, or spoken in conversation. Whatever forms the information takes, or means by which it is shared or stored, it should always be appropriately protected.

We will define information security as the preservation of the following:

➢ Availability: Ensuring that quality information is available when needed.
➢ Confidentiality: Protecting business information from unauthorised disclosure.
➢ Integrity: Ensuring that business information can be relied upon by being protected from unauthorised alteration, faulty processing, destruction or loss.

Information security is achieved by managing and implementing a suitable set of controls. These controls may be implemented in the form of policies, procedures, organisational structure, and software or hardware functions. They ensure that every specific security objective SEStran defines as necessary is met, and ensure that the levels of confidentiality, integrity and availability achieved are acceptable under all circumstances.

The purpose of the Policy is to protect SEStran assets from all threats, whether internal or external, deliberate or accidental.

SEStran will ensure that:

➢ Information will be protected against unauthorised access
➢ Confidentiality of information will be assured
➢ Integrity of information will be maintained
➢ Access to information and other assets will only be given to those individuals whose duties require it and who have the necessary authority and security clearance
➢ Regulatory and legislative requirements will be met
➢ Information Security Training will be provided as part of Employee Induction
➢ All breaches of Information Security, actual or suspected, will be reported and investigated
➢ Standards will be produced to support the policy
➢ Business requirements for the availability of information and information systems will be met
➢ The policy and related procedures will be monitored and reviewed to ensure that they remain relevant and effective.
➢ All Managers are directly responsible for implementing the policy within their business areas, and for adherence by their staff
➢ It is the responsibility of each employee to adhere to the Information Security Policy

## 5. Legal Requirements

Some aspects of information security are governed by legislation; the most notable U.K. Acts are:

➢ The Data Protection Act (1998)
➢ Copyright, Designs and Patents Act (1988)
➢ Computer Misuse Act (1990)
➢ Regulation of Investigatory Powers Act (2000)
➢ Human Rights Act (2000)
➢ Equality Act (2010) (2012)
➢ Contracts Legislation
➢ Freedom of Information Act (2000)
➢ Local Government (Scotland) Act

## 6. Roles & Responsibilities

The objective of defining roles and responsibilities is to ensure that SEStran staff are aware of security risks and their responsibilities to minimise the threats.

SEStran's policy is to accept all reasonable obligations in respect of information security and to protect its information resources by implementing best practices that achieve an effective balance between cost and risk.

The Partnership Director is accountable for Information Security within SEStran.

Line managers, permanent and contract staff are all responsible for the day to day implementation of the Security policy.

## 7. Data Owner

Owners of data and information are expected to establish appropriate access controls for their data. Access to data should be limited to the appropriate set of people. Access is granted to employees when it is required for them to perform their jobs based on appropriate authorisation as defined by applicable policies and procedures. Access to certain data may be more restricted for legal and regulatory purposes.

Key responsibilities include:

➢ Data subject enquiry procedures as required by the Data Protection Act (1998).
➢ Preparing details of who can access what information, how and when, according to the particular classification of the information. Also refer to SEStran Publication Scheme
http://www.sestran.gov.uk/uploads/12_05_16_sestran_guide_to_information_available_through_our_publication_scheme_v2.pdf
➢ Ensuring the system is maintained in an effective and controlled manner.

## 8. Management Duties

It is the responsibility of managers to ensure the following, with respect to their staff:

➢ All current and future staff should be instructed in their security responsibilities.
➢ Staff using IT systems/media must be trained in their appropriate use.

- ➤ Staff must not be able to gain unauthorised access to any of SEStran systems or data.
- ➤ Managers should determine which individuals are given authority to access specific information systems.  The level of access to specific systems should be on a job function need, irrespective of status.
- ➤ All staff should be aware of the confidentiality clauses in their contract of employment.
- ➤ Managers must ensure that HR and IT Services are advised immediately about staff changes affecting computer access (e.g. job function changes leaving department or organisation) so that access and privileges may be modified as appropriate and in accordance with Induction/Leaving processes.
- ➤ Managers must ensure that all contractors undertaking work for SEStran have signed any relevant confidentiality and/or non-disclosure agreements.

Managers should ensure that all staff have access to and have read this Information Security Policy.

## 9. Staff Duties

It is the responsibility of each member of staff to ensure that they:

- ➤ Perform no actions which may result in a breach of Information Security.
- ➤ Report any breach, or suspected breach of security to their manager or directly to the Partnership Director.
- ➤ Obtain, read, understand and agree to the responsibilities within this Information Security Policy and its associated documents.
- ➤ Do not expose or give access to data to someone who would not otherwise be granted access to it.

## 10. Acceptable Use

All use of computer systems, mobile devices and assets within SEStran will comply with the acceptable use terms below.. For the purpose of this policy, "acceptable use" is defined as:

- ➤ Commercial activity for SEStran business
- ➤ Research, development and learning
- ➤ Personal educational development and learning
- ➤ Administration and management of SEStran business
- ➤ Development work and communication associated with the above
- ➤ Consultancy work contracted to SEStran
- ➤ Reasonable use of computer facilities for personal correspondence, where not connected with any commercial activity, is at present regarded as acceptable. Employees are reminded about Freedom of Information implications and right  to privacy.

All use of the facilities shall be lawful, honest and decent, and shall have regard to the rights and sensitivities of other people.

## 11. Inventory & Ownership

An inventory of all computer and equipment and software will be maintained. It is the responsibility of IT to detail each item of computer and telephone related equipment.

This information will be maintained in a centralised asset inventory system held by SEStran and IT Service Desk. All employees will be asked to sign the register for mobile devices.

An up to date register of all proprietary software will be maintained to ensure that SEStran is aware of its assets and that licence conditions are followed. This register will be maintained by IT Service Desk. The purchase of any software must be approved by the Partnership Director and must conform to the SEStran Procurement Policy.

## 12. Software Usage

SEStran provides staff with the applications they require to perform their duties. It is therefore unlikely that any additional or external software will need to be imported or downloaded by individual users. In order to protect the integrity of our IT resources, the following rules must be followed at all times:

➢ All software within the company must have, and can only be used in accordance with, the appropriate licence agreement.
➢ Staff must not introduce or knowingly or recklessly transmit or distribute any bug, virus or rogue code of any format.
➢ Staff must not copy, remove or transfer software to any third party or non-SEStran equipment without written authorisation from the Partnership Director
➢ Staff must not modify software in any way, unless through authorised change control procedures.
➢ Staff must not corrupt, or attempt to corrupt, any data held within SEStran's computer systems.
➢ Staff must not use any software that has not been logged with and authorised by IT Service Desk.
➢ Staff must not load or install any purchased, donated or downloaded (including shareware or free software) onto any SEStran workstation without written authorisation from IT.

The use of pirated or illegal software or media (including movies and music) is strictly forbidden.

## 13. Hardware Usage

SEStran provides staff with the information technology systems and equipment required to perform their duties. It is therefore unlikely that any additional or external hardware will need to be installed or connected by individual users. In order to protect the integrity of SEStran' IT resources, SEStran' employees and contractors must adhere to the following:

➢ Make no modifications to any computer equipment or install, or attempt to install, any additional piece of hardware into or connected to any device, without authorisation.
➢ Not connect or insert any form of storage medium to any device prior to obtaining recorded authorisation from IT technical support staff and attending IT to have the device virus checked on a stand-alone virus checker.
➢ Not tamper with or damage or do any act which may in any way affect the output or performance of any computer or telephone equipment.

- Not use SEStran computer equipment and systems (hardware or software) to send or knowingly receive any material which is offensive, abusive, indecent, obscene or menacing.
- Not connect to use, or allow to be used, any non-company equipment on the SEStran network or any other company device without authorisation. See laptop and remote access sections later in policy.
- Not physically relocate any company computer equipment within company offices. A request must be made to the Business Manager who will allow the move controlling any necessary connections and inventory changes and comply with any contractual arrangements with third parties.
- Not remove any equipment from any office or premises without specific or existing authorisation.
- Not use SEStran computer systems to operate a business, exploit business opportunities or solicit money for personal gain.
- Make every effort to ensure that all computer equipment is kept clean and fully functional, reporting any spillage, physical damage or event that may compromise the effective workings of any device.
- All unused or upgraded equipment including mobile telephones must be returned to the SEStran for re-use, sale or disposal.

All hardware is disposed of in a secure and environmentally friendly manner.

