



SESTRAN PARTNERSHIP BOARD MEETING

Dean of Guild Room, City Chambers, High Street, Edinburgh, EH1 1YJ
Friday 2nd December 2016 – 10:00 AM

AGENDA

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1. ORDER OF BUSINESS	
2. APOLOGIES	
3. DECLARATIONS OF INTEREST	
4. PRESENTATION/ REPORT ON YOUNG SCOT X-ROUTE – Moira Nelson	3
5. MODEL 3 SESTRAN PROGRESS REPORT – Report by George Eckton	25
6. MINUTES	
a. PARTNERSHIP BOARD - 23rd September	55
<u>Appointment of Vice-Chair:</u> Members are asked to indicate if they wish to appoint another Vice-Chair, in terms of the item discussed at the last meeting.	
b. PERFORMANCE & AUDIT COMMITTEE - 18th November	63
<u>Members should note that Board approval is needed for the following items of the minute:</u>	
Item 6c - Purchase Card Policy ¹	
Item 6d - Travel & Subsistence Policy ²	
c. RTP CHAIRS – 14th September	70
7. FINANCIAL REPORTS – by Iain Shaw	
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¹ [Purchase Card Policy \(p.26\)](#)

² [Travel & Subsistence Policy \(p.46\)](#)

9. **REVIEW OF FORUMS** – Report by George Eckton on behalf of Chairs & Vice-Chairs **91**
10. **REGIONAL TRANSPORT STRATEGY UPDATE** – Report by George Eckton **95**
11. **EDINBURGH AIRPORT DRAFT MASTERPLAN** – Report by Lisa Freeman **97**
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14. **DELIVERY PLAN/PROJECTS UPDATE/CITY DEAL/EU UPDATE** – Report by Jim Grieve **177**
15. **DATES OF FUTURE MEETINGS** – Report by Angela Chambers **186**
16. **AOCB**
17. **DATE OF NEXT MEETING**
The date of the next meeting has been arranged for **Thursday 2nd March 2017 at 2:00pm** in Conference Room 3, Victoria Quay, Edinburgh, EH6 6QQ. (Subject to approval by the Board)

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

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

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25th November 2016.

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Agendas and papers for all SEStran meetings can be accessed on www.sestran.gov.uk

Young Scot X-Route Report

1. INTRODUCTION

1.1 The report provides Board members with some background on the SEStran X-Route study and an appended copy of the final report produced for us by Young Scot. The agenda item will also feature a presentation by a group of volunteers from The Vennie club in Livingston who were one of 4 groups of young people who participated in the project.

2. X-ROUTE

2.1 SEStran have been working in partnership with Young Scot on a Co-Design project called X-Route, through which we have engaged young people on how to improve cycling in their area and the barriers they face.

2.2 X-Route involved groups of young people, from various socio-economic backgrounds across the south east of Scotland, discussing the barriers they face when considering using active travel as a means of transport. The report was conducted using Young Scot's Co-design method, where young people are involved much earlier in decision making process through a highly participative approach developing informed insights, ideas, recommendations and solutions for service development, policy and practice.

2.3 Participants developed a series of ideas and recommendations to improve cross-boundary active travel in and around their local areas, with the intention of these routes becoming a viable option and an integral part of travel for young people and their wider community.

2.4 The recent review of the Scottish Planning system has recommended that for all statutory plans we should collectively be investigating how to increase participation in all forms of planning, and has suggested a statutory right for young people to be consulted. This type of locally driven approach is also, very much in keeping with recent draft guidance consulted upon for Community Planning Partnerships in exercising their new responsibilities under the Community Empowerment (Scotland) Act 2015. Transport and social mobility appear to be ever more important in performing a key role in delivering a number of positive outcomes across a range of cohorts of the Scottish population.

2.5 The report, attached to this paper, has produced a number of interesting results and insights from the workshops so far and the young people have raised a huge variety of issues faced, including some concerns. However, they have also proposed some ingenious solutions have also been suggested, including some proposals SEStran are seeking to progress via a bid to the Scottish Roads Research Board.

3. CONCLUSION / RECOMMENDATIONS

- 3.1 The Board are invited to receive a presentation from volunteers from The Vennie club, who participated in the X-Route study, discuss the report and its recommendations and note that the final report will be published on SEStran's website.

Moira Nelson

Active Travel Strategic Development Officer

25th November 2016

Appendix 1 – X Route Report

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

ROUTE

**CO-DESIGNING
ACTIVE TRAVEL**



FOREWORD

BY, COUNCILLOR LESLEY HINDS

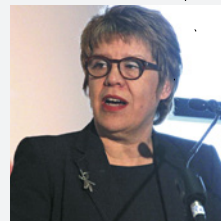
FOR ME, YOUNG PEOPLE ARE OFTEN OVERLOOKED WHEN CONSIDERING TRANSPORT ISSUES OF ANY FORM AND THIS NEEDS TO CHANGE.

Active travel is a term that 75% of those surveyed had never heard of. Therefore, this report is our attempt to give young people a platform and a voice to express the barriers they face when considering active travel.

Active travel plays a vital role in creating a sustainable transport network across the region as well as creating productive, happier and more active citizens in every sense.

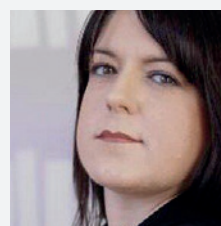
We must continue to strive to engage and encourage those who are often underrepresented if we wish to make active travel an easy and natural choice today and tomorrow.

If we are all committed to real, great and lasting change of the transport network in the South East of Scotland, then we need to start with young people.



SEStran is committed and proud to support an ongoing co-design partnership with Young Scot and young people, to continue to engage and empower the future users of our transport network.

**COUNCILLOR LESLEY HINDS,
SESTRAN CHAIR**



At Young Scot, we recognise that transport is a catalyst to enable young people to make the most of their lives and to connect locally and nationally to opportunities. More importantly, enabling young people to co-design ideas to improve attitudes and infrastructure for active travel builds towards national outcomes around improved citizen engagement, health and the environment. The projects volunteers have demonstrated ambition and commitment to improve the lives of young people and communities across Scotland and we look forward to continuing the collaboration with SEStran to support young people to make their ideas a reality.

LOUISE MACDONALD @ YOUNG SCOT



BACKGROUND

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THE X-ROUTE PROJECT PUTS YOUNG PEOPLE AT THE HEART OF COLLABORATIVELY DEVELOPING REGIONAL CYCLING INFRASTRUCTURE. COMMISSIONED BY SESTRAN AND DELIVERED THROUGH YOUNG SCOT'S CO-DESIGN SERVICE, THE PROJECT HAS PROVIDED A PLATFORM TO ENABLE YOUNG PEOPLE TO EXPLORE THEIR PERSPECTIVES ON ACTIVE TRAVEL.

Participants have developed a series of ideas and recommendations to improve cross boundary active travel in and around their local area. The intention is for these routes to become a viable option and an integral part of travel for young people and their wider community in the South East of Scotland.

THE MAIN GOALS FOR BOTH PARTNERS HAVE BEEN TO:

- Support young people to shape and influence sustainable travel services and low carbon activity
- Improve the understanding of young people's cycle network needs
- Raise young people's awareness of active travel options so they will be in a better position to benefit from Scotland's travel options and improve their lives and wellbeing
- Develop young people's knowledge, understanding and confidence working in teams in collaboration with SEStran and key stakeholders
- Celebrate and share the participating young people's achievements to inspire others to use the cross boundary network.



SUMMARY

X-ROUTE PROVIDED A VALUABLE OPPORTUNITY FOR YOUNG PEOPLE TO SHARE THEIR EXPERIENCES AND IDEAS TO INFLUENCE SESTRAN'S PLANS FOR FUTURE IMPROVEMENTS TO THE SOUTH EAST OF SCOTLAND'S CYCLE NETWORK.



Throughout, it has been clear that the challenges and barriers that would deter a young person from cycling are similar to those of the wider active travel community. A high percentage of the young people had not considered cycling as a means of transport for a variety of reasons from lack of fitness, confidence or equipment to the perception of distance and fear of safety on the journey.

Participants were keen that young people, now and in the future, should feel that cycling is an easy and accessible option, with infrastructure in place that enables them to have a safer, quicker and more enjoyable journey.

What did become apparent through X-Route was that active travel as a behaviour needs to be encouraged and facilitated at an early age so people can continue considering it as a reliable mode of transport throughout their life, and reap all the benefits.

Throughout this report we will share the co-design process deployed on the project, how the young people have shared their views with each other and developed new ideas, we also include how these findings were presented by the young people themselves and the commitments SEStran have made to continue improving South East Scotland's active travel network in the future based on X-Route's insights.

PROJECT APPROACH

YOUNG SCOT HAS EXTENSIVE EXPERIENCE IN ENGAGING WITH SCOTLAND'S YOUNG PEOPLE TO SEEK THEIR VIEWS AND INPUT IN THE DEVELOPMENT OF THE SERVICES THEY USE. YOUNG PEOPLE HAVE A SIGNIFICANT ROLE TO PLAY IN ENCOURAGING ORGANISATIONS AND COMMUNITIES TO ADOPT A MORE COLLABORATIVE CULTURE, FOCUSING RESOURCES TO EFFECTIVELY MEET THE NEEDS OF INDIVIDUALS AND COMMUNITIES.

Young Scot's co-design service involves young people systematically creating, designing and delivering solutions in collaboration with organisations. Young people are involved much earlier in decision making process through a highly participative approach developing informed insights, ideas, recommendations and solutions for service development, policy and practice. This insight report shares young people's experiences and ideas to improve infrastructure to enable their ideal active travel experience to become a reality.

USING THE CO-DESIGN PROCESS, YOUNG SCOT AND SESTRAN:

1



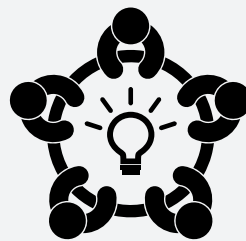
Devised a youth-friendly National Survey for young people aged 11-25 from across Scotland to gain an understanding of their active travel habits and perceptions. The survey was promoted through Young Scot Rewards (<https://rewards.youngscot.org>), on the partnership's social media channels and networks, and via the Young Scot Digital Platform (<http://young.scot>).

2



Delivered four Exploration Workshops with up to 12 young people from various socio-economic backgrounds, ages, and local authority areas in South East Scotland. The individuals also had varying degrees of understanding, experience and interest in active travel. These groups were supported to create visualisation of the issues they face with active travel.

3



Held an Ideas Gathering at the Low Port Centre in Linlithgow, which provided all the project volunteers with a platform to share their issues and co-design solutions with each other and some key stakeholders from the active travel community.

4



Supported a Stakeholder Workshop to disseminate the young people's insights further and to find out about current and potential improvement projects being delivered around the South East of Scotland where the voice and needs of young people could be incorporated.

NATIONAL SURVEY

THE SURVEY RECEIVED 902 RESPONSES FROM YOUNG PEOPLE AGED 11-25 AND HAD RESPONSES FROM ALL 32 SCOTTISH LOCAL AUTHORITIES. 294 RESPONSES CAME FROM SESTRAN'S EIGHT AUTHORITIES IN THE SOUTH EAST.



NATIONAL PICTURE:

Over 75% had never heard the term active travel before (72% in the South East). Of the 203 who had, the majority had heard of the term through school, university, or a youth engagement settings. 24% did not have access to a bike (23% in the South East).

When asked how physically active the young people were, there was a spread of responses. There was a definite correlation between how physically active a young person considered themselves to be and how often they said they walked. This was also comparable to cycling but on a much smaller scale.

The survey asked 'Approximately how long does/do you think it would take you to make your most common daily journey', for each of the modes of transport below:

	NATIONAL	SOUTH EAST
WALK	35MINS	32MINS
CYCLE	24MINS	25MINS
PUBLIC TRANSPORT	26MINS	22MINS
CAR	14MINS	13MIN

57% OF RESPONDENTS JOIN UP THEIR ACTIVE TRAVEL JOURNEYS WITH PUBLIC TRANSPORT, 61% IN THE SOUTH EAST.

'BECAUSE IT IS MORE ACTIVE IF YOU CYCLE EVERYWHERE AND MORE EFFICIENT'



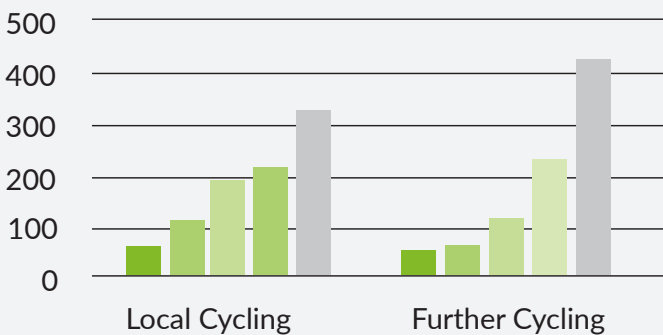
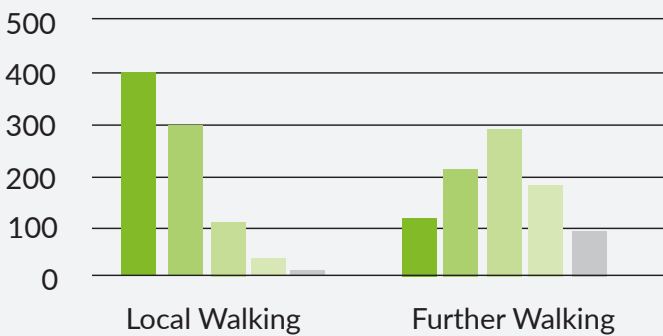


NATIONAL PICTURE:

The average young person responding to our survey perceived cycling to be around the same speed as public transport. From discussions with active travel experts we know that cycling is on average a faster option which shows there is a misconception here. Many respondents did not know how long their journey would take if they were to walk or cycle, which may mean they have yet to try or even think about traveling in this way.

Nationally, walking is a very common mode of transport for young people when in their local area. Almost 81% (79% SE) walk often in their local area and 37% (41% SE) continue to do so outside of their local area. 18% (19% SE) cycle often in their local area with 12% (14% SE) continuing to do so outside their local area. This demonstrates that if a young person does active travel regularly they are more likely to use that method to go further afield.

The survey asked what was the furthest the young people had travelled from their home both on a bike and walking. The responses averaged 8miles (6miles SE) for walking and 12miles (8miles SE) for cycling. The majority of their furthest trips were usually for holidays, leisure activities or trips into larger cities, many cited the weather as a factor in why they decided to embark on these trips. Popular destinations were cities, lochs, and parks.



- All the time
- Often
- Sometimes
- Rarely
- Never





SOME OF THE REASONS YOUNG PEOPLE ACTIVE TRAVEL:

Because it's easier in a busy village

At home I live too far for me to walk but it's the perfect distance to cycle

Not too far to get sweaty doing it and not so far that it takes way longer than driving.

It's fun and keeps you in shape.

To reduce our carbon footprint.

It allows you to get a better look at your surroundings and find new places

It's quicker than the bus

SOME OF THE REASONS YOUNG PEOPLE DON'T ACTIVE TRAVEL:

I don't know the areas surrounding Tranent, if I did and it was safe I would.

I haven't had any training in terms of cycling on the road and although most of it is common sense I am worried that I could hurt myself or cause an accident.

It's embarrassing

I have a physical and learning disability so am unable to cycle

It's not safe to cycle in my area due to busy roads and not safe to walk because of crime

I live at the top of a steep hill so the journey home is tiring

(GREEN = IN SOUTH EAST SCOTLAND, GREY = NATIONAL)

POSITIVE THEMES:

FUN, FITNESS, CHEAPER, FASTER THAN PUBLIC TRANSPORT AND SENSE OF ENJOYMENT.

NEGATIVE THEMES:

NO BIKE, FASTER BUS, DANGEROUS, WEATHER, HARD WORK/HASSLE, LACK OF CONFIDENCE.

OPEN QUESTIONS

SURVEY SUMMARY

The survey has shown that not only are there young people in Scotland motivated and keen to share their opinion on improving active travel options, they are willing to share their challenges and barriers as well as suggest ideas. These improvements that young people want to see covered the entire experience of getting involved with cycling through to enjoying it more and getting involved with the Active Travel community.

HAVING TO PADLOCK MY BIKE UP. I'M SCARED OF SOMEONE PICKING THE LOCK AND TAKING MY BIKE THEN I'M LEFT STRANDED.

THERE ARE NOT ENOUGH CYCLE PATHS AND THE FACT THAT SOME DRIVERS ARE INCONSIDERATE OF CYCLISTS.

BUSY TRAFFIC. AREAS WITH TOO MANY TREES SO PEOPLE CAN'T SEE ME AND I FEEL LESS SAFE WHERE IT'S QUIET.

WHAT PREVENTS YOU FROM USING ACTIVE TRAVEL?

I DON'T HAVE A BIKE BECAUSE MY PARENTS DON'T THINK THAT IT IS SAFE TO CYCLE ON THE ROADS. THERE ARE NO DESIGNATED CYCLE PATHS. MY SCHOOL ALSO DOESN'T ACCOMMODATE FOR BIKES AND THERE IS A CHANCE THAT THEY COULD BE STOLEN.

I'VE NEVER REALLY THOUGHT ABOUT IT BEFORE AS MY SCHOOL IS ONLY A 10 MIN JOURNEY AND MOST OF THE TIME I TRAVEL IN MY DAD'S CAR.

KEY THEMES:

Not feeling safe on the roads or in their local area, not having a bike, issues with the weather, terrain and effort required, lack of knowledge of local routes and storage facilities.

OPEN QUESTIONS

BETTER CYCLE ROUTES AND LOCKERS FOR BAGS AT COLLEGE.

A SUITABLE OFF ROAD CYCLE-TRACK JOINING DESTINATIONS TOGETHER WOULD BE IDEAL.

WHAT WOULD ENCOURAGE YOU TO USE ACTIVE TRAVEL?

BEING CONFIDENT IN CYCLING..

MORE RECOGNITION FOR THOSE WHO DO USE ACTIVE TRAVEL.

KEY THEMES:

More cycle paths, storage and information, looking at new ways to keep cyclists away from traffic as well as incentivising active travel.

THEY SHOULD TEACH YOU HOW TO RIDE A BIKE IN PE

IF THERE WERE MORE SIGNS ON PATHS TELLING YOU DIRECTIONS

CLARITY ON IF I CAN TAKE MY BIKE ON PUBLIC TRANSPORT

BETTER PATHWAYS THAT DON'T GET MUDDY EASILY

MORE OFF ROAD PATHS OR CAR FREE ZONES WHERE IT'S QUIET

BETTER BIKE STORAGE FACILITIES

A CHANGE IN THE LAW TO ALLOW PAVEMENT CYCLING

WHAT IMPROVEMENTS WOULD MAKE YOU CONSIDER ACTIVE TRAVELING MORE?

A MAP OF ALL THE QUIETER ACTIVE TRAVEL ROUTES IN SCOTLAND, (...) MORE INFO ABOUT HOW LONG A TYPICAL JOURNEY WOULD TAKE BY WALKING/ CYCLING AND SIGNAGE AT COMMON JOURNEY POINTS

LINKING PATHS AS MUCH AS POSSIBLE, A PHYSICAL BARRIER OR BEING AWAY FROM CARS.

KEY THEMES:

Improved introductory or training opportunities for young cyclists, more cycle routes away from traffic, lack of information and improvements to existing paths, apps and maps to help young people familiarise themselves with their area and established routes.

MEET THE TEAMS



TEAM 1

LARBERT HIGH SCHOOL, BIKE USER GROUP, FALKIRK

The group were made up of six S4-5 pupils aged 16-17, all were keen members of the schools BUG and avid cyclists.

www.larberthigh.com

TEAM 2

THE VENNIE, MONDAY NIGHT CLUB, WEST LOTHIAN

The group engaged 12 young people through The Vennie's drop in sessions. A core group of six volunteers aged 11-13 took forward the project and further explored the views of their peers.

www.thevennie.co.uk

TEAM 3

TWEEDDALE YOUTH ACTION, BIKE PUNKS, SCOTTISH BORDERS

The group were made up of eight young people aged 14-16 all with an interest in some form of extreme cycling.

www.tweeddaleyouth.co.uk

TEAM 4

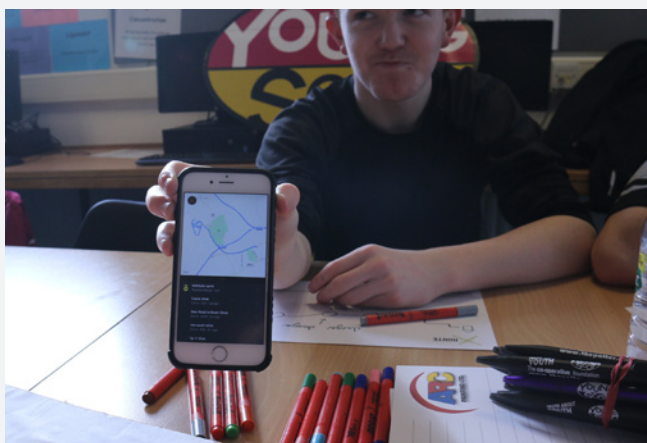
RECHARGE, TRANENT, EAST LOTHIAN

The group of 12 that took part in the X-Route project were aged 16-22 and had diverse backgrounds including those at school, college, job seeking and in employment.

www.rechargenow.co.uk

ISSUES & RECOMMENDATIONS

PROMOTING INFORMATION FOR AN UNDERSTANDING OF CYCLING



The groups expressed the barrier of not knowing where to go and getting lost outside of their local area. Where the younger groups could not imagine going further afield due to a lack of signage, the older groups were keen to show off their travel apps which not only provide GPS positioning but also allowed them to compete and race against friends.

Some were worried about the time it takes to travel by bike and being late. Most young people prioritise the speed at which they got to their destination as very important.

They also highlighted a lack of signposting to cycle support services for young people like local bike groups and schemes, these were hailed as a great way for interested young people to try cycling out.

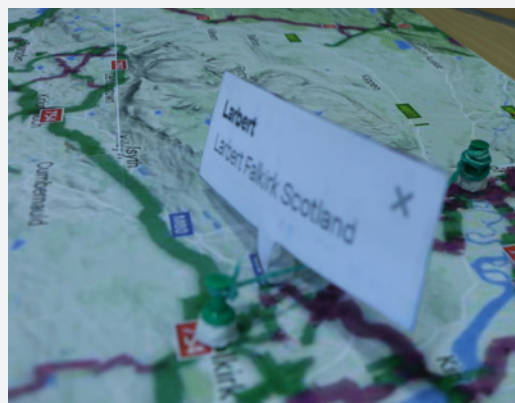
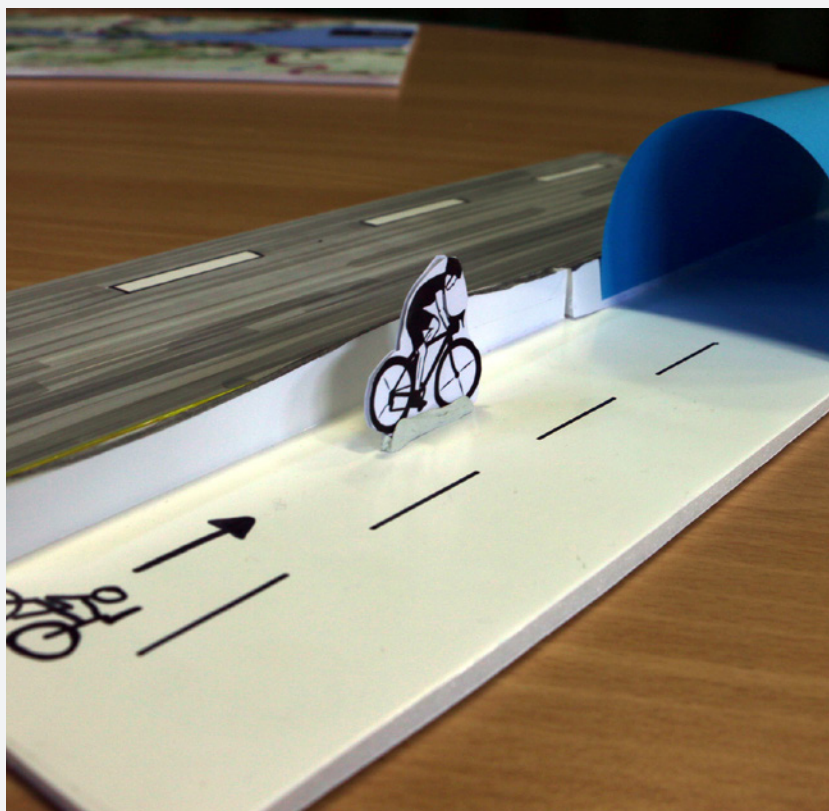
COST OF KIT



The participants explained the initial cost of getting a bike and the safety equipment as barriers to some young people and were considered high end purchases. In two of the workshops areas there were youth focused cycle projects through which the young people could potentially rent bikes.