## 15. Telephony Usage

SEStran provides desk telephones for employees to aid their business function. Those using company desk phones must adhere to the following disciplines:

- Telephony services are provided for business use and personal calls, while permitted, should be kept to a minimum and be of a short duration.
- Telephony services should not be used for personal business reasons or personal gain.
- Telephony services should not be used to make abusive, threatening or menacing calls.
- A professional telephone manner should be used at all times.
- Take every reasonable precaution to protect equipment from damage, loss or theft. Such precautions should include not leaving portable devices or data unattended in an insecure place e.g. on the passenger seat of a car. Tracking function should be enabled on all mobile telephones.
- Immediately report any damage, loss or theft of equipment to the Business Manager
- Ensure that no unauthorised persons are allowed to use the device(s). Such use could allow access to company data.
- Ensure that all devices in this category are protected by a pin or password.
- Where a personal mobile device is used to access mail, this must be on the understanding that the device has a remote wipe, password protection and device encryption policy applied.
- Personal mobile phone usage on SEStran mobile telephones should be kept to a minimum during working hours and contained within call and data allowance.

## 16. E-Mail Usage

SEStran provides e-mail facilities to all staff to enable effective business communication. All email messages are virus scanned prior to being delivered to staff.

Users of the mail system should adhere to the following rules and guidelines:

### 16.1 Privacy

➢ Email is provided for the purpose of business correspondence and therefore employees should not expect privacy in anything they send, receive or store on SEStran' systems. FoI implications should also be considered.
➢ Access to mailboxes will be granted to management to read an employee's mail box where there is a legitimate reason to do so, for example, a person is absent and an important email is expected or to investigate suspected breaches of any organisational policy, rule or regulation.

### 16.2 Sensitive Information

➢ The sending of sensitive or copyrighted material, trade secrets or proprietary financial information without express written authority from the Partnership Director is strictly forbidden.

### 16.3 Legal

➢ The sending of any material that could be deemed abusive, threatening, defamatory, disparaging, libellous, criminal, pornographic or discriminatory is strictly forbidden. If unsure please refer to your manager for assistance. Please refer to SEStran Violence at Work Policy
http://www.sestran.gov.uk/uploads/SEStran_Violence_at_Work_Policy.pdf
➢ Legal advice is, generally speaking, privileged. As such SEStran would not be obliged to disclose emails containing legal advice in any court or regulatory proceedings. This is a very important protection but one which can be lost if legal advice emails are disseminated widely. It is important therefore not to forward on any legal advice emails unless strictly necessary and not to do so to a wide group of people.
➢ Except where legal privilege applies, all emails, however confidential, may have to be produced in evidence in court proceedings so caution should be exercised when discussing matters of a confidential, controversial or disputed nature.

### 16.4 Personal Use

➢ Occasional personal use is accepted.. Overuse of systems for personal, non-business communication during working time or after hours is strictly forbidden.
➢ Sending personal emails directly to large distribution groups (mass mailings, chain letters etc.) is strictly forbidden.
➢ The use of the email system to pursue personal business interests is strictly forbidden.

## 17. WiFi

SEStran provides Wireless Internet communication facilities to enable effective business function and communication for all internal users with suitable devices and is not for personal use.

### 17.1 Guest Wi-Fi Access

The guest Wi-Fi facility is provided to allow visiting guests a particular level of service.

➤ Any Guest misuse of the service will result in an immediate exclusion.

SEStran accepts no liability for any harm to systems or data when making use of this facility.

## 18. Hacking, Cracking and Unauthorised Access

All users and contractors utilising company or client computer systems must strictly adhere to the following rules:

Any third party access must be authorised by the appropriate manager.

No user may use the company's Internet connection to deliberately disable or overload any computer or network (including the company's own network), or to circumvent any system intended to protect the privacy or security of another user.

Users must not intentionally seek information about, obtain copies of, or modify files, other data, or passwords belonging to other users, unless explicitly authorised to do so by those users.

Users may not attempt to circumvent user authentication or security of any host, network, or account, both internal and external. This includes, but is not limited to, accessing data not intended for the user, logging into a server or account the user is not expressly authorised to access, or probing the security of other networks.

The deliberate introduction of viruses, or malicious tampering with any computer system, internal or external, is expressly prohibited. Any such activity will result in disciplinary proceedings.

Users must not attempt to circumvent anti-piracy measures through code modification or the use of license keys obtained via key generator software ("Cracking").

## 19. External Devices (USB Sticks/Hard Dives/CD-R and DVD-R drives)

The use of external devices is only permitted upon application to the Business Manager. If approved, the Business Manager will issue an approved device for the staff member to use.

Any member of staff obtaining an external device must adhere to the following:

➤ Users are responsible for safe keeping of their work, USB Pen Drives, external USB hard drives, or external CD/DVD Rom drives.

- Loss of any SEStran external device must be reported immediately so that any potential risk can be appropriately assessed.
- Users must not attempt to alter or circumvent the device encryption in place on supplied external devices.

### 19.1 Prohibitions

- It is strictly prohibited to use any external device provided by SEStran for purposes other than that which intended.

### 19.2 Misuse

It is the responsibility of all staff that should you learn of any misuse or inappropriate use of software, hardware or mobile devices, you should immediately notify your line manager.

## 20. Data Management and Classification

Data access control decisions are appropriately distributed throughout the organisation and handled by Data Owners. Every piece of data and information in SEStran has an owner, the person or group responsible for determining how that data and/or information should be managed, classified and protected.

Owners of data and information are expected to establish appropriate access controls for their data. Access to data should be limited to the appropriate set of people. Typically, access is granted to employees on a need-to-know basis, when it is required for them to perform their jobs.

Nobody should attempt to circumvent access protection. When access is needed but not available, authorisation should be sought from the data owner.

If you are given access to data or information, you must maintain its established access policy. For example, you may neither expose nor give data to someone who would not otherwise be granted access to it.

SEStran classifies information as either public or confidential.

### 20.1 Public Information

Public information is that which has been intentionally and explicitly made available to the public. This does not include processed data from SEStran's services, even if the content was collected from public sources.

### 20.2 Confidential Information

Confidential information is any non-public information that is proprietary; licensed by; or entrusted to SEStran. It is everyone's responsibility to exercise due care and attention to ensure that confidential information stays confidential. Confidential information should not be shared with anyone unless proper authorisation has been granted.

Unless specified otherwise, all data within SEStran is considered Confidential and should be protected and treated accordingly, in line with SEStran Records Management Plan

## 21. Data Backup

While information can only be Public or Confidential within SEStran so data can be "live" or "recovery" or "archive".

### 21.1 Live Data

➢ SEStran provides all staff access to a network storage location with adequate storage for business needs.
➢ Data must be retained solely on network drives whenever it is practicably possible to do so in order to ensure routine backups capture users' live data – exceptions exist solely for onsite consultants with SEStran laptops but no regular access to SEStran networks.
➢ Data will be protected by a clearly defined and controlled back-up procedure which generates data for archiving and contingency recovery purposes.
➢ The backup copies will be clearly labelled and held in a secure area.
➢ The backup process will allow for the recovery of several generations of backup.
➢ Back-up data should be regularly tested to ensure it is sufficient and accurate.

### 21.2 Recovery Data

➢ Recovery procedures should be in place to recover to a useable point.
➢ Recovery data should be sufficient to provide an adequate level of service and recovery time
➢ Recovery data should be used only with the formal permission of the data owner or as defined in the documented contingency plan for the system.
➢ In order to ensure that corruption is not propagated to recovered data it should be thoroughly tested before being pushed to "Live".

### 21.3 Archive Data

➢ Archived data is information that is no longer in current use, but may be required in the future, for example, for legal reasons or audit purposes.
➢ Archived and recovery data should be accorded the same security as live data and should be held separately preferably at an off-site location.

## 22. Equipment, Media and Data Disposal

It is a legal requirement of SEStran that should a computer ever have been used to process personal data, as defined by the Data Protection Act (1998), SEStran has to ensure the associated storage media should be disposed of only after reliable precautions to destroy the data have been taken.

Many software packages have routines built into them which write data to temporary files on the hard disk for their own purposes. Users are often unaware that this activity is taking place and may not realise that data which may be sensitive or confidential is being stored automatically on their hard disk.

Therefore, disposal of any IT equipment should only be arranged through the Business Manager who will arrange for storage media to be securely wiped.

## 23. Key Data Security Disciplines

### 23.1 Obligations

➢ SEStran holds confidential and personal information on a number of companies, Members, permanent and contract resources, past and current. Users must be aware of and adhere to the responsibilities imposed by the Data Protection Act (1998).
➢ SEStran holds detailed files and data relating to a number of organisations, contracts and agreements which must be treated with utmost confidentiality at all times.
➢ Users must report potential data security risks to their line manager or the Partnership Director.
➢ Users must always report any data loss or potential data loss to their line manager or the Partnership Director.
➢ Users must always ensure any data being sent out from the office is appropriately encrypted, consult the IT Service Desk if unsure.
➢ The obligation to keep information confidential continues after an employee's employment or contract with SEStran has ended, without limitation of time.
➢ In the case of printed materials always ensure they are marked with an appropriate statement of confidentiality.