“Showing off how expensive your gear is” was a common social issue. One of the groups used the expression, “all the gear and no idea” for peers who spend a lot of money on equipment but don’t necessarily have the skill to make the most of it, or even know how to maintain it.

The young people suggested this issue could be challenged by hire schemes where young people can hire bikes/helmets for extended time or having recycle a bike schemes in each local area. They also sought to use the Young Scot card to subsidised cycling starter pack, which would be provided along with an intro to bike maintenance courses to new cyclists.



SAFETY

Avoiding injury and overcoming the fear of hurting yourself were common barriers.

Participants from the Scottish Borders talked about living in a rural area and shared the experiences of drivers speeding which put cyclists at risk. **“There are a lot of good paths in the area for cycling from town to town off the road but some cyclists still go on the main road – getting in the way and causing accidents.”** The perception is that cycling on roads is problematic which could be addressed by going on supported rides to build confidence/bikeability training.

All the groups agreed that the cycle networks in their area could be improved – from initial discussions they wanted cycle lanes that were far away from traffic and main roads, they wanted these paths to be joined up so you didn't need to cross roads to continue your journey. They wanted to see ways that cyclists can avoid roundabouts if they are using main roads and busy junctions.

At the ideas gathering, the groups came together and suggested that the best way to protect cyclists and make them feel safest was by keeping cyclists away from traffic. It was thought that bridges could be used to avoid crossing busy roads and keep the momentum on a journey. Enclosed cycle paths, speed limit of 20mph for cars in cycle areas, free reflective vests, ensuring young people know that by law you should use lights on your bike at night and promoting cycle safety as well as keeping cars out of city centre would also make a difference. They also wanted to see better signage showing where the more cycle friendly paths were and how they could avoid having to travel in traffic especially at roundabouts.

ATTITUDE

Cycling was seen as an alternative to public transport/ walking/traveling in a car but only if they had the equipment, felt safe and developed the interest and commitment to do it regularly.

Participants said that, **“active travel should feel like an achievement and be something that you are proud of doing”**.

The main factor that stops them using their bikes they felt is often laziness, “people could do it but just don’t try”. Being put off by bad weather and hilly areas was common. The Recharge group in East Lothian mentioned that their town was especially hilly and many of their paths were not connected.

They expressed the need for initial commitment to learn and practice how to cycle safely on the roads. It was apparent that most young people still learn to ride a bike at a very young age, but for those who continue riding they chose a specialised area that they enjoy: mountain biking/ BMX as an interest/hobby. This showed that most young people see cycling as a recreational activity rather than as a mode of transport.

Getting into road cycling was not something that any of the young people mentioned having started with an interest in. They said that, **“you need to be fit to really enjoy the sport as it’s hard work”**, but admitted that they were fit because they enjoyed the sport and being fit was a byproduct of their activity, not the reason for taking it up.

One group mentioned how schools consider sporting achievements in football, rugby, and hockey highly and will praise students at assemblies for excelling in these areas whereas cycling/active travel achievements weren’t recognised. Groups shared their experiences of the personal sense of achievement when taking a new route, or travelling further than they had before.

PEER INFLUENCE

Young people agreed that although cycling was something that the majority of young people could do, it seemed like a niche group got involved in their areas and it was something that they had or would have had to actively ‘get involved with’. One of the biggest prompts that gets a young person into cycling was if they have a peer group with an active interest.

Peer approval was raised, for example respect for your skill at skating/mountain biking. Negative impacts were also shared such as peer pressure and bullying if you take part in a different discipline or don’t get on with the groups stereotype, **“peer pressure stopped me scootering”**.

The groups felt there can be a lack of respect and even abuse from non-cyclists, such as drivers on the roads and pedestrians with dogs. Speaking about the stereotyped interaction between a cyclist and a driver, it was apparent that cyclists expected the abuse and drivers expected to get a reaction out of the cyclist which they described as not positive.

The Bike Punks youth group spoke about mixing between interest groups, i.e. Mountain Bikers, BMX bikers, skaters, scooters work but each discipline has their own stereotypes. These stereotypes can be a barrier with one group sharing not wanting to hang about with skaters as they were known to ‘smoke weed’.

Participants shared that video role models like Danny MacAskill do a lot to inspire young people to get into cycling. More accessible role models like Sir Chris Hoy and Sir Bradley Wiggins were mentioned but there was more interest in the more extreme sports personalities than track or road cycling.

Friends and family are seen as motivation for getting into cycling and it helps that in some schools there is a teacher actively promoting/advocating active travel and groups suggested that having cycling as an option for PE would be beneficial. Larbert High already has this with a ‘Pump Track’ on the school grounds.

QUALITY OF ROUTES

All four groups stated that smooth and clear paths were very important for easy cycling, skating, skateboarding or scootering. The path of choice was 'the black one with the white chips in it' as they were deemed as the best.

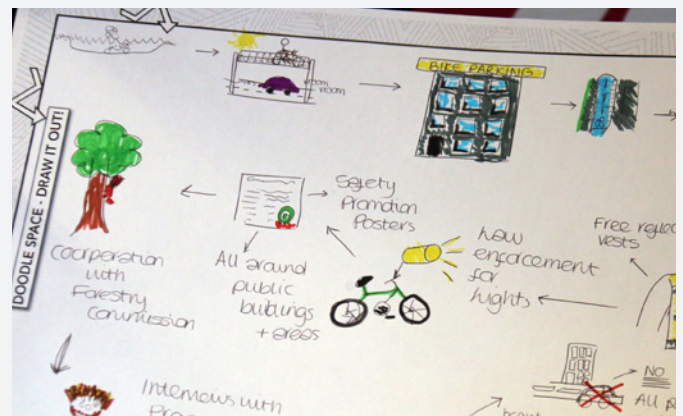
Two of the groups went outside to explore their local area and major barriers highlighted from these walkabouts included poor path maintenance with rubbish, broken bottles, potholes visible and a lack of signposting. From here they spoke about how a community can report issues with pot damage, vandalism and any obstructions and suggested making council apps more accessible to young people and the active travel community.

The Vennie participants shared, **"In Livingston you can get around without needing to cross a road"** and expressed how useful the underpasses were. They had an issue with the state of the paths, finding that there was also a lack of lighting and areas of overgrowth which reduced their visibility making the experience nerve-wracking.

The avid cyclists discussed how different styles of cycle path would encourage different types of cyclists and as young people they would be more interested in a mountain style terrain than a commuter road. They described this as 'the difference between extreme cycling and going for a cycle'. Common issues mentioned were narrow cycle paths, and ones where pedestrians or motorists were likely to use the path as well.

THIS TOPIC WAS THE MOST POPULAR AT THE IDEAS GATHERING WITH THREE OF THE SIX IDEAS PRESENTED IN THIS AREA:

1. The young people focused on safety, not only going round corners where they suggested the implementation of mirrors or warning/slow down signs, but also through encouraging cyclists to have lights on at all times and making using a bells when approaching blind corners mandatory.
2. To keep paths clear they wanted to see our behavior change to take better care of the local area, this would make cycling safer and more enjoyable. They highlighted that if the area was clean then people would be less likely to do more damage and were conscious that the local authorities would need to be involved to get an area to an initial high standard.
3. One pitch suggested that lighting was important to make young people feel safe on off road paths, they wanted to see more novel approaches to this by making the lighting blend in with the surroundings either through hanging in natural features or making the path itself glow using either cat's eyes, solar lights or luminous paints.



LOCAL CONNECTIONS

The groups were asked to think about common places they would go to and to think about the journey there on a bike. The most common places young people wanted to go using active travel routes included: their schools, sports centres, local hangout spots as well as further afield - generally their closest city.

For cross location travel, the Larbert group shared the value of easy routes to popular destinations like the Kelpies, Falkirk wheel and the canal paths where they can go all the way to Edinburgh or Glasgow.

One of the groups shared that a lack of washing/shower facilities at destinations could be a real deterrent as cycling fast, off road or in the rain would mean spending the day sweaty or wet.

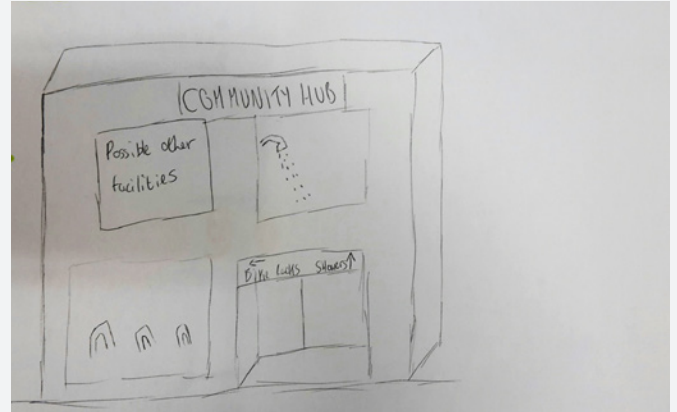
Larbert outlined Stirling as a place they would be keen to see joined to Scotland's cycle network. They printed out a map of the network and were able to show that there was no way for them to get there without cycling on busy narrow roads.

The Bike Punks from Peebles spoke of the big mountain bike track at Glentress which was well outside their local area and which they would love to be able to cycle all the way to, safely.

The Vennie also discussed linking up with the wider cycle network.



BIKE SECURITY AND STORAGE



All the groups mentioned the fear of having bikes stolen either from bike sheds, locks outside shops or even while riding along themselves. They admitted that a bike was an expensive item and especially the keen cyclists had usually invested highly in their equipment and do not feel comfortable leaving them in places like the school bike shed. From the ideas gathering there was a range of suggestions about new bike locks that could be linked to a phone app so you knew if someone was trying to steal your bike - or an alarm to at least deter a thief keeping your bike safe. Groups also thought about how there could be more places to lock up when cycling around, they thought about the multistory underground bike parks they have in Asia and discussed bright new designs to attract cyclists to local meet-up points.

All participants agreed that better bike security and storage facilities around popular locations such as schools, public transport links and hang out spots were needed in their local area. They also commented on the lack of CCTV in places where cyclists would leave a bike.

From these initial issues the groups worked on a pitched some big ideas some big infrastructure ideas that were current in other countries and could be piloted in Scotland. They thought of mechanical underground storage and community hubs that would include showers, storage and security systems to help make people comfortable to park their bikes there.