### 23.2 Prohibitions

➢ Users must never issue any confidential or sensitive information to third parties unless they have obtained the necessary written authorisation to do so.
➢ Users must never use any company data for personal use or gain.

## 24. Physical Security

### 24.1 Offices and Premises

SEStran offices are located within Scottish Government premises and have a security entrance.

All staff and Consultants are issued with security identification badges and these should be worn at all times whilst on the premises. The transfer of badges, keys and other security devices is prohibited. Staff and Consultants leaving employment with SEStran must return all badges, keys and portable devices they have responsibility for.

To gain access, security passes must be presented and PIN number entered at the turnstile. Please contact the Business Manager is you forget your PIN.

Employee permitted hours of access are between 07:00 – 19:00 The security is designed to protect the fabric of the buildings as well as ensuring the physical security of all assets including organisational data.

A continuous dedicated reception/security service is provided for the main reception desk between 07:00 – 19:00. Access out-with these hours must be requested prior to visiting the offices.

Local network equipment is located in locked cabinets and where appropriate within secured areas and only staff or Consultants who have legitimate business and whose job require it should be allowed to enter areas where computer systems are located.

Confidential records are located in locked cabinets.

**24.2** Visitors and Contractors

All visitors to SEStran premises should have official identification issued by Scottish Government reception/security personnel, be escorted at all times and their arrival and departure times recorded.

Visitors should not be afforded an opportunity to casually view computer screens or printed documents produced by any information system without authorisation.

There is a requirement for all managers to have a procedure in place for the secure control of contractors called upon to maintain and support IT equipment and software. The contractor may be on site or working remotely via a communications link.

**24.3** Physical Security Disciplines

All information held on the networks including databases, file systems, documents and emails are the property of SEStran. This includes, but is not limited to, any such documents or information which you create and store on the company network.

**24.4** Obligations

➢ Always ensure your external visitors report to reception.
➢ Be aware that external visitors may have access to your floor/office space.
➢ Keep a clear desk, securing any valuable equipment or data appropriately.
➢ Ensure confidential information is not left displayed on screens or desks while unattended.
➢ Think before you print in order to reduce the risk of unauthorised access to hard copies of sensitive data.
➢ Always ensure hardcopy is marked with a confidentiality disclaimer.
➢ Ensure any hard copy printouts containing confidential information are kept secure (and under lock and key where necessary) when non-SEStran employees such as cleaners and maintenance staff have access to the premises.
➢ Ensure any hard copy printouts containing confidential information are kept secure when accessing SEStran' network from a remote location.
➢ Use the shredder or contact the Scottish Government Facilities Services Helpdesk to destroy sensitive waste.
➢ Keep confidential records stored in locked filing cabinets..
➢ Any requests for additional lockable storage, where the personal lockable drawer unit and departmental lockable storage units are insufficient, should be made to your line manager.

**24.5** Prohibitions

➢ Do not let unknown persons follow you into restricted areas of the office building.

- Staff must not attempt to gain access to areas which are normally restricted to them.
- Information must not be removed from SEStran premises without permission from the Partnership Director, and in line with the Data Protection Act (1998).

## 25. Network & Logical Security

### 25.1 Network Security

It is the responsibility of the Business Manger to ensure that access rights and control of traffic on all SEStran networks are correctly maintained. IT Service Desk will be responsible for implementing all required controls to access assets and data.

The Business Manager must maintain open communications with data and asset owners to ensure the IT Service Desk is informed of new users requiring access and those users who no longer need access either through changing job role or leaving the employment of SEStran.

It is the responsibility of IT to ensure that data communications to remote networks and IT facilities do not compromise the security of SEStran systems.

### 25.2 System Documentation

All systems should be adequately documented by IT Service Desk and should be kept up to date such that documentation matches the state of the system at all times.

System documentation, including manuals, should be physically secured when not in use. An additional copy should be stored in a separate location which will remain secure, even if the computer system and all other copies are destroyed.

Distribution of system documentation should be formally authorised by the system manager.

System documentation may contain sensitive information, for example, descriptions of applications processes, authorisation processes.

### 25.3 Review

SEStran, in consultation with IT will conduct an annual review of its network infrastructure to ensure that it is utilising new technologies where appropriate and remains compliant with emerging best practices.

## 26. Logical Security Disciplines

### 26.1 Obligations

- Always ensure data being sent from the office is appropriately encrypted, consult the IT department if unsure.
- Always ensure appropriate disclaimers are in place where necessary.
- Ensure data is saved to the network drives and not to local hard disks so that appropriate backups are made and retained.
- Ensure you store personal electronic data to an appropriately secured and restricted area within SEStran systems.

**26.2** Prohibitions

➢ Do not knowingly corrupt any data held within SEStran's computer systems.
➢ Do not load any data into any company system that has not been sourced internally or via customer uploads.
➢ Do not remove or upload to any third party site any company data from any company office or premises without specific authorisation.

**26.3** Servers and networking

The installation and management of servers and networking equipment (such as routers, switches, firewalls, etc.) is the responsibility of IT.

All sites should be protected by appropriate security mechanisms such as Firewalls, Intrusion Detection Systems (IDS), Intrusion Prevention Systems (IPS), load balancers, etc. Security architectural decisions are a responsibility of the Partnership Director and IT.

There must always be a clearly defined owner for each device. The owner is typically the same person who requested the device and is normally the primary user. In the case of network connections, if IT is unable to determine the owner of a connection, they will disable it.

IT is also responsible for maintaining network, server, and application security. They should periodically audit the security of these devices and connections, validate that they are in compliance with the current secure configuration standards, and promptly address any concerns and recommendations raised as a result of these audits.

**26.4** Patch Management

The IT Service Desk is responsible for Patch and Vulnerability management for the entire network including laptops, workstations, servers, networking devices, and supporting platforms.

All patches should be applied only after successful implementation in a testing environment, and the creation of a proper roll-back procedure.

However, critical patches should be applied not later than 48 hours of their release.

## 27. Passwords & Users

**27.1** User Identification and Password Security

Your username and password identify you on SEStran systems.  If you give someone else your password or through negligence allow them to obtain it then any subsequent actions performed by them, or any third parties to whom they subsequently make it available, will be in your name. You will be held responsible for any activity or transactions carried out under your logon ID. With the exception of mailbox monitoring, during periods of annual leave and sickness absence.

It is therefore essential that all staff maintain good password security.

Poor password security can result in the compromise of SEStran entire corporate network. As such all employees (including temporary, contract and third party staff

with access to information and/or systems) are responsible for taking the appropriate steps to secure their passwords.

Multiple staff access SEStran social media accounts using shared password credentials.

**27.2** Password System Rules

As passwords are the primary preventative control mechanism for access to computer resources, where functionality permits, the system software will impose a limit of five invalid sign-in attempts before an account is locked out and require the use of complex passwords.

Complex passwords must contain three of the following four character groups and be at least seven characters in length:

➢ English uppercase characters (A through Z).
➢ English lower case characters (a through z).
➢ Numerals (0 through 9).
➢ Non-alphabetic characters (such as !, $, #, %).

Any password lockout will require helpdesk intervention.

Password protected screen locks are automatically initiated after 15 minutes of non-activity.

**27.3** Password Disclosure

Should access be required to a particular system for which a password or security access has not already been granted, the user should contact their line manager to discuss whether they should be authorised to use this system and if a password or access can be issued.

SEStran employees and contractors must adhere to the following:

➢ Not solicit or attempt to solicit another user's password.
➢ Not log on to or use the system using another person's ID and password.
➢ Not disclose their password to any other users or third party. The only exception being a member of internal IT technical support for the sole reason of troubleshooting system issues. In this circumstance the password must be changed as soon as the issue has been resolved.

User access levels are subject to an annual review.

**27.4** Password Protection

As well as avoiding direct password disclosure it is also the user's responsibility to prevent anyone else from acquiring their password by other means. Users should therefore:

➢ Never have a password that is easy to guess.
➢ Never write passwords down.
➢ Never allow anyone to observe you entering your password.

➢ Ensure that the 'Remember My Password' function of all applications is never selected and never enabled.

**27.5** Password Changes

Passwords should be changed regularly. If at any time you suspect that someone else might know or have guessed your password, regardless of the length of time it has been in use, change it immediately.

All network passwords should be changed at least every 120 days; this will be set by network policy.

All system-level passwords (e.g. root, administrator etc.) must be changed at least every 30 days. Where functionality allows passwords will be auto-aged on this basis.

Any requests for a password reset should be directed to the IT Help Desk; the IT Help Desk may ask for proof of identity before performing the reset.

**27.6** User Logon Disciplines

All users of SEStran systems must comply with the following general rules:

➢ Change passwords regularly (this will be enforced by the system where possible).
➢ Lock workstation when away from desk.
➢ Log off or reboot their workstation at the end of each day.

**28. Remote Access**

Remote access is defined as 'access to IT resources or data from a location external to the SEStran office.' It is the intention of SEStran to ensure that unauthorised use of or access to resources is kept to a minimum, and that risks including loss of confidential data, intellectual property, damage to internal systems and reputational risks are effectively mitigated.

Any remote access to SEStran systems requires authorisation from line manager, in line with the SEStran Home Working Policy.

http://www.sestran.gov.uk/uploads/SEStran_Home_Working_Policy_2016.pdf

Remote working users must:

➢ Immediately notify the IT help desk of breach of security of access credentials.
➢ Not carry out any sensitive or confidential work when in a place where 3rd parties could view information on the screen. This obligation applies even when working at home, if other individuals are or may be present.
➢ Give the same consideration to any remote connection as to their on-site connection.
➢ Not print out any confidential information unless absolutely necessary and dispose of confidential material using the appropriate method e'g shredder or sensitive waste uplift through the helpdesk. .
➢ Continue to adhere to all aspects of the Information Security Policy.

## 29. Malware & Threat Protection

Malware is one of the greatest threats to our IT systems. SEStran seeks to minimise the risks of malware through education, good practice and up to date anti-virus software on all computers.

Malware becomes easier to avoid if staff are aware of the risks with unlicensed software or bringing data/software from outside the organisation. Anti-virus measures reduce the risks of damage to the network.

IT centrally maintains and updates the currency of the virus definition files on servers and desktops, but users (especially peripatetic) are responsible for checking that virus updates are automatically occurring on all desktop machines. Advice and support is available from IT if any remedial action is necessary.

Computer viruses could cause major disruption to SEStran, its partners and its relationship with those partners, as well as considerable reputational damage. Through automated measures as well as staff and contractor vigilance, virus disruption to business operation should be kept to an absolute minimum

Users should report any viruses detected/suspected on their machines immediately to internal IT. No newly acquired disks from whatever source are to be loaded unless they have previously been virus checked by IT.

Users must be aware of the risk of viruses from emails and the Internet. If in doubt about any data received please contact IT Service Desk for anti-virus advice.

### Malware Protection Principles

**29.1** Obligations

➢ Particular attention must be paid when opening e-mail attachments, especially when containing macros that come from unknown, suspicious or untrustworthy addresses. If at all in doubt please do not open the attachment and contact the IT Service Desk.
➢ Any infection, data corruption or system damage (or threat thereof) must be reported immediately to the IT ServiceDesk.
➢ Never download or attempt to download files from unknown or suspicious source.
➢ Do not download or attempt to download any executable code from any web site. If this type of download is required please log a call with the IT Service Desk.
➢ Never open an email attachment unless you are expecting it.
➢ Never click on a link within an email asking for disclosure of personal information.
➢ Never download or attempt to install software to your computer.
➢ Never attempt to download files from file sharing sites such as RapidShare.

**29.2** Prohibitions

➢ The removal or disabling, or any attempt to remove or disable, any antivirus software is strictly forbidden.
➢ Do not connect, or attempt to connect, any laptop, or any portable device to SEStran networks without prior authorisation from IT and a full virus check being performed.

➤ Do not connect, or attempt to connect any portable storage device for example USB sticks, diskettes, CDs/DVDs, digital cameras, personal mobile phones etc. from a source external to SEStran, to any SEStran networked device without prior authorisation from IT and a full virus check being performed.

## 30. Software

SEStran will only permit authorised software to be installed on its PCs or portable devices, which will be managed by the IT Service Desk. The company has a duty to ensure that all applications in use are covered by appropriate licensing details and associated Service Level Agreements and contracts (whether the software is free or not).

All software in use within SEStran must be centrally registered to ensure the company's licensing compliance and inventory details are accurate and that any testing environments during system upgrades are relevant and do not compromise the integrity of any testing due to missing applications.

### 30.1 Authorised software

SEStran will require the use of specific general purpose packages (e.g., word-processing, spreadsheets, and databases) to facilitate support and staff mobility:

➤ Non-approved packages should be phased out as soon as practicable unless there is a definable business use.
➤ Where SEStran recognises the need for specific specialised PC products, such products should be registered with IT Service Desk and be fully licensed.
➤ Software packages must comply with and not compromise SEStran standards.
➤ Computers owned by SEStran are only to be used for the work of SEStran.

### 30.2 Educational software

➤ Educational software for training and instruction should be authorised, properly purchased, virus checked and loaded by IT Service Desk.

### 30.3 Leisure software

Computer leisure software is one of the main sources of software corruption and viruses which may lead to the destruction of complete systems and the data contained thereon.

➤ The installation of leisure software on to computing equipment, including mobile phones, owned by SEStran is not allowed.
➤ Installation of leisure software may result in disciplinary action under the Disciplinary Procedure.

### 30.4 Unauthorised software

Please note and adhere to the following rules governing unauthorised software usage:

➤ Any copying, installation or execution of third party software (including games, screen savers, mp3 files, etc.) from any external storage medium is strictly forbidden (this excludes IT technical staff for the purpose to fulfil their role only).

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- Any downloading of any software or code of any format from the Internet or other on-line service to any of the company's computers, laptops, portable devices and mobile phones, is strictly forbidden (this excludes IT technical staff for the purpose to fulfil their role only).
- The use of pirated or illegal software or media (including movies and music) is strictly forbidden.

If you learn of any misuse or inappropriate use of software or related documentation, you should immediately notify your line manager or the IT Service Desk.

## 31. Exchange of Information

It is important for SEStran to function that information is able to flow efficiently between users and those on the outside who need that information without compromising its integrity and confidentiality

**31.1** Sharing data/information with non-partner organisations

SEStran may receive requests for personal data. Organisations requesting such information may include but not to exclusion of others:

- The Police
- Insurance companies
- Solicitors
- Potential employers

SEStran will ensure that the provision of such information in fulfilling such requests is not abused and is in line with the SEStran Data Protection Policy.

## 32. Summary

It is the responsibility of every user to read, understand and adhere to this policy and to perform their respective duties in accordance with the policy.

Employees are expected to exercise good judgement regarding the legitimacy and reasonableness of their use of Information and IT resources at SEStran.

## 33. Review

The Partnership Director and Business Manager are responsible for reviewing this policy. This policy is to be reviewed under the following circumstances

- Annually
- In the event of any changes to legislation

**Date of next review:** December 2017

**South East of Scotland Transport Partnership**

**(SEStran)**

# Records Management Policy

DRAFT

**Dec 2016**

# Records Management

## What is Records Management

Records Management is the corporate and professional function of managing records to meet SEStran's needs, promote efficiency and provide legal and financial accountability.

SEStran's Records Management Policy exists to ensure that:

- SEStran's records are fit for purpose
- the right information is created and kept for as long as it is needed
- information is held in an accessible form and manner.
- information is stored, used and protected in accordance with the many requirements of its creators, users, SEStran, the law and regulatory bodies, and;
- cost effectiveness is maintained (in terms of the time spent looking for information, storage and maintenance).

# Records Management Policy

SEStran recognises that the efficient management of its records is necessary in order to support its core functions, to comply with its legal and regulatory obligations and to enable the effective management of the organisation.

The policy follows from SEStran's Information Security Policy. Its purpose is to ensure the creation and maintenance of authentic, reliable and useable records, with appropriate evidential characteristics, within SEStran by establishing a framework and accountabilities for records management, through which best practice can be implemented and audited.

## 1. Policy

**1.1** SEStran will manage records efficiently and systematically, to support operations and meet legislative, regulatory, funding and ethical requirements.

**1.2** Records will be created, maintained and retained in order to provide information about and evidence of SEStran's transactions and activities. Retention schedules will govern the period of time that records will be retained.

**1.3** A small percentage of SEStran's records will be selected, in consultation with the National Records of Scotland Team, for permanent preservation. These records will become part of SEStran's Archive and will provide an enduring record of the conduct of SEStran's functions and business.

**1.4** Records management training is provided to all staff as part of SEStran's employee induction.

**1.5** This document, together with subsidiary policies and implementation documents are available from http://www.sestranlink/ and define the framework within which records are managed across SEStran.

## 2. Scope

**2.1** This policy applies to all records in hard copy and electronic format that are created, received and maintained by SEStran staff in the course of carrying out their functions.

**2.2** This policy applies to all records created whether internally or externally-funded, in addition to any contractual record-keeping requirements.

**2.3** This policy is binding on all those who create or use SEStran's records such as staff, Board Members, students, contractors, consultants, visitors and guests of SEStran., whether accessing records from the office or remotely.