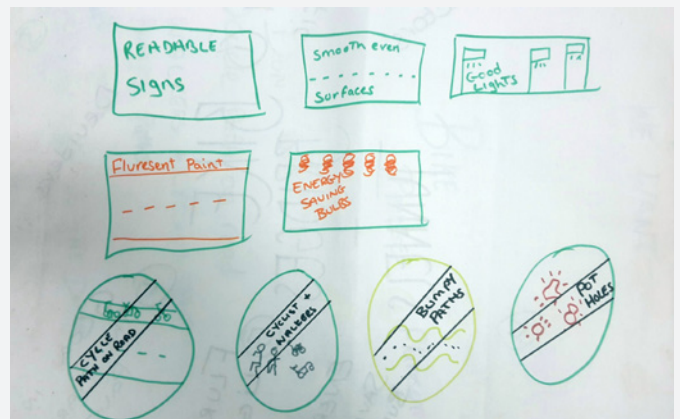
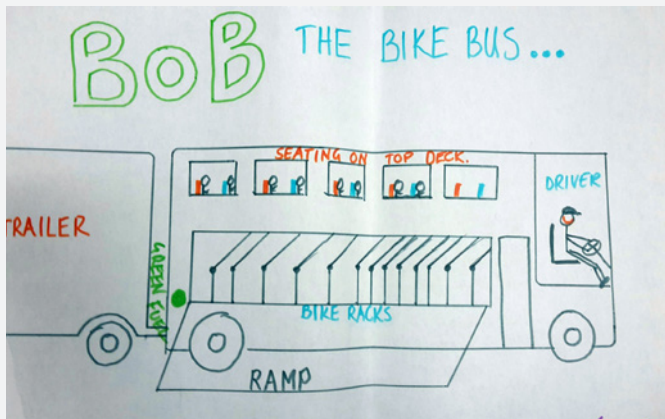
PUBLIC TRANSPORT

There was a lot of negative discussion about buses, particularly how there is not always space for taking a bike on the bus, and in some cases you are not allowed on. The group from Peebles mentioned the bus that takes people to the mountain bike trails won't allow bikes on board. They also shared that many bus stops don't link up with active travel paths. There was a range of other problems with public transport that was outside the remit of this project for example: the cost, frequency of service and the attitudes of staff.

Thinking about the issues with linking up active travel journeys with public transport the young people thought about making quick loading bike buses with racks on the front and back for bikes or space onboard.

They also suggested rural park and ride for bikes so that bikes had shelter and protection at a local station before the rider for onto public transport into the busy village or city where there is less space.

They also thought about where this bus would stop linking up the smaller towns with cities by picking up at specific active travel network stops.



KEY FINDINGS & ACTIONS

It is evident that some of the major insights from young people align with wider views and perceptions of other groups in Scotland, demonstrating that there is an active interest within the younger population to improve active travel opportunities.

The national survey data has been identified as a valuable asset by key stakeholders, to be compared to additional data sets including:

- Hands up survey - Sustrans, Local Authorities & Transport Scotland
- Scottish Household Survey – Scottish Government
- Bike Life Survey – Sustrans

Across all the project activity there have been a range of prominent barriers raised through survey comments, live exploration, discussion, and ideas for improvement.

INFORMATION & KNOWLEDGE

Young people didn't see cycling as a mode of transport. They were keen to be made aware of active travel routes in their area and support services and schemes to get young people into cycling. They felt that in order to become a commuting cyclist there was a certain level of knowledge and skill that they would need to develop over time.

The young people have stressed the need for accessible information on active travel – specifically the time, cost, health and the environmental benefits. They want to see cycling encouraged in schools and as an option in PE. Smart tech and digital services for cycling are made available to young people

SESTRAN RESPONSE:

SEStran are looking to explore these options through their active travel officer posts and will seek to lobby local authorities and work in partnership with other active travel organisations to develop and promote the spread of information.

SOCIAL BARRIERS

For a young person to develop an interest in cycling the biggest factor is having a positive social influence close to them, this could be an advocate in the family, friend, school or in the community. Cycling was described as a niche interest and that there needs to be enjoyment and a social aspect for a young person to develop a sustained interest. Negative social influences were also raised with cycling being seen as 'clique' and bullying based on being part of a group or based on your skill or equipment.

It was apparent that cycling was seen as a physical activity and became something that teenage girls were less likely to do. Young people's social perception of cycling has raised questions around how cycling can be made more accessible and desirable for young people.

SESTRAN RESPONSE:

We need to see stronger support for cycling social clubs or bike schemes in local communities which encourage young people to get involved and push them to experiment with utility cycling as well as the more extreme iterations which younger people tend to be drawn to. We will seek to identify funding opportunities or external support through partners such as Young Scot that will help to educate young people into making cycling more of a natural choice.





COMMON BARRIERS

Across the project it was apparent that young people face many of the same barriers as adults. Ideally young people want there to be safe, available routes away from traffic to encourage regular travel, cycle lanes that are clearly separated from traffic, these routes are well maintained and have decent visibility and there are accessible storage and support facilities for those travelling by bike.

THE FULL JOURNEY

It is clear that the overall capacity for active travel cannot be encouraged by simply improving the routes and commuter corridors. Young people need to understand their options, be encouraged to try cycling, experience the benefits of cycling and be supported to develop their abilities before their decisions to commute would be affected by the quality of our cross regional cycle network.

SESTRAN RESPONSE:

Having suggested a range of improvements to the infrastructure by the young people both Young Scot and SEStran have been looking at potential funding to continue the development of these ideas. We have made applications to potential funding sources in order to create tangible outcomes from the findings of the report, and we will continue to identify relevant funds to enable issues raised to be addressed.

SEStran's Active Travel Strategic Development Officer will be working with LAs to improve cycling infrastructure throughout the region. Making the roads a safer and more cycle-friendly environment and also looking at cycle locker provision at transport interchanges in the region based on these insights.

SESTRAN RESPONSE:

SEStran hopes to continue its partnership working with Young Scot to further address and explore the issues raised in the report. It is important that young people are provided with a platform to enable them to provide meaningful input. Furthermore, SEStran aims to involve young people, through co-design, in the future of the regional transport networks and services.

PARTNERS

THROUGHOUT THIS PROJECT OVER 400 YOUNG PEOPLE HAVE HAD THE CHANCE TO SHARE THEIR VIEWS AND IDEAS, A SMALLER COHORT OF 38 HAVE DEVELOPED IDEAS, EXPERIENCED TEAM WORKING, PUBLIC SPEAKING (SOME FOR THE FIRST TIME) AND HAD THE CHANCE TO WORK ON A LIVE PROJECT. IT HAS EMPOWERED THEM TO BE PROACTIVE AND TO GET INVOLVED WITH A RANGE OF INITIATIVES THAT WILL HELP SHAPE THE FUTURE OF ACTIVE TRAVEL IN SCOTLAND.

BOTH YOUNG SCOT AND SESTRAN WANT TO THANK ALL THOSE WHO HAVE BEEN INVOLVED.

SESTRAN

SEStran is one of seven Regional Transport Partnerships in Scotland, covering eight local authorities, within an area of 3,180sq miles and home to 28% of Scotland's population. There is a huge diversity of transportation issues within the SEStran partnership area, from urban congestion to rural public transport and from ferry ports to airports.

For the purpose of this project the focus has been South East Scotland's cycle networks and how these routes can be more inclusive, accessible and appealing to young people.

YOUNG SCOT

Young Scot is the national youth information and citizenship charity. Young Scot provides young people, aged 11-25, with a mixture of information, opportunities and incentives to help them become confident, informed and active citizens. Through the Co-design service, the team have extensive experience in engaging with Scotland's young people at a local and national level to seek their views, input, collaboration and participation in the development of services they will use.



MODEL 3 SESTRAN PROGRESS REPORT

1. INTRODUCTION

- 1.1** The report provides the Board with an update on the progress with “Model 3” discussions undertaken by Partnership Director and/or Secretary since the September Board meeting and an appended copy of Professor Rye’s report, which will be the subject of a verbal presentation to the Board on 2 December.

2. PROF RYE’S RESEARCH REPORT

- 2.1** The Board at their September 2016 meeting recognised that further discussions could benefit from specific research into the strategic and any specific high-level implications for the SEStran area. Therefore, the SEStran Board agreed to engage Prof Rye for a short piece of research to test at a high-level all potential impacts/risks such a change on the following issues, alongside any further criteria agreed at the Board meeting, for the SEStran area:

- Planning and delivering transport solutions for all modes of transport across the region;
- The short, medium and long-term impacts and benefits of a change to a Model 3 Regional Transport Partnership and within this a high-level analysis of the prioritisation of actions to address current constraints on regional transport outcomes;
- Impact on positive pricing, multi-modal journey integration and economies of scale through regional travel planning, procurement and asset management;
- Improved cross-regional mobility for regional labour, training and employability;
- Improved community connectivity where there are no commercial services presently or services are under pressure;
- Provision of transport for people with disabilities and intersectionality across groups; and
- Contribution to the health, employability and welfare reform agendas.

- 2.2** In the context of Scotland’s Economic Strategy and its policy framework for Inclusive Growth the SESTRAN Board also requested that any research also considered the impact of a model three RTP on the multidimensionality of Inclusive Growth in the South East of Scotland. This could lead to the inclusion of well-being, equality of opportunity/social mobility, participation, economic geography and environmental sustainability assessment criteria. The impact of a PTA/RTP on wealth and inequality alongside potential innovation benefits and infrastructure/enterprise benefits for the South East of Scotland. There could be a particular impact on the labour market, long-term enterprise trends, accessibility to more and better quality jobs and ensuring that all

have the opportunity to contribute to all sectors of the economy.

2.3 At the SEStran September Board meeting, there were also requests from Board members for the following issues to be investigated by Professor Rye, albeit with a recognition that they couldn't be fully scoped within the present research timescales and funding:

- Scale of full funding for concessionary fares: comparisons between England and Scotland levels of Bus Service Operator Grants (BSOG) levels;
- The potential impact of further regulation on outcomes;
- A request for a commentary on whether a larger organisation has resilience benefits alongside the issues of political priority and purpose;
- Comparison of SEStran to other PTAs in Europe and UK;
- Examples of road network and maintenance powers exercised by other PTAs.
- A request for a summary of the main forms of Governance of PTAs in terms of committee structure and proportions of political and non-executive representation.
- What the relationship would be between Transport for Edinburgh and SEStran;
- The relationship between strategic Land-Use and Transport Planning;
- Benefits to Falkirk and Clackmannanshire of joining a City Deal PTA, and the potential impact on Stirling as a neighbouring authority given Clackmannanshire's joint public transport unit with Stirling.

2.4 Prof Rye's research was finalised on 24 November and is attached as a separate appendix and there will also be a verbal presentation by Prof Rye at the 2 December SESTRAN board meeting of his findings.

3. Model 3 Order Consultative Process

3.1 The SESTRAN Partnership Director and Secretary met with Transport Scotland on the 6th October to seek guidance on the details of the "form", as detailed in Section 10 (4) of the Transport (Scotland) Act 2005 "the Act", of any request for Scottish Ministers to support an Order (3 month statutory instrument laid in Parliament and assumed to be negative) SEStran moving from a Model 1 to a Model 3 RTP. The response from Transport Scotland officials was that the request could be in the form of a letter with an associated annex outlining in clear legal terms the specific of the requests for a wholly or concurrently transfer of functions. This would then form the basis for support from Ministers, as the process of change is not based on consent of Ministers but of Parliament.

3.2 Transport Scotland officials were on initial reflection minded to view the 2005 guidance¹ as primarily a time specific piece of guidance focussed on the setting up of the authorities and that a majority of the guidance is "non-binding" given it's about having regard. Therefore, the absence of an explicit statement of intent of moving to a Model 3 authority within the

¹ <http://www.gov.scot/Publications/2006/03/06145237/0>

current Regional Transport Strategy is not a constraint on pursuing such a move. It would require justification narratively and strategically in any letter to Scottish Ministers. This is not currently a completely considered view and officials undertook to provide further clarification, ahead of a further meeting scheduled for 5 December to discuss the outcome of the 2 December Board meeting.