## 3. Oversight

**3.1** The Partnership Director is responsible for records management within SEStran and has the authority to define and implement SEStran-wide records management policies.

**3.2** The Performance & Audit Committee/Partnership Board is responsible for the approval of records management policy..

**3.3** The Partnership Director is responsible for regular policy reviews and monitors the effectiveness of the records management policy across SEStran.

**3.4** SEStran's Office Manager (Records Manager) is responsible for promoting compliance with this policy and for drawing up guidance about good records management practice.

**3.5** SEStran's Records Manager has responsibility for  SEStran's  Archive.

## 4. Responsibilities

**4.1** All information users are responsible for creating, maintaining and preserving records to which they have access in accordance with this policy.

**4.2** The Partnership Director, as data owner, is responsible for ensuring that all records in SEStran are managed in conformance with this policy.

**4.3** SEStran Staff, who act in breach of this policy, or who do not act to implement it, may be subject to disciplinary procedures..

## 5. Policy implementation documents

**5.1** This document, together with related records management policies are available at: http://www.**sestran link.**

**5.2** Guidance document - **Records Management Guidance** provides context and further information to support implementation of SEStran's Records Management Policy.

**Appendix A - Definitions**

**Records**

All those documents, regardless of format, which facilitate SEStran activities and business and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically. A record has the following essential qualities:

- *it is present* (the information needed to evidence and reconstruct the relevant activity or transactions is recorded).
- *it can be accessed* (it is possible to discover, locate and access the information, and present it in a way that is true to the original presentation of the information).
- *it can be interpreted* (a context for the information can be established showing how it is related to other information, when, where and who created it, and how it was used).
- *it can be trusted* (the information and its representation is fixed and matches that which was actually created and used, and its integrity, authenticity and provenance can be demonstrated beyond reasonable doubt).
- *it can be maintained* (the record can be deemed to be present and can be accessed, interpreted and trusted for as long as necessary and on transfer to other agreed locations, systems and technologies).

**Records management**

Records management is defined as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records (ISO 15489).

**Review**

The Partnership Director and Business Manager are responsible for reviewing this policy.  This policy is to be reviewed under the following circumstances

- Annually
- In the event of any changes to legislation

**Date of next review:** December 2017

**South East of Scotland Transport Partnership**

**(SEStran)**

# Records Management Guidance

# DRAFT

**Dec 2016**

# Records Management Guidance

## 1 Introduction

**1.1** This Guidance document provides context and further information to support implementation of SEStran's Records Management Policy.

**1.2** SEStran recognises that the efficient management of its records is necessary in order to support its core functions, to comply with its legal and regulatory obligations and to enable the effective management and operation of the organisation. It is committed, through the Records Management Policy: to creating, keeping and maintaining those records which document its principal activities; the administration of its resources and the protection of the rights and interests of the organisation and its stakeholders.

**1.3** The purpose of SEStran's Records Management policy is to ensure the creation and maintenance of authentic, reliable and useable records, with appropriate evidential characteristics, within the organisation by establishing a framework and accountabilities for records management. Through this framework best practice can be implemented and audited.

## 2 Definitions of Records and Records Management

**2.1** Records are defined as all those documents, regardless of format, which facilitate SEStran's activities and business and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically and include email and blogs.

**2.2** A record has the following essential qualities:

- *it is present* (the information needed to evidence and reconstruct the relevant activity or transactions is recorded).
- *it can be accessed* (it is possible to discover, locate and access the information, and present it in a way that is true to the original presentation of the information).
- *it can be interpreted* (a context for the information can be established showing how it is related to other information, when, where and who created it, and how it was used).
- *it can be trusted* (the information and its representation is fixed and matches that which was actually created and used, and its integrity, authenticity and provenance can be demonstrated beyond reasonable doubt).
- *it can be maintained* (the record can be deemed to be present and can be accessed, interpreted and trusted for as long as necessary and on transfer to other agreed locations, systems and technologies).

**2.3** Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records (ISO 15489). It constitutes a series of integrated systems related to the core processes of SEStran that ensure that evidence of, and information about, its activities and transactions are captured and maintained as viable records.

**2.4** The objectives of a records management system are as follows:

- Records contain information that is a unique and invaluable resource and important operational asset. A systematic approach to the management of SEStran's records is essential to:
  - o ensure that the information we rely on has the qualities of a record
  - o protect and preserve records as evidence of our actions.
- Records management enables and supports SEStran's realisation of SEStran's corporate objectives namely:
  - o supporting staff, Members and stakeholders in the management of records, compliance and risk.
- Records management is accordingly necessary to:
  - o ensure that SEStran conducts itself in an orderly, efficient and accountable manner;
  - o realise best value through improvements in the quality and flow of information and greater coordination of records and storage systems;
  - o support core functions, providing evidence of conduct and the appropriate maintenance of associated tools, resources and outputs;
  - o meet legislative, regulatory, funding and ethical requirements;
  - o deliver services to staff and stakeholders in a consistent and equitable manner;
  - o assist and document policy formation and managerial decision making;
  - o provide continuity in the event of a disaster;
  - o protect the interests of the organisation and the rights of employees, consultants, and present and future stakeholders;
  - o establish an organisational identity and maintain a corporate memory.

## 3 Records Management Responsibilities

**3.1** SEStran has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. For this reason the member of SEStran's senior management with overall responsibility for the Records Management policy is the Partnership Director.

**3.2** The Business Manger (Records Manager), is responsible for defining policy, drawing up guidance for good records management practice and promoting compliance. The Records Manager provides advice on Records Management issues

and related compliance areas such as the Data Protection and Freedom of Information Acts.

**3.3** All Managers' have overall responsibility, as 'data owners', for supporting the management of records generated by their department's/team's activities, and should ensure that:

- adequate records are kept of the activities for which they are accountable,
- the records created, received and controlled within the purview of their department, unit or project, and the systems (electronic or otherwise) and procedures they adopt, are selected and managed in a way which meets the aims of SEStran's records management policy and any other relevant contractual requirements
- staff inductions cover  policies and procedures and staff and  have access to relevant training opportunities.
- 

**3.4** Other staff may have specific responsibilities for records as part of their role e.g. Business Support and should follow relevant SEStran policy and guidance for the specific types of records that they manage.

## 4 Relationship with existing policies and legislation

**4.1** This Records Management Policy has been formulated within the context of SEStran policies, guidelines and national legislation  and is intended to act as a framework to support standards and promote compliance with legislative and regulatory environments. Key policies and legislation related to this policy are cited below.

**SEStran documents**

- SEStran Data Protection Policy
- Information Security Policy
- Freedom of Information Policy
- SEStran Publication Scheme

**Legislation (http://www.legislation.gov.uk/)**

- Data Protection Act 1998
- Equality Act 2010
- Freedom of Information Act 2000
- Human Rights Act 1998

**6 Contacts**

| | |
|---|---|
| Strategic Records Management | George Eckton<br><br>George.eckton@sestran.gov.uk |
| Operational Records Management | Angela Chambers<br><br>Angela.chambers@sestran.gov.uk |

**Review**

The Partnership Director and Business Manager are responsible for reviewing this policy.  This policy is to be reviewed under the following circumstances

- Annually
- In the event of any changes to legislation

**Review Date:**        December 2017

**Updates on RTS Delivery Plan, City Deal, Projects, and EU Exit**

**1.      INTRODUCTION**

1.1     Rather than producing four, very brief reports on each of the above topics, progress on each is reported below.

**2.      RTS Delivery Plan**

2.1     The Delivery Plan was refreshed and approved by the Scottish Ministers in 2015 and now covers the period 2015 to 2025.
Albeit that future funding streams for SEStran are highly unpredictable, as explained in the refresh, there are clear strategic priorities for transport on which SEStran should focus that emerge from the RTS, based on national policy, the Strategic Development Planning process and from Local Authorities. Based on these, the Delivery Plan seeks to provide a framework for SEStran's ongoing work programme, set out in the annual Business Plans.

2.2     In terms of project delivery, other than those discussed in the following Projects report, no additional funds have been made available to SEStran since the Delivery Plan was refreshed.

2.3     However, representatives from the city region are currently pursuing an Edinburgh & South East Scotland City Deal which will be a bid for substantial funding, primarily directed towards supporting economic development and job creation but will also fund the acceleration of a number of transport interventions necessary to unlock development.

2.4     Should the bid be successful, the city deal will have a significant influence on the Delivery Plan which will require review as a result.

**3.      The Edinburgh & South East Scotland City Deal**

3.1     Six of the SEStran partner local authorities that make up the Edinburgh and South East Scotland City region are working collectively on a bid to the UK and Scottish Governments for a City Region Deal.