3.3 Section 10 (4) of the Act outlines the main functions which may be subject of such an Order albeit this is not an exclusive list:

- Part 2² of the Transport (Scotland) Act (bus services) and Part 3³ of that Act (road-user charging)
- Management or Maintenance of a bridge;
- Section 1 to 4⁴ of the Road Traffic Regulation Act 1984 (c.27) (traffic regulation orders) and local traffic authorities by section 19⁵ of that Act (regulation of use of roads by public service vehicles);
- Sections 63⁶ and 64⁷ of the Transport Act 1985 (c.67) (securing the provision of passenger transport and related consultation and publicity)

3.4 The Act outlines as examples some of the functions which may be the subject of an order under Section 10 (4): entering into quality partnership schemes; entering into quality contract schemes; entering into ticketing arrangements and ticketing schemes; providing information about bus services; installing bus lanes; providing subsidised bus services; making and implementing road user charging schemes; operating ferry services; managing tolled bridges; operating airports and air services; and entering into public service contracts.

3.5 Chapter 2 Transport Functions: Further Provisions, Section 14 of the Act also provides for arrangement for performance by RTPs of certain transport functions etc., albeit this part of the Act does not provide an exhaustive definition of statutory functions relating to “transport” and given SESTRAN Chief Officers request at the August meeting for a discussion on the potential for collaborations around the Audit Scotland proposals for wider network maintenance/management and other transportation functions this may allow scope for consideration of wider “network management” functions. SESTRAN Chief Officers discussed on 27 October whether as part of a move towards a Model 3 partnership SEStran should be considering other functions as part of an Order request to Scottish Ministers and considered that those functions outlined in paragraphs 3.4-3.5 should be the basis of the initial proposal to the Board for agreement and subsequent formal consultation with constituent councils.

3.6 The Secretary also sought clarification of the requirements of Section 10 (6) of the Act regarding consultation with constituent councils around the proposed contents of the request to Scottish Ministers to support an order

² <http://www.legislation.gov.uk/asp/2001/2/part/2>

³ <http://www.legislation.gov.uk/asp/2001/2/part/3>

⁴ <http://www.legislation.gov.uk/ukpga/1984/27/part/1/crossheading/outside-greater-london>

⁵ <http://www.legislation.gov.uk/ukpga/1984/27/section/19>

⁶ <http://www.legislation.gov.uk/ukpga/1985/67/section/63>

⁷ <http://www.legislation.gov.uk/ukpga/1985/67/section/64>

transferring wholly or concurrently a function. The Secretary was clear in his view that any “consultation” needed to be clear and distinct from the SEStran meeting, committee or board process and needed to be direct with each council rather than through the mutual engagement with the regional transport partnership. This would be the first stage of formal consultation on SEStran moving to a Model 3.

- 3.7** Transport Scotland officials did highlight that any order supported by Scottish Ministers would be before making an Order and it passing through Parliament, requiring a 3 month public consultation on the proposals. This would be the second stage of consultation, after a decision by the Partnership at a future Board meeting to progress after Stage 1 consultation with the process of making SEStran a Model 3 RTP.
- 3.8** The current proposed timescale for this consultation, is between the December 2nd board meeting and either a special board meeting which could be scheduled January/February 2017 or the 4 March 2017 Board meeting if a decision is required prior to the 2017 Local Government elections to form part of the Edinburgh Region City Deal.
- 3.9** This would then enable a request to support an order to be made to Scottish Ministers prior to them launching the review of transport governance (Recommendation 21 of the Independent Review of Planning) as part of National Transport Strategy 2 consultation in early 2017. However, this timescale will be depend upon further opinion on the relevant committee within each constituent council which is required to be consulted upon the proposal for the transfer of functions, wholly or concurrently, to SEStran prior to a formal submission to Scottish Ministers seeking their support for an Order.
- 3.10** A paper has been tabled to the Edinburgh Region City Deal Chief Executive’s meeting on 15th November and Chief Executives of 6 out of the 8 councils had a good discussion about SESTRAN Model 3 proposal. Currently they wish the PTA proposal to remain as part of the city deal process and the achievement of it is seen as highly relevant to the objectives around inclusion, reduce welfare dependency and increase employability especially within areas of deprivation and close to other City Deal intervention/investment projects. Chief Executives were sighted on the issues of other councils and engagement, and the need for clarity of consultation process post December Board. Further correspondence has been undertaken with the Chief Executives of Clackmannanshire and Falkirk councils in November.
- 3.11** In conclusion, It is for the members as SEStran, acting in its best interests, to decide whether to proceed with a request for an order under section 10. Should the matter not be unanimous, then only councillor members can participate in a vote on the matter.

4. RECOMMENDATION

- 4.1** The Board are invited to:
- Receive a presentation from Professor Rye and comment upon his final report on Passenger Transport Authorities;

- Agree that all 8 constituent councils should be formally consulted on the proposal for SESTRAN to change to a “Model 3” authority by means of an order under section 10 of the Transport (Scotland) Act 2005, (“the Act”) and, specifically, in terms of section 10(6), what the order might do;
- Consider the functions which they would wish to see wholly or concurrently exercised by SEStran as a Model 3 authority as detailed within the report, officers have suggested functions outlined in paragraphs 3.3-3.4 should be the basis of the consultation order.
- Additionally consult the constituent authorities on possibilities for collaboration or sharing of services under section 14 of the Act around wider network management as outlined within paragraph 3.5. of the report;
- Dependent upon the results of the consultation, to subsequently receive a paper to the 2 March 2017 Board meeting to enable consideration and a decision on the proposal for SESTRAN to move to a Model 3 authority and subsequent request for consent from Scottish Ministers to support an order under section 10.
- Note the Stage 2 consultation process which would be required to change SEStran from a Model 1 to a Model 3 partnership in terms of the Act;
- Agree that Stage 1 of the consultation process should begin after the meeting and that if required a special Board meeting should be convened in early 2017.

George Eckton
Partnership Director
 25th November 2016

Andrew Ferguson
Secretary

Appendix 1 – Professor Tom Rye’s PTA models of organisation for regional transport governance final report

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

**Southeast Scotland Transport
Partnership**
**PTA models of organisation for
regional transport governance**

 Report

 Project No: 67751
November 16

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1. PURPOSE AND STRUCTURE OF THIS REPORT

1.1 Purpose

This report has been produced by the Transport Research Institute, Edinburgh Napier University (TRI) on behalf of SEStran. The main purpose is to provide evidence and expert opinion on the benefits and possible disbenefits for the SEStran area in transitioning to a Model 3 Regional Transport Partnership (RTP), as defined under the 2005 Transport (Scotland) Act. In so doing, it describes the various models of passenger transport authority (PTA) that exist in Britain and elsewhere in Europe, and as far as possible based on evidence, discusses the advantages and disadvantages of each model.

1.2 Report structure

The report first considers what a Model 3 RTP is, and how this differs from SEStran's current statutory basis. It then describes the various other forms of (passenger) transport authority that exist in Scotland and England at present, and a generic model from northwestern countries of continental Europe. (The word "passenger" is in parentheses since a limited number of such bodies also have some powers over roads and/or land use planning.) From this it distills six models of (P)TA which are each described in terms of their responsibilities, finances and governance.

The six models are then discussed in relation to a number of challenges faced with regard to transport by the SEStran region at the present time. The purpose of this section is to consider which models are best placed to deal with these challenges, which were outlined in the client's project specification.

Finally, some specific issues related to the possible make-up of a SEStran Level 3 Partnership are discussed, as is the experience of local authorities in the north east of England that have recently voluntarily moved to a Combined Authority model (effectively, a form of PTA).

2. DIFFERENT FORMS OF (P)TA

2.1 What is a Model 3 Regional Transport Partnership and how does it differ from what SEStran is now?

Regional Transport Partnerships were created by the Transport (Scotland) Act 2005. The RTP elements of this legislation were intended to create an effective regional level of transport governance in Scotland that was perceived by the then government to have been missing since the creation of an entirely unitary district model of transport governance in 1996, and the abolition of the then regional councils. However, rather than move to a single model of regional transport governance, the 2005 Act set up RTPs as "Model 1" partnerships with limited powers; but with the option for Ministers to make orders to turn RTPs into organisations with a wider range of powers ceded from and with the agreement of their constituent local authorities – so called Model 2 and Model 3 partnerships.

The key statutory duty of a Model 1 RTP is to produce a Regional Transport Strategy (RTS). A Model 1 RTP could be granted some powers to run concurrently with local authorities in the region to enable it to implement aspects of the RTS. The example cited in the 2004 Scottish Government consultation paper on RTPs was where the RTP might take powers to implement bus priority measures as part of regional Quality Bus Corridors, but the local authorities also retain road maintenance powers for those same corridors. In the case of SEStran and other Model 1 RTPs, however, they have to date taken on no additional powers or functions that run concurrently with those of their constituent local authorities.

In the 2005 Transport (Scotland) Act the additional functional (as opposed to administrative) duties and powers of a Model 1 RTP are listed as follows:

- Acquiring and disposing of land, including by compulsory purchase, where this is required for the discharge of its duties;
- Promoting or opposing private legislation;
- Participating in community planning; and
- Creating a company.

In addition, the functions that may be taken on by a Model 2 or Model 3 RTP are described as follows in Section 10 of the Transport (Scotland) Act:

“The functions which may be the subject of an order under subsection (1) above may, without prejudice to the generality of that subsection, include any of the following—

- (a) those conferred on local transport authorities by or under Part 2 of the Transport (Scotland) Act 2001 (asp 2) (bus services) and Part 3 of that Act (road user charging);
- (b) those conferred by or under any enactment and which relate to the management and maintenance of a bridge constructed in pursuance of functions conferred by, or by an order made under or confirmed by, any enactment;
- (c) those conferred on traffic authorities by sections 1 to 4 of the Road Traffic Regulation Act 1984 (c.27) (traffic regulation orders) and on local traffic authorities by section 19 of that Act (regulation of use of roads by public service vehicles);
- (d) those conferred on councils by sections 63 and 64 of the Transport Act 1985 (c.67) (securing the provision of passenger transport and related consultation and publicity).

The following are examples of the functions which may be the subject of an order under this section—

- (a) entering into quality partnership schemes;
- (b) entering into quality contract schemes;
- (c) entering into ticketing arrangements and ticketing schemes;
- (d) providing information about bus services;
- (e) installing bus lanes;
- (f) providing subsidised bus services;
- (g) making and implementing road user charging schemes;
- (h) operating ferry services;
- (i) managing tolled bridges;
- (j) operating airports and air services;
- (k) entering into public service contracts.”

Whilst other the granting of other transport functions (e.g. road maintenance, road safety or parking enforcement) are not explicitly prohibited by Section 10, it is clear that the intention of the Act was that Model 2 and Model 3 RTPs would primarily concern themselves with public transport, and road pricing.

Currently in Scotland three Model 3 RTPs exist, SPT in much of the former Strathclyde area, SWESTRANS and ZETTRANS. These latter two RTPs have only one constituent council, respectively Dumfries and Galloway, and Shetland Islands. The functions ceded by these Councils to their RTPs are defined in relevant Statutory Instruments (passed in 2006) and are as follows:

For ZETTRANS and SWESTRANS, the functions transferred wholly to the RTP include those relating to local travel concessionary schemes, making quality partnership and quality contract schemes, ticketing arrangements and ticketing schemes. The function of making traffic regulation orders (TROs) and functions relating to the provision and maintenance of bus shelters are held concurrently by both organisations.

For SPT, all the functions that were previously held by the former PTA and PTE transferred to the new Model 3 RTP, with the exception of rail powers, which moved to the Scottish Government. SPT does not have the functions of making TROs and the other bus shelter related functions of the two other Model 3 RTPs.

It can be seen that the functions actually ceded to these three RTPs are much more limited than the alphabetically numbered list in Section 10 of the Act.

2.2 Capacity of RTPs in Scotland

In the absence of other data the capacity of RTPs is measured here as the number of FTE staff that they employ, and their annual spend on staff. It can be seen that the two Model 3 partnerships do not employ more staff than their Model 1 partnerships, with the exception of SPT, which of course has many staff employed in operational roles in bus stations, on the Clyde ferries, in travel inquiry bureaux and on the Glasgow Underground.

Partnership	Staff numbers
SWESTRANS	Employs no staff directly. Four staff from D&G Council run the partnership.
ZETTRANS	Employs no staff directly. Staff from Shetland Islands Council run the partnership.
Tactran	6
Nestrans	8
SEStran	10
HITRANS	9
SPT	551 people, £22.386 million staff related costs (as of 31/03/2016, taken from SPT 2016 Annual Report). Central support functions cost approximately £2.7 million per year.

2.3 Governance and Finance of RTPs

There is no difference in the Act between the governance arrangements for Level 1 and Level 3 partnerships.

In terms of finance, all RTPs lost all direct Scottish government funding in 2010. They are all dependent on a levy on their constituent local authorities. It is not clear from the limited research that was conducted for this piece of work as to whether the funding available for the functions ceded to ZETTRANS and SWESTRANS increased when they took on those functions, in comparison to the situation when their constituent councils carried out those functions.

In Scotland, RTPs have no responsibility for concessionary fares schemes for older people, nor for the distribution of bus operators' service grant to bus companies: these are exclusively national government functions. SPT runs an integrated ticketing scheme, Zonecard, accepted by all operators of all modes in its area, but this was set up many years ago when SPT was a PTA/E. In addition, RTPs, whether Model 1, 2 or 3 have no responsibility for securing rail services (whereas, prior to 2006, SPT was a signatory to the Scotrail franchise).

2.4 Other forms of passenger transport authority

2.4.1 Passenger Transport Authorities and Executives in England (PTAs and PTEs)

History and current functions

The 1968 Transport Act created Passenger Transport Executives as public transport coordinating and operating bodies in the metropolitan areas of West and South Yorkshire, Greater Manchester, Tyne and Wear, Merseyside and the West Midlands. In the regulated and publicly owned bus system that obtained prior to 1986, these PTEs were the main bus operator in their area, set service levels, subsidised fares and secured additional local rail services from the publicly owned operator, British Rail. They owned and operated bus stations, bus depots, and other transport infrastructure such as ferries, the Glasgow Underground and the Tyne and Wear Metro. They also promoted the construction of new transport infrastructure such as the Tyne and Wear Metro and many new railway stations.

From 1974, when metropolitan counties were created in England and regions in Scotland, the PTEs became accountable to and in part funded by their respective county or regional council. When the counties were abolished in England in 1986, the PTEs became accountable to and part-funded by a Passenger Transport Authority made up of elected members from their constituent district councils. At the same time they gradually stopped being bus operators (as their bus companies were subject to management buyouts) and could no longer specify bus services or fares in their areas due to bus deregulation under the 1985 Transport Act. They remained responsible for public transport coordination and securing socially necessary bus services, continued to run all operator integrated ticketing schemes, and continued to promote schemes such as Manchester Metrolink and Sheffield Supertram. From 2006 onwards they became the coordinating bodies for local transport strategy in their area in the English Local Transport Plan regime, a role that became statutory under the 2008 Local Transport Act in England. Also in 2006 all PTEs except for the one in Merseyside lost the role in assisting in specifying their

local rail franchise that they had had since 1993; although they still receive subsidy from DfT to pass on to rail operators running local rail franchises in their areas.

The Local Transport Act was also very important in creating the successor to PTAs, called Integrated Transport Authorities (ITAs). These ITAs could in theory take on more functions from their constituent local authorities, in the same way as RTPs are able to, subject to the agreement of those local authorities, and could also include more local authorities from beyond the original PTA/E boundary. In practice, none did so. In the 2009 Local Democracy Act (as amended by the Cities and Local Government Devolution Act 2016) the ITAs were themselves superseded by Combined Authorities (CAs) and in some cases the separate PTEs were subsumed into the CAs. Compared to the PTAs that existed before 2008, CAs:

- Cover a bigger area (e.g. West Yorkshire CA includes the City of York, which was never part of the ITA or PTA before it).
- Can take on additional functions from Unitary District Councils such as highways (roads) functions – although as yet this has been limited only to a few powers in Greater Manchester.
- Advise on the specification of relevant rail franchises – although the statutory role remains exclusively that of DfT and ORR.
- **In future** they **may** have bus regulation powers over and above those in the 2000 Transport Act and the 2008 Local Transport Act (both pieces of legislation cover England and Wales only).
- Have some responsibilities and competence in the areas of economic development and training. The legislation that enables CAs to be set up is very broad in the scope of functions that could move to a CA, and they could move from either national or local government, but they are to be stipulated in the order setting up each CA.

CAs have led on the development of City Deal equivalents in England for their regions. They have been instrumental in securing additional transport infrastructure funding and permission to borrow; for example, in the case of Greater Manchester, some £1.5 billion over 10 years.

Since the creation of the national concessionary minimum fares entitlement in England in 2006, PTEs have been responsible for operating the concessionary fares scheme for bus in their area, for which they receive grant from central government. If this grant does not cover their expenditure on the nationally determined entitlement, they must make savings in other areas in order to continue to deliver free concessionary travel on bus. They are not responsible for the distribution of BSOG (bus service operator's grant, formerly known as fuel duty rebate).

Capacity

PTEs and their descendants in England have much greater organisational capacity in relation to public transport than the county and unitary councils in other areas. The reasons for this are primarily historical: set up as new organisations in 1968 with a specific remit to improve (socially necessary) public transport in their area, they were resourced accordingly. This level has been eroded over the years due to reductions in government spending but it remains greater than in non-CA areas.

Governance

The legislation for Combined Authorities does not stipulate precisely their governance, other than that they must be run by board composed of at least one elected politician from each of the constituent local authorities. In practice, the CAs now in existence have one to two members from each constituent local authority (in West Yorkshire, for example, there are 9 elected members from 6 councils), and a representative of the Local Enterprise Partnership as a non-voting member. Votes are not weighted by population and in the event of a tie a vote is deemed not to have passed. In the future some CAs will have an elected Mayor.

Finance

In the main at present CAs receive funding directly from national government, related to their former role as PTAs and PTEs. They also place a levy on their constituent local authorities. Transport capital investment comes from national government but it must compete with other training and economic development spending priorities – transport infrastructure funding previously allocated under the Local Transport Plan regime is no longer ring-fenced to transport. Mayors of CAs will have powers to increase council tax by up to 2 percentage points (if this is specified in the order establishing his/her CA).

2.4.2 Transport for Greater Manchester

This organisation is the transport arm of the Greater Manchester Combined Authority. As well as the public transport functions of the former ITA and PTE (similar to those of other CAs as described in the previous section), TfGM incorporates other transport functions, primarily related to data, modelling and performance monitoring of the regional and local road network. It also manages traffic signals across Greater Manchester, delivers some road safety activities, provides travel information for road users, and coordinates road works. Many of these functions transferred from joint units (funded by the 10 GM local authorities) that existed before TfGM was created, that were themselves created after the abolition of the former Greater Manchester County Council in 1986 in recognition of the value of and economies of scale achievable from a conurbation-wide approach to the provision of these services. Finally, TfGM owns the Metrolink light rail system, which is operated by a contractor, currently Transdev.

TfGM is governed by a committee of the Combined Authority, made up of 33 councillors from the 10 Manchester districts. Certain key decisions, primarily related to finance, are referred up to the CA governing board.

The scale of funding available to TfGM is significantly greater than for the transport arms of other Combined Authorities. This is primarily because Greater Manchester secured with the previous Chancellor of the Exchequer agreement for the Greater Manchester Transport Fund. This released additional funding from central government, and permissions to borrow, for investment in transport projects that are intended to increase regional gross value added (GVA) more than it would have increased in the absence of these projects. The total value of the fund is around £1.5 billion at 2012 prices, over ten years. The borrowing is to be repaid from an additional Council tax levy and from Metrolink fares surpluses. The investments cover mainly extensions to the Metrolink network, public transport interchanges, new bus links, a busway and some limited road construction.

The revenue budget for TfGM is outlined in Figure 1, below.

How money is spent	2011/2012
Support for concessionary travel	£66.4m
— Concessionary support is the money we pay to all operators, including bus, rail and Metrolink, to compensate them for the income they lose in providing free or reduced fares for those entitled to concessionary travel. In 2011/2012, we spent £66.4 million on concessionary support.	
Supported bus services	£31.2m
— We provide bus services when it is not considered economically viable for operators to provide commercial services, and if there is a need for communities to have access to jobs, health and education. We do this by designing and subsidising bus services to fill gaps in commercial operators' services. We also subsidise demand-responsive transport services (branded "Local Link") using community transport operators or taxi companies. We also provide dedicated school services throughout Greater Manchester for young people.	
Accessible transport	£6.1m
— Not everyone in Greater Manchester can use conventional public transport services so TfGM invests in services such as Ring and Ride which help to get more people to where they need to go. The expenditure also includes additional grants for travel training and a travel voucher scheme.	
Passenger facilities, services and support	£38.5m
— We use this money for a range of services to help passengers, such as the provision of passenger information, the operation and maintenance of bus stations, safety and security, Travelshops and bus shelters. It also covers activities such as consultations and support costs for TfGM Committee and since April 2011 has included traffic signal maintenance.	
Rail grant	£82.0m
— This money is given to us by the Department for Transport. We then pass on these funds to Northern Rail, the main rail franchise operator in Greater Manchester, and keep a small amount to support our activities in promoting and monitoring train services in the area.	
New responsibilities	£1.4m
— The change to TfGM in April 2011 meant new functions were added to the role of the organisation and which needed to be funded. The specialist teams which performed these tasks as parts of other public bodies are now part of the TfGM organisation.	
Financing	£57.0m
— This is the cost of investment in major transport capital programmes for Greater Manchester, such as Metrolink and the other schemes included in the Greater Manchester Transport Fund. This includes the cost of borrowing repayments and interest.	
	£282.6m

Figure 1 – revenue spending by TfGM, 2011/12 (from TfGM Annual Report 2011/12)

2.4.3 Transport for London (TfL)

TfL was set up under the 1999 Greater London Act, which also created the elected body, the Greater London Authority (GLA), of which TfL is the transport executive arm. TfL brought together the former London Transport and the Office of the Traffic

Director for London which prior to the creation of the GLA were accountable to boards appointed by the Department for Transport. TfL is responsible for all aspects of highway management and development on London's strategic road network, for the underground, for buses, for light rail and for rail services operating wholly within Greater London. It directly owns and operates the underground, whilst other public transport services are operated by private companies under contract to TfL in a regulated environment in which TfL sets fares and services, both routes and frequencies.

TfL is accountable to a board appointed by the Mayor of London and it takes its strategic direction from the Mayor's Transport Strategy, a document prepared by the GLA. The GLA also has a strategic land use planning function, meaning that there is some institutional alignment between strategic land use and transport planning. The Mayor governs the GLA with its nine elected members acting as a scrutiny body, although also one that approves the Mayor's budget.

The GLA receives government grant for its operations and permission to borrow for its investments. In addition the Mayor levies an additional Council tax.

For 2016/17 TfL's total turnover is budgeted to be around £10.4 billion. Some £4.8 billion of this is planned to come from fares (46%). Of the balance:

- £1.4 billion will come from government grant (for capital and operations);
- £1 billion will come from local business rates (including some £159 million from incremental business rates from a specific enterprise zone used to part-finance an extension of the northern Line into that zone) and council tax;
- £2.1 billion will come from borrowing and cash reserves; and
- Around £900 million will come from property, advertising and congestion charge income.