3.2     The City Region Deal is a mechanism for accelerating growth by pulling in significant government investment. By investing this funding in infrastructure, skills and innovation our economic performance will be significantly improved, which will not only generate funds to pay back this initial investment but also draw in significant additional funding from the private sector.

3.3     It is also about greater autonomy and decision making powers for the region to help us deliver public services more effectively and to tackle inequality and deprivation. Our ambition is to secure £1bn - £2bn of funding and it is

estimated that an additional £3.2bn worth of private sector investment could be leveraged if the bid is successful.

**3.4**     Currently, in terms of governance of the bid process, there is a council Leaders Group supported by a Chief Executives Group and below that an Infrastructure Group and Transport Appraisal Group. Ultimately, subject to an approval process, it is anticipated that the Leaders Group will become a Joint Committee.

**3.5**     SEStran is represented on the Infrastructure group and is leading the Transport Appraisal Group, the main role of which is to work with Transport Scotland to secure their support for the aforementioned transport interventions.

**3.6**     In respect of submitting a bid, the timetable is very intense with the intention to make a submission before the local elections next spring.

**3.7**     Should the bid be successful, it is anticipated that there will be a role for SEStran as regards to managing the delivery of the deal but this will be discussed further when the outcome of the bid is known.

## 4        2016/17 EXPENDITURE

**4.1**     **Appendix 1** to this report details the current year's Projects Budget which shows expenditure, to 30th September 2016, of £272,443.

## 5        REAL TIME PASSENGER INFORMATION (RTPI)

**5.1**     BustrackerSEStran now provides live bus times for all of the services operated by both First Scotland East and Stagecoach Fife, within the SEStran region. This has improved the reliability of the bustracker website and mobile app for the general public, and is anticipated to increase patronage of bus services as a result.

**5.2**     A substantial number of public premises throughout the region are displaying, or have committed to displaying live bus times on digital screens alongside public information and news bulletins. To date, SEStran has committed to approximately 155 digital screen installations in a variety of public and commercial buildings within the SEStran area.

**5.3**     To accelerate the roll out of the remaining screens (approximately 130), SEStran are inviting a number of marketing consultants to tender for this work.  Through a more focussed and specialised promotional effort on the remaining RTPI screens, SEStran endeavour to distribute all remaining equipment by the end of the 2016/17 financial year.

**5.4**     Following SEStran's information session for smaller bus operators held in July 2016, SEStran are working with INEO and transport consultants WYG to enable a link between bustrackerSEStran and GPS-enabled ticket machines operated by smaller bus operators in the SEStran region.

**5.5** The Smart Ticketing Challenge Fund has been launched by Transport Scotland. The fund provides capital funding to public sector organisations looking to develop interoperable smart ticketing. SEStran has submitted a bid to the Smart Ticketing Challenge Fund to fund ticket machine upgrades for 5 smaller bus operators in the SEStran region.

**6      SESTRAN THISTLE CARD – APP DEVELOPMENT UPDATE**

**6.1** The Thistle Card App is designed to replicate the original SEStran Thistle card with an initial page for the customer to input their protected characteristic using the same previously agreed symbols. The second page displays the information to be shown to the bus driver.

**6.2** The new Thistle Card App has now been added to the app store in a soft launch to gain feedback. SEStran will be contacting relevant stakeholders for feedback shortly.

**6.3** SEStran are now in discussions with developers to identify potential to include usage statistics and where the app is being used. These additions can be added as feedback incrementally as use of the initial app increases. This data could be used to inform bus operators in the future to improve services.

**7      Sustainable and Active Travel Grant Scheme (SATGS)**

**7.1** The SEStran Sustainable and Active Travel Grant Scheme has been launched for 2016/17. The scheme aims to support and encourage Travel Planning and Active Travel measures. SATGS can be used to support physical measures implemented as part of a Travel Plan and provide support for organisations actively developing a Travel Plan.

**7.2** Grants may range from £500 to £25,000 and will normally be up to a maximum of 50% of any proposal, although in exceptional circumstances higher awards may be made. The applicant will be responsible for securing the remaining 50% matching funding which should include a contribution directly from the applicant and may not come wholly from another grant scheme.

**7.3** The Grant Scheme is now closed for 2016/17, and the following projects have already been agreed by the SEStran Partnership Board:

| Midlothian Council Smarter Choices Smarter Places | £25,000 |
|---|---|
| Forth Valley College Tripshare Scheme, in partnership with Tactran | £4,637 |
| Queen Margaret University Travel Plan | £9,290 |
| Scottish Enterprise in partnership with Edinburgh Bio Quarter and Edinburgh University, Creation of a Travel Plan and Travel Plan Survey work | £25,000 |

**7.4** Following the Partnership Board meeting on the 23rd September 2016, SEStran are seeking approval of the following grant:
Edinburgh College - Continuation of Electric Vehicle Project, £25,000.

**8    Regional Cycle Network Grant Scheme (RCNGS)**

**8.1** SEStran operated the Sustrans funded Regional Cycle Network Grant Scheme throughout financial year 2015/16. Due to a further commitment from Sustrans, the scheme will be made available for 2016/17 and aims to encourage the development of the Cycle Network throughout the Region.

**8.2** The RCNGS can be used to support feasibility studies, design work, the development of infrastructure and monitoring, as well as supporting innovation and public engagement. Grants may range from £500 to £25,000 and will normally be up to a maximum of 50% of any proposal, although in exceptional circumstances higher awards may be made.

**9    SCOTTISH GOVERNMENT DESIGN CHARRETTE AND ACTIVATING IDEAS FUNDS: 2016/17**

**9.1** SEStran, in partnership with Young Scot, has submitted an application to the Scottish Government's Design Charrette Programme for 2016/17. SEStran and Young Scot are planning to undertake a co-design process with young people in two locations (Fife/Clackmannanshire and Edinburgh/Midlothian). The objective is for the outcomes to inform the Main Issues Report for our new Regional Transport Strategy. This project is being supported by Transport for Edinburgh and Fife Council. SEStran expect to hear the result of this application in November 2016.

**9.2** SEStran commissioned Young Scot to create a project based on the views of young people surrounding active travel. The study, X-Route, was delivered through Young Scot's Co-design service, providing young people with a platform to engage and explore their views. The study gave groups of young people from varying socio-economic backgrounds across the region a chance to create and explore solutions to the barriers they face when using active travel. Following stakeholder input, a report was drafted and is due for publishing in early November. SEStran is committed to ensuring there are positive and tangible outcomes from the X-Route report and will continue to identify funding sources and opportunities to ensure our recommendations are delivered.

**9.3** A funding application was recently made to the Scottish Government's Activating Ideas Fund, in order to allow further explorative work into turning one of the young groups' suggestions- creating glow in the dark paths for an increased sense of safety- into a reality. The outcome of the funding bid will be announced in November 2016. A further bid to the Scottish Road Research Board is being drafted for a mid-November submission, with the aim of taking the SRRB's desk-study on glowing paths to a trial stage.

**10      EUROPEAN PROJECTS UPDATE**

10.1    **'SocialCar'** aims to integrate public transport information, car-pooling and crowd sourced data in order to provide a single source of information for the traveller to compare multiple options/services.

10.2    The next Social Car meeting will be held in Brussels as part of the mid-term conference on the 22nd of November.

10.3    **'SHARE-North'** addresses the concept of 'Shared Mobility' and looks at the development, implementation and promotion of Car Clubs, Bike Sharing and Car Sharing. The planned living labs will integrate modern technology with activities to support changes in mobility behaviour. The objectives are: resource efficiency, improving accessibility (incl. non-traditional target groups), increased efficiency in the use of transport infrastructure, reduction of space consumption for transport, improving quality of life and low carbon transport.

10.4    The last SHARE-North partner meeting was held in Kortijk and Ghent in Belgium on the 6th to 11th of November. SEStran held a workshop around a Shared Mobility Manual for Municipalities.

10.5    **'REGIO-MOB'** aims to promote "learning, sharing of knowledge and transferring best practices between the participating regional and local authorities to design and implement regional mobility plans (or Regional Transport Strategies) bearing in mind the stakeholders with regional relevance and contributing to the sustainable growth of Europe." Accordingly this project provides an opportunity for SEStran to attract European funding towards the necessary development of the RTS and to learn and share knowledge with other cities throughout Europe.  The project will attract 85% funding from Europe.

10.6    SEStran Officers attended the second REGIO-MOB partner meeting in Romania in October 2016 and presented the results of SEStran's SWOT analysis to Romanian stakeholders.

10.7    SEStran will be hosting a workshop with REGIO-MOB project partners and their stakeholders in January 2017. During this workshop, SEStran will present two best practices, yet to be determined, from the region which have been chosen by the project partners and their stakeholders.

**11.     OPPORTUNITIES FOR NEW EUROPEAN PROJECTS**

**11.1    Interreg, North West Europe**

**11.1.1  SCRIPT** (Sustainable Carbon Reduction in Port Transport)
It is well understood that transport, in general, is a major contributor to carbon emissions totals and freight transport's contribution is significant; with a  particular concentration around ports and their hinterland as a result of the necessary traffic required to transfer goods to and from the ports.

**11.1.2** SEStran and partners' objective is to engage with ports and freight transport operators and their supply chains in selected estuarine and inland waterway locations within the North West Europe area to effect large-scale behavioural change with respect to the use of low carbon logistics and transportation and the implementation of different low carbon solutions. Work continues towards a submission in November this year, or Spring 2017.

**11.2     Interreg, North Sea Region**

**11.2.1  Surflogh**

The Surflogh project bid, aimed at improving the role of logistic hubs in the network of urban logistics in the North Sea Region, was unsuccessful from the Interreg North Sea Region programme in October 2016. SEStran is awaiting feedback from the Steering Board assessment.

**11.3     Horizon 2020**

**11.3.1  E-MOTIVE**

In partnership with Leeds University, Institute for Transport Studies and CENIT in Spain, SEStran is currently pursuing a bid to Horizon 2020. The consortium for this project now includes 8 academic/research institutes, 5 cities/regions and approximately 10 demonstration projects in total. SEStran's role in this project will focus on Young People, developing SEStran's existing relationship with Young Scot as a demonstration project. The deadline for submission of this project is February 2017.

**11.3.2** SEStran is currently in discussion with Napier University's Transport Research Institute (TRI) regarding future bids under the headings of "…innovative solutions to achieve sustainability…" and "improving, acceptability, inclusive mobility and equity…", to be considered later this financial year. Discussion is on-going.

**11.3.3  SHAREME 2**

Following the rejection of the Shareme project in April 2016 from a Horizon 2020 call, SEStran has been approached by the lead partner Bocconi University in Italy to contribute towards a Shareme 2 project to the Horizon 2020 topic: "Increasing the take up and scale-up of innovative solutions to achieve sustainable mobility in urban areas". The deadline for the first stage is 26th January 2017. SEStran are awaiting further information from the lead partner.

**12      EU Exit**

**12.1**    The UK government has announced that the Article 50 process will be initiated in March 2017. However, a recent court judgement has ruled that

the exit decision needs formal parliamentary support and this has lead to speculation that the Prime Minister may call a general election in an effort to strengthen her mandate.

**12.2** In the meantime, The Scottish Government has announced that it will be,...." passing on in full to Scottish stakeholders, the guarantees on EU funding that the UK Government has provided to cover the period between now and the point that the UK proposes to leave the EU – to provide stability and certainty for these key sectors of the Scottish economy."
The guarantee covers all European Structural and Investment Funds (ESIF) Programmes 2014-20, including European Regional Development Funds (ERDF), European Social Funds (ESF), European Territorial Co-operation (ETC) programmes, agri-environment schemes, and all projects funded directly by the European Commission through, for example Horizon 2020.

**12.3** Some 45% of the 2014-20 ERDF and ESF programmes are already committed, with almost all the approved projects running to the end of 2018. The Managing Authority (MA) will report to the Joint Programme Monitoring Committee (JPMC) on 30 November 2016 with options for committing the funds for the second phase of the programme.

**12.4** The guarantee provides reassurance for projects which have been approved by the Managing Authority (MA) and those which will go through the approval process before the UK leaves the European Union.

**12.5** As members will be aware, ministers representing both the UK and Scottish governments have been appointed to deal with the exit process. Until the process starts, there is nothing further to report and SEStran continues to pursue partnerships and bids in an effort to secure further EU funding while the opportunity remains.


Jim Grieve
**Head of Programmes**
18th November 2016


**Appendix 1 –** Projects Budget to 30/09/16


| Policy Implications | None |
|---|---|
| Financial Implications | Committee should note the potential for further bids for European funding and the update on underwriting assurances for EU funds outlined by the UK and Scottish Governments. |
| Race Equalities Implications | None |

| | |
|---|---|
| Gender Equalities Implications | None |
| Disability Equalities Implications | The launch of the Thistle App should further positive outcomes for customers across the SESTRAN area. |
| Climate Change Implications | None |

**EXPENDITURE**

| Centre | Centre Desc | CY Budget | Ledger @ 8/11/16 | Timesheets to 31/10/16 | TOTAL |
|--------|-------------|-----------|------------------|------------------------|-------|
| 92004 | ONE TICKET | 0 | 34,432 | | 34,432 |
| 92011 | R15 PARK & CHOOSE STH TAY BRIDGE | 20,000 | 944 | | 944 |
| 92013 | R17 SUSTAINABLE TRAVEL AWARENESS | 130,000 | -4,890 | | -4,890 |
| 92017 | URBAN CYCLE NETWORKS | 120,000 | 3,438 | | 3,438 |
| 92019 | RTPI - REVENUE CONTRIBUTION | 344,000 | 110,653 | 34,122 | 144,775 |
| 92032 | R34 PROJECT MANAGEMENT COSTS | 0 | 3,813 | | 3,813 |
| 92042 | R37 RTS MONITORING | 5,000 | 0 | | 0 |
| 92047 | R41 SPECIALIST RAIL BUS ADVICE | 15,000 | 27,550 | | 27,550 |
| 92048 | R42 REGIONAL DEV PLAN INPUT | 20,000 | 0 | | 0 |
| 92057 | EU SOCIAL CAR | 47,000 | 688 | 11,494 | 12,182 |
| 92062 | EQUALITIES FORUM ACTIONS | 10,000 | 4,800 | | 4,800 |
| 92069 | EU CHUMS | 23,000 | 3,348 | 8,713 | 12,060 |
| 92070 | BIF 2 | 0 | 12 | | 12 |
| 92071 | BIF 3 | 0 | 68 | | 68 |
| 92072 | RAIL STATIONS DEVELOPMENT | 215,000 | 1,524 | | 1,524 |
| 92073 | SHARE - NORTH | 40,000 | 1,680 | 10,164 | 11,844 |
| 92074 | REGIO - MOB | 80,000 | 609 | 19,281 | 19,890 |
| | | **1,069,000** | **188,669** | **83,774** | **272,443** |

**INCOME**

| Centre | Centre Desc | CY Budget | Ledger @ 8/11/16 | Timesheets to 31/10/16 | TOTAL |
|--------|-------------|-----------|------------------|------------------------|-------|
| 92004 | ONE TICKET | -13,000 | -39,542 | | -39,542 |
| 92011 | R15 PARK & CHOOSE STH TAY BRIDGE | 0 | -10,000 | | -10,000 |
| 92017 | URBAN CYCLE NETWORKS | -100,000 | -1,780 | | -1,780 |
| 92019 | RTPI - REVENUE CONTRIBUTION | -173,000 | -179,881 | | -179,881 |
| 92035 | REVENUE PROJECTS GRANT | -431,000 | -285,193 | | -285,193 |
| 92047 | R41 SPECIALIST RAIL BUS ADVICE | 0 | -8,270 | | -8,270 |
| 92057 | EU SOCIAL CAR | -47,000 | -47,860 | | -47,860 |
| 92069 | EU CHUMS | -17,000 | 0 | | 0 |
| 92071 | BIF 3 | 0 | -1 | | -1 |
| 92072 | RAIL STATIONS DEVELOPMENT | -200,000 | 0 | | 0 |
| 92073 | SHARE - NORTH | -20,000 | 0 | | 0 |
| 92074 | REGIO - MOB | -68,000 | 0 | | 0 |
| | | **-1,069,000** | **-572,527** | **0** | **-572,527** |
| | | **0** | **-383,858** | **83,774** | **-300,085** |

**Review of Forums**

1.      **INTRODUCTION**

1.1     Further to the September 2016 Board Review of Governance Documentation report, the Partnership Director has received comments from Board members on the proposals for a change in the structure of SEStran's consultative forums.

1.2     As the June 2016 paper indicated, the current committee structure consists of the Performance and Audit Committee, which reports to the Partnership Board. There is no suggestion of significant change to this structure and it certainly is a clear mechanism for transparency and audit of the Partnership's policies. Albeit a separate paper on this agenda, has a suggested action on increasing non-executive member membership.

1.3     However, SEStran has a number of consultative forums on Bus, Rail, Air and Sustainable Transport, alongside an Access to Healthcare Forum, a Freight Quality Partnership, a Chief Officers Liaison Group and an Equalities Forum.

1.4     The purpose of the paper is to report a summary of the views submitted on the proposals to change the structure of SEStran's consultative forums and to outline the emerging views of the Chair and Vice-Chairs who were mandated at the September 2016 Board to bring back a proposal to the December Board meeting.