The grant, business rate and council tax income equates to about £300 per head, given a Greater London population of 8 million (compared to £72 per head in Greater Manchester, although bear in mind that TfGM has no roads functions). The direct government grant for general operations (£447 million) is due to be phased out over the next 2-3 years and due to this TfL is aiming to be self-financing in its operations by 2019. Nonetheless, its funding from tax will remain high in relation to other public sector public transport bodies in Britain. (Source of all financial data: TfL Annual Report and accounts 2016.)

2.4.4 Continental northern European PTAs

In countries such as Denmark, Netherlands, Sweden, Norway, France and Germany it is typical to have a form of regional passenger transport authority. These vary as follows:

- Some report to directly elected regional councils whilst others are accountable to a board made up of elected members from constituent districts and cities.
- Some are funded by direct government grant, whilst others receive funding from regional taxation, and others from a levy on constituent authorities.
- Some are responsible for bus, tram and rail, whilst others cover only bus and tram.

The important commonality is that there is a public sector regional public transport body that runs public transport in its region either by awarding competitively tendered contracts to private operators to run public transport services or by a directly awarded concession. This body sets fares, routes and frequencies, is responsible for (integrated) ticketing, and coordinates services and carries out marketing. This body is in some way politically accountable and it receives a portion of its operating costs from taxation, and the rest from fares. Since none of these countries ever previously deregulated their local or regional public transport services, these regional public transport bodies have developed from an earlier public sector model – typically ownership and direct operation of local public transport by individual local authorities.

An example of such a body for which financial information is readily available is the PTA in the Skåne region of southwest Sweden. The PTA is part of Region Skåne which is a directly elected regional council. It sets public transport policy and finance. Planning, tendering, ticketing and marketing of local and regional buses and regional trains is carried out by its 100% owned executive arm, Skånetrafiken, which also owns the rail depots and trains needed to run regional rail services. Services are provided by private operators running under gross cost contracts to Skånetrafiken. Some 1.25 million people live in Skåne and around 152 million public transport trips per year are made. A monthly all modes season ticket costs around £120. Operations are subsidised at an annual cost of £177 million (2013, cash prices, 10.5SEK=£1 (excluding annualized capital costs of rail depots)). This subsidy amounts to £1.16 per trip across bus and rail combined. (Source: Region Skåne, 2015.)

3. CURRENT CHALLENGES AND HOW DIFFERENT PTA MODELS COULD ADDRESS THEM

3.1 Introduction and caveat

The client has asked how well different models of PTA, and specifically a Model 3 Regional Transport Partnership, are equipped to deal with current challenges and to deliver outcomes that are important for its constituent authorities and relevant to the planned City Deal. In this section, each of the five models of PTA described in the previous section of the report is evaluated in relation to the challenges specified by the client. The wording of this challenges as set out in the brief for this report is reproduced in the subheadings of the report's following sections.

The evaluation here is based on the form and organisational capacity of each of these 5 models of PTA currently in existence. This is an important point: it should not be assumed that a *new* Model 3 RTP in the SEStran area (or other model of PTA, should new legislation permit this) will necessarily have the same organisational capacity as PTAs of the same model that currently exist. This is because, as pointed out earlier, much of the capacity of existing forms of PTA results from their history. However, since it is outwith the scope of this report to try to predict the capacity of a new PTA of a given type, this report has to take the capacity of existing PTAs of each type as its starting point. This issue should be borne in mind when interpreting the results.

3.2 Planning and delivering transport solutions for all modes of transport across the region

The ability of an organisation to deliver “transport solutions” depends on its functions, finance and capacity. A limited number of transport solutions thought by the authors to be of particular interest to this study are listed in the following table, together with the numbers of each solution delivered in different areas of Britain in the since 2000, and showing the number delivered in Model 3 RTP or CA areas. Given the scope of the study and in view of data availability, the list of transport solutions covers only public transport. The table excludes London because of its high level of public finance and very different powers but includes Scotland and Wales.

Table 1 – Transport solutions and where they have been delivered

Transport solution	Number delivered since 2000 (of those, number in CA or Model 3 RTP areas)
New tram and light rail lines (including extensions of existing networks)	11 (7)
New busways of any length	11 (6)
Railway lines reopened to passengers	12 (4)
New railway stations	58 (12)
Statutory quality bus partnerships	6 (1)
Multi-operator ticketing	Many urbanised counties/unitaries in England (7)
Public sector control of bus routes, fares and frequencies through franchising	0

It can be seen that in cases relating to new busways, light rail and quality partnerships, the CAs have been most active. However, rail is a rather different story, with the majority of new stations and railway lines (re-)opening in non-CA areas, particularly since 2005, when CAs lost their direct rail powers. Scotland and Wales have predominated in the new railway line and station statistics since then, reflecting the greater powers acquired by their national administrations over rail in 2005. In addition only one area, a CA, Tyne and Wear, made an attempt in 2015 to get formal permission from central government to move to a franchised system for its bus network, but its application was refused. In contrast, the TfL area and continental PTAs have this power.

In relation to multi-operator ticketing, the Local Transport Act (2008) in England and Wales marked a major change as it allowed operators to collaborate on delivering ticketing without fear of breaking competition law. Since then, a large number of multi-operator ticketing schemes have developed in English areas outside the CA areas. Prior to 2008, other than the CA (then PTE) areas there were very few such schemes. Those within CA areas are multi-modal whereas outside CA areas they are limited mostly to bus; and the market share for these tickets is higher in CA areas, with Tyne and Wear's multi-modal multi-operator ticket used by around 10% of passengers. However, in no case in any area is the multi-operator ticket cheaper than a comparable single-operator product.

In the TfL and continental PTA areas, multi-modal ticketing does not distinguish between operators – fares are the same regardless of operator used and are usually based on the number of fare zones travelled through. (London makes a distinction between fares for rail/underground and bus travel; other areas usually do not.) In northern continental Europe, period passes generally offer far better value for money than single tickets; an adult monthly pass for all modes in Skåne, SW Sweden, costs around £120, whilst an annual all modes (tram, metro, train and bus) pass for the Munich metropolitan region costs €795.

It is not possible to be definitive about the reasons why CA areas deliver more in some areas but it is likely a combination of greater capacity, some additional finance, and the fact that they speak to national government on behalf of a very large number of people in each region, in comparison to most unitary authorities outside CA areas. (This has particularly been the case in Greater Manchester.) It is also clear that changes in national legislation relating to rail and to ticketing have influenced CAs' ability to deliver in comparison to non-CA areas. The ability of TfL and continental models to deliver is because they have similar organisational capacity but in addition they contract operators to run their services in a regulated environment, and the PTA retains the fares revenue which it can use to cross-subsidise from more profitable to unprofitable routes.

3.2.1 Economies of scale in delivery and Resilience

An argument for delivering transport services at a regional rather than local level is the potential to achieve economies of scale – more or the same service delivered with less financial input. The workforce size of each of the English CAs, including their transport arms, and their salary bills, are shown in the table below (sourced from the annual report and accounts of each organisation). These data may not be 100% accurate because of the definition of which staff work for which organisation, but they provide an order of magnitude impression and should be compared with the

data in Table 1 regarding the number of staff employed in the Scottish RTPs. Of course, the majority of the CAs below employ relatively large numbers of staff involved in operations such as Tyne and Wear Metro (which employs 330 of the staff at Nexus). Nonetheless, a relatively large number of staff are employed in strategy and planning roles also.

Table 2: Staff costs and numbers at English CAs and PTEs or equivalent

Authority	Salary bill 2015/16 (£000's)	Total employees
WYCA including former WYPTE	11,740	454
Nexus (Tyne and Wear PTE)	27,775	597
South Yorkshire (SCRCA) including SYPTE	5,477	230
Merseyside CA (LCRCA) including former Merseyside PTE	22,511	819
West Midlands CA and former PTE	14,002	341
Transport for Greater Manchester	24,023	707

In terms of staff employed to plan and procure tendered bus services compared to the budget spent, it is helpful to compare Nexus (Tyne and Wear PTE) with SEStran. In five authorities in the SEStran area, CEC, Fife, Falkirk, SBC and Midlothian, some 12 staff are employed to work solely or partly on this task. In total they allocate a budget of some £9.93 million (2016/17) although it should be noted that this is dominated by Fife, with £5.5 million. At Nexus some 12 staff are employed to work solely or partly on the same task and to manage a budget of £7.9 million. Obviously these are only two examples and a more thorough analysis would have to be undertaken to draw full conclusions about the economies of scale or otherwise arising from the two governance models.

In addition to the resilience aspects, one further advantage of concentrating the staff responsible for this function within one organisation in a region is, as organisations lose staff in funding cutbacks, to retain some level of knowledge and specialisation in this function within the organisation. Where only one member of staff in an organisation is responsible for the function, if they are lost, their knowledge and skills are lost to the organisation. With respect to the function of tendering bus services, this loss of organisational knowledge is less likely to happen in Nexus than it is in a small unitary authority.

3.3 Positive pricing and fares integration

Fares integration in terms of multi-operator multi-modal ticketing was discussed in the previous section. The term “positive pricing” is taken to mean, for example, limits to fares increases, or fares set in relation to affordability, or to their comparability with motoring costs. With respect to bus fares, the only powers that any public authorities in Britain outside London have over the fares set by operators on commercial services are contained in the 2008 Local Transport Act (England and Wales only). This permits a statutory quality bus partnership to include stipulations on maximum fares. To the author’s knowledge, the only QBP to do this are in the

Bristol Bath and Northeast Somerset area, an area with exceptionally high fares – for example, £5 single to travel 15km.

In areas such as SWESTRANS and ZETTRANS, where there are few or no commercial services, then the Model 3 partnership has a big influence over fares levels as it procures the vast majority of bus services in its area, for which it sets fares. Elsewhere, where subsidised tendered services form a small proportion of a much larger network, the tendering authorities must set fares on their subsidised services that are broadly in line with those on commercial services in the same area (i.e. they are not permitted by the 1985 Transport Act to “undercut” commercial fares). Where CAs are owners and/or operators of metros and light rail, as in the West Midlands, Manchester and Tyne and Wear, they have direct control of the fares on these services.

As noted above, TfL and continental European PTAs **do** set fares in their specific regulatory environments. Politically they are able to make the choice as to the proportion of public transport operating cost that comes from fares, and the proportion from tax. It is notable that over the past 10 years public transport fares in Norway, for example, have broadly mirrored changes in motoring costs, whilst those in Britain on both bus and rail have increased much faster. This has been achieved without significant increases in subsidies due to increases in efficiency driving down operating cost; however, now these efficiencies have been achieved, it may not be possible to keep down fares without additional subsidy.

3.3.1 Positive pricing for certain groups of travellers

People of retirement age

People of state retirement age and over, and disabled people, receive a national minimum concessionary bus fare of free travel on local bus services in England. They cannot travel in the morning peak on weekdays but otherwise travel is unlimited. In Scotland, the entitlement is more generous, as it starts at aged 60 and has no time restrictions. There is some evidence that the free concession has increased social inclusion for the poorest pensioners (e.g. Rye and Mykura 2006) and led wealthier pensioners to drive less.

CAs in England negotiate their own agreements with operators on reimbursement for the concessionary scheme in their area. They receive money from government to pay the reimbursement. However this often does not fully cover the cost of the scheme (due to its popularity, and its open-ended nature) such that the CA must either change the reimbursement mechanism to pay less to the operators, or it must take finances from other functions. The former mechanism can backfire since operators may respond by cutting services. In Scotland, the concessionary fares scheme is national and operators are reimbursed by Transport Scotland.

Unemployed people

Jobseekers across Britain are eligible for the JobSeeker plus card and major bus operators give a 50% discount on their fares with this card.

However, in addition, most CAs operate schemes providing jobseekers with free bus (and where available metro/tram) travel to interviews, plus a month’s free travel

once a job has been secured, so that people can afford to travel to work before their first pay packet comes in. This scheme was nationwide for a period around 2013 for anyone with a JobSeeker plus card, but has since been scaled back. The only area that appears to operate it currently that is **not** a CA is the City of Nottingham. Between 2003 and 2014 this scheme is estimated to have helped 13,000 jobseekers back into work in the West Midlands alone (source: Centro, 2014). Another evaluation in one part of the West Midlands found that over 80% of those who used the scheme would have found it extremely difficult to access job opportunities without the scheme (Urban Transport Group, 2015).

3.4 Improved cross-regional mobility for regional labour, training and employability; and improved community connectivity

In Britain outside London the primary power that CAs, Model 3 RTPs and local authorities all share in regard to these outcomes is the ability to secure “socially necessary” services under subsidised contracts with bus operators, to run services in places and/at times where there are no commercially provided routes. For example, in the West Midlands (personal communication, October 2016):

Subsidised bus services – a range of tendered ‘socially necessary’ bus services provided by Transport for the West Midlands (TfWM) under successive Transport Act duties – top-up the commercial network at certain times/places, and add around 11% more bus kilometres to the network.

TfWM assesses local needs for tendered services, using Accessibility Planning techniques for large changes to the network, and also ensuring a maximum 400m walk from urban households to their nearest bus stop. Tendered service needs are also prioritised on journey purpose – with work and school journeys given highest priority, all subject to a minimum level of demand, and value for money (cost/demand) test.

Operating tendered services cost £7.4M in 2015/16, a small reduction from the previous year, reflecting continued pressure on funding. The funds purchased 11.8m bus kilometres, which saw 10.9m boardings. Bus kilometres and boardings figures have also reduced year-on-year, but boardings on tendered services are still 4% of the total.

There is evidence from individual case studies that CAs have used their subsidised bus service budgets to take very specific and successful steps to improve access to employment. An example, taken from Urban Transport Group (2015, p 7) is as follows:

SOS is the largest online fashion store in both the UK and Europe. ASOS partnered with Unipart to manage its European distribution centre when it relocated to South Yorkshire. ASOS Unipart began recruiting in early 2011, teaming up with Jobcentre Plus they sought to draw candidates from a jobseeker market of largely semi-skilled people aged 19-25 from the local area.

Initial survey data showed that more than 75% of candidates did not drive or have access to vehicles. This made it nearly impossible to get to the site, where buses were infrequent and there were no evening or Sunday services. Jobcentre Plus was finding that up to 92 potential candidates per week were unable to accept or apply for a role at ASOS. In response, South Yorkshire

PTE, in partnership with local bus operators, altered bus routes stopping at the site and adjusted and expanded timetables to match shift patterns.

Following the alterations, bus patronage on the enhanced services grew from 108 in the first week of service in late June 2011, to 831 per week in September 2011. The bulk of this increase is likely to represent people connected to jobs that they otherwise could not have reached.

However, it is not clear whether schemes like this are more likely to be provided in CA than non CA areas. From the point of view of this report, the key general issue is whether CAs and Model 3 RTPs can deliver more socially necessary bus services, and if so whether they do so more efficiently, than their unitary authority counterparts. Whether they can deliver more is primarily related to funding, although also to the competitiveness of the local market for tendered services as well as its operating conditions; and whether they can do it more efficiently relates to their capacity, expertise and ability to achieve economies of scale and secure a better deal from their bidders.

An analysis of Bus and Coach Statistics for Great Britain (DfT, 2015) shows that the CAs in England deliver exactly the same proportion of the total socially necessary bus mileage in England as they have population: 26% of the supported bus mileage and 26% of the population (excluding London) in 2015 (down from 38% of the total supported bus mileage in 1987). By virtue of course of their small geographical area, this means that the density of this service is higher in the CA areas than in counties and unitaries outside, but this will not necessarily be the case if the CAs grow geographically (as the northeast CA already has) without a growth in their supported services budget. In terms of spend, the CAs account for 41% of the total £302 million spent on supported services in England outside London in 2014/15. They spent £10.50 per person on these services in that financial year, whilst non-CA areas spent £8.10.

On top of this should be added revenue support to metro services Tyne and Wear of around £35 million per year; and to rail services in all CA areas (which is a grant direct from DfT which the CAs then pass on to operators). In general these figures imply that more is spent on subsidy to public transport services in CA areas than outwith these areas, supporting a denser network of socially necessary services.

The Merseyrail franchise is rather unique in the British rail system and therefore worthy of note. Although run by private operators, they provide a service under gross cost contract to the transport arm of the Merseyside CA, which then takes the revenue risk for the network. The network consistently achieves levels of service, service quality, investment and customer satisfaction that are well above average. However, the subsidy (which comes from the DfT, to Merseytravel) is the highest in the industry, at £86.2 million in 2014/15 – around £80 per year for each person in the CA area, and 12.4 pence per passenger km (compared to a national average negative subsidy (i.e. payment to DfT) of 1.3 pence per passenger km).

Because several CA areas have light rail or metro, and in most of these they control the fares and because, for historic reasons, rail networks are denser in the CA areas than outside them (except for in London), they receive more rail subsidy than non CA areas, then in total the density of the subsidised public transport network is far higher than outside the CA areas. However, without extremely detailed analysis it is not possible to quantify this density, but all other things being equal it means that

access to jobs and community connectivity will be higher in the CA areas than outside them. Nonetheless, it is crucial to remember the role of historical funding decisions in producing this situation; creation of a new CA or similar will not automatically replicate the situation in existing CAs.

3.5 Provision of transport for people with disabilities and intersectionality across groups

Disability, race and gender often overlap to create and interdependent systems of discrimination or disadvantage; this is intersectionality. Public transport services that meet the needs of one group of people, for example disabled people, are also likely therefore to have beneficial impacts on people suffering from other forms of disadvantage. Demand responsive public transport created primarily for disabled people will also help people without a disability but living in poverty in areas without conventional public transport to reach the services, and jobs, that they need, for example. Another example of intersectionality is in relation to gender. In almost all parts of the world – and Scotland is no exception to this - women are more likely than men to use public transport, and more likely to need public transport to balance work and caring responsibilities. However as Bramley et al (2016) also highlight, getting women into greater full time employment has significant positive impacts on the gender pay gap and in-work poverty

There is evidence from falling use of Dial a Ride services across Britain that disabled people may be moving to conventional public transport as those services become more accessible, and also to car, as evidenced by increasing use of Motability services (see Hunter, 2015). Nonetheless, there remains a large group of people whose disabilities mean that they cannot use conventional public transport vehicles or that they cannot walk to and from the stops/stations due to long walking distances and/or walking environments that have not been subject to the reasonable improvements that roads authorities have a duty to make under the Equality Act 2010 to make them accessible. In addition, in some areas there are simply no conventional scheduled public transport services. Therefore, these people depend on their car, if they have one and can drive; or on friends and family; and/or on flexible and demand responsive accessible transport services.

There is unfortunately no single “directory” of the services offered in different areas of the UK for people who have problems using, or have no access to, conventional public transport. It is also not always clear what type of service is provided in an area, since different service providers provide different services and information about them is not always coordinated. This also means that the information provided here may not be fully complete. However, based on the information available to the authors, three areas’ provision of flexible and accessible transport are described in the table below, which covers one unitary authority, one Model 3 RTP and one CA area. (This table does not show any such transport that is provided or funded by another public sector body, such as a Health Board.)

Table 3 – comparison of accessible transport services in different PTA areas

Area	Type of service and fare	Overall cost/year to authority	Trips/year (approx)	Cost/trip to public sector	Trips and funding per head of population
SPT	MyBus – scheduled and infrequent accessible services that divert from route to provide door to door service in an area or corridor. Must be booked. Free to concession holders.	Unclear – up to £4 million?	490,000	£8 (excludes capital costs of vehicles at least some of which are owned by SPT)	0.22 trips £1.81
City of Edinburgh	Dial a Ride fully accessible fully flexible bookable up to 1 hour in advance, £5 for 5 mile trip Dial a Bus similar to MyBus in SPT area, £1.25 per trip	Total for both £757,000	110,000	£6.88	0.23 trips £1.64
TfG Manchester	Ring and Ride, very similar to Edinburgh Dial a Ride but trip lengths limited, low/free fare Local Link – bookable shared minibus running in certain local areas	Around £5 million per year	1,327,000	£3.76	0.47 trips £1.79

Table 3, above, shows some evidence that a better and cheaper service is provided in Greater Manchester than the other two areas, one a unitary and one a Model 3 RTP. SPT's service is well used and its cost per trip is not excessive but it is not very flexible. Edinburgh's service is flexible but at a high cost to the user that does not appear to be reflected in a lower public subsidy per trip than the other two schemes where users pay much lower charges. Transport for Greater Manchester appears to be providing the best combination of value for money to the public purse, and to the user, whilst providing a flexible service. However, whether this is the result of it being a combined authority or some other factor such as the organisation having had more bids for the relevant contract(s) is unclear.

In PTAs in other northern European countries the availability and right to accessible transport varies widely and there is not scope in this report to give a full review. However, to take the example of Sweden, here some 3.3% of the total population has the right to use a low cost, fully accessible, fully flexible demand responsive form of public transport which must be provided by law by local authorities (called *färdtjänst*). Users must book, they have to pay between £2 and £7 per trip and there is a limit on the number of trips that they can take. The average number of trips taken per eligible person per year is 35 (11 million in total across Sweden), at a cost to the public purse of £300 million (a cost that is separate from the subsidy for

conventional public transport). This ridership is much higher than in comparable British schemes, but cost coverage from fares is also, and cost per trip to the public purse is several orders of magnitude greater.

In addition, most regional public transport authorities run demand responsive services on semi-flexible routes in areas without conventional public transport for people who are not eligible for *färdtjänst*. These cost no more than the equivalent bus fare, but may run only once or twice a day. (All data from Wretstrand, personal communication, November 2016.) They are funded from within the regional public transport budget which is able to do so more effectively than in the British system since the regional PTAs keep the revenue from all public transport operations and can therefore use the profits from more profitable routes to cross-subsidise less profitable and demand responsive routes.

3.6 Contribution to the health, employability and welfare reform agendas –

The links between transport, health and employability are complex but it is clear from academic evidence that mental and physical health are negatively affected if an individual is not able to participate fully in society, and lack of transport can be a factor in this (Currie et al, 2010; OECD, 2016). The question for this report is whether a Model 3 RTP would be better placed to reduce these transport-related barriers than the current governance situation can do and better promote Inclusive Growth as outlined in Scotland's Economic Strategy:

The Scottish Government's Inclusive Growth policy framework captures the multidimensionality of IG. The fulcrum of these areas is in the labour market. As a long term enterprise, inclusive growth is about promoting more and better quality jobs; and ensuring that all have the opportunity to contribute to the economy.

There are also the challenges of projected high levels of population growth in the region; an effective regional transport planning organisation is likely to be required to respond to these.

An analysis of the likelihood that a PTA could deliver benefits in these areas boils down once again to the evidence that Model 3 and other forms of PTA are able to more efficiently provide a higher level of subsidised bus service and specialist transport for disabled and other socially disadvantaged people than their Model 1 and Unitary Authority counterparts. The information presented above in Sections 3.4 and 3.5 indicates that the evidence that Model 3 RTPs and English CAs are more able to do this than their unitary and Model 1 counterparts is not clear. More service may be provided, but this is at a cost, and it is not clear that efficiency increases with the scale of the operation.

The recent emerging findings of the Royal Society of Art's Inclusive Growth Commission was published in September 2016¹. The report focussed on a definition of Inclusive Growth as a broad based growth that enables the widest range of people and places to both contribute to and benefit from economic success.

¹ <https://www.thersa.org/discover/publications-and-articles/reports/emerging-findings-of-the-inclusive-growth-commission/>

One of the key messages was the need to invest in social as well as physical infrastructure. Specifically in a transport context, this debate focussed on the need to prioritise connecting people to economic opportunities, through better skills planning and provision, through the provision of better local transport services as much if not more so that traditional physical road network infrastructure improvements. The report clearly highlights that simply building transport