2.      **SUMMARY OF COMMENTS**

2.1     By the end of October 2016, SEStran had received 4 set of comments from 4 non-councillor board members. Review of the 4 sets of comments submitted, highlight a clear desire for the retention of the status quo and some suggested the review should be paused until there is clarity on the wider legislative / governance context.

2.2     There was also a view that the forums provide an opportunity for information gathering, quiz/challenge and learning for non-councillor members which assists with their wider Board role. Respondents highlighted that non-councillor members are not "experts" on all aspects of transport. There was also concern expressed about the potential to curtail access to public transport operators.

2.3     There was also a view expressed that 2/3 meeting a year of individual forums, would not place too much strain on resources. However, when taken cumulatively there is a much greater strain placed on resources and this was recognised by some respondents, without a proposal of how to address this matter in some structural change. There is a suggestion that forums don't add to the workload, an acceptance from some that some meetings don't deliver outcomes but that sometimes papers to Forums

are further developed for the main Board. Respondents welcomed the move to a Model 3, but didn't see the continuation of forums having an impact on the ability of SEStran to progress this change, in an environment of less resource: human and financial.

2.4     A respondent raised the issue that ScotRail alliance have indicated a commitment for a regional consultative forum. However, in consultation with ScotRail there is a clear desire for a wider integrated forum to fulfil this role, rather than a specific rail forum.

2.5     Respondents were generally against the proposals for a multi-modal integrated forum or the previous suggestion from the Chair of P&A for the scheduling of specific separate meetings on the same day, as done in some constituent councils. There was concern expressed that such a compromise would make it impractical to get down to the detail on various issues and challenges.

2.6     Members will recognise that as part of this agenda, the financial planning for 2017/18 is tabled for comment, the potentially significant reduction in council and Scottish Government funding. This places greater pressure on resources, which means further prioritisation of resource is required. Respondents raised an issue of concern about no longer having "in-house" expertise for rail and bus advice following the cessation of a contract with Lindean Partnership, which was agreed by the whole Board in June 2016.

**3       FUTURE PROPOSALS**

3.1     On this issue, the ongoing discussions with SESPlan about greater alignment, seek SEStran to agree to a review of it's governance structures and alignment of staff resource. Also the move to Model 3 status for SEStran could presumably lead to further resources: staff and financial, joining SEStran. There is an ongoing recruitment process for a Head of Policy in track, but this requires further job evaluation and certainty on the other processes mentioned above before it can be progressed in a best value way. Therefore, whilst not ideal, the process of further capacity is being monitored.

3.2     Chief Officers of SEStran councils have at their 27 October meeting continued to indicate an issue of resourcing in terms of staff time the number of forums, in terms of attendance and travel time for multiple meetings and have suggested that structures should be tailored, in order to be dynamic to existing needs and resourcing constraints. The suggestion is that an integrated forum is progressed.

3.3     Clearly, before progressing to any conclusion, it will be important to engage with the stakeholders currently members of the present forums in a different manner if any subsequent change is agreed as part of the review. However, in light with the recommendation agreed at the September 2016 Board meeting, the Chair and Vice-Chairs agreed to consider the responses and outline a potential way forward.

3.4     The Equalities Forum which facilitates the achievement of our duties under the Equality Act 2010 and has delivered in recent years tangible

outcomes for the SEStran and wider area, has at its 24 October meeting requested to merge with the Access to Healthcare forum.

3.5     In terms of the Equalities Forum, it was recognised that SEStran and partners could reach out again to those people or groups who represent such individuals who have protected characteristics across the whole spectrum of the public sector equality duty. For example: age, disability, gender, gender reassignment, pregnancy and maternity, race, religion or belief and sexual orientation, as they are relevant to the statutory duties of SEStran and the achievement of the RTS objectives.

3.6     In terms of the Chief Officers forum, it seems a forum with a clear opportunity for developing a key stakeholder lead input to the work of the Board and should be retained, with perhaps greater integration across to wider infrastructure and land-use planning considerations in councils.

3.7     Finally, in discussion with the Chair and Vice-Chairs it was proposed that whilst recognising the views expressed, the wider corporate demands placed on the limited SESTRAN staff resource pointed to the need for a change in structure to enable prioritisation of resource. The Chair and Vice-Chairs therefore:

- A return to a "regional consultative forum" in line with the original December 2005 Guidance on Membership issued by the Scottish Government. This wider forum was meant to recognize the wider legislative requirement to consult on the RTS;
- it is suggested that for the purposes of detailed focused discussion 4 1 hourly meetings on the same day as the forum would cover: Bus, Rail, Air and Sustainable Transport, in a rotating order.
- The Equalities and Healthcare forum would be allowed to merge, and
- The Freight Quality Partnership with its focus on business and logistical side of the RTS should remain.

3.8     Certainly within the context of the Edinburgh City Region Deal, there are emerging specific pieces of work that constituent councils wish SEStran to progress around the move towards a Passenger Transport Authority and work set up a Transport Appraisal Group for City Deal projects. The progression of these priority projects would seem to suggest to the Partnership Director the clear need at this time to tailor structures in the short-term to be dynamic to the emerging needs of SEStran and partners. Either on the options above facilitate either change to prioritise resource on these short-term outcomes or enable a "pause" in the review of forums and associated workload until there is greater clarity of approach.


4.     **CONCLUSION**

4.1 The paper seeks members comments on the proposals to review, enhance and potentially consolidate the current set of stakeholder liaison forums operated by SEStran within its wider governance and liaison framework. The paper asks for members initial views on the proposals from the Chair and Vice-Chairs to tailor the current SESTRAN consultative forums to meet the dynamic needs of present work as soon as possible.

George Eckton
**Partnership Director**
November 2016

| Policy Implications | None |
|---|---|
| Financial Implications | Potential to reduce the amount of officer time and financial resource spent on stakeholder engagement, whilst providing an integrated and inclusive forum. |
| Race Equalities Implications | Proposal would seek to retain and mainstream equalities policy development. |
| Gender Equalities Implications | Proposal would seek to retain and mainstream equalities policy development. |
| Disability Equalities Implications | Proposal would seek to retain and mainstream equalities policy development. |
| Climate Change Implications | The proposals will reduce the number of meetings, reducing the travel associated with SEStran activities in line with our Climate Change Duties as a public body. |

**Regional Transport Strategy Update**

## 1.    INTRODUCTION

1.1    The report provides the Committee with an update on the renewal of the RTS and a proposal for a period of reflection on major issues and trends before committing to a Main Issues Report given the current legislative and policy developments scheduled to occur in the next few months.

## 2.    REGIONAL TRANSPORT STRATEGY

2.1    The Committee will be aware that in line with their previous Business Plan, the Board agreed to undertake a wholescale review of the existing Regional Transport Strategy (RTS) at their July board meeting. At the September 2016 board meeting the Board received an update on the preliminary assessment work undertaken on renewing the RTS.

2.2    Since the September Board meeting, further involvement in the current review of the Planning system and the potential move to a Model 3 RTP have highlighted that a period of further reflection before committing significant resource to a number of statutory assessments might be best value at present. The Planning White Paper is scheduled for release by the end of the year and the National Transport Strategy 2, which is set to include the Scottish Government's response to Recommendation 21 of the Independent Review of Planning: undertake a review of transport governance, is scheduled for early 2017. Therefore, it would appear correct to continue to review and identify emerging trends and issues for transport regionally in the South-East of Scotland but not to formally commit a significant amount of resource to the RTS at present and that a further report will be brought forward to the next Committee, when potentially there will be greater clarity of the potential change or amendment to the existing legislation and structures for transport in Scotland.

2.3    The original government guidance highlighted a proposed review or renewal of the RTS every 4 years, given the last RTS review was concluded in late 2015. The Committee can be assured that the current RTS is "up-to-date" in this context and provides a clear and current vision for regional transport in the South-East of Scotland.

## 3.    CONCLUSION/RECOMMENDATIONS

3.1    The Committee is asked to note the report, receive a further verbal update from the Partnership Director and if agreeable to recommend to the Board a period of reflection on creating the new RTS, whilst there is a period of legislative and policy fluidity, ahead of the new Planning White Paper and renewal of the National Transport Strategy.

George Eckton **Partnership Director** 11 November 2016

Lisa Freeman **Strategy Liaison Officer**

| | |
|---|---|
| Policy Implications | There would be a delay in reviewing the existing RTS. |
| Financial Implications | Potential to avoid the expenditure of resource that would not represent best value at the present time ahead of the Planning White Paper and review of transport governance. |
| Race Equalities Implications | N/A |
| Gender Equalities Implications | N/A |
| Disability Equalities Implications | N/A |
| Climate Change Implications | N/A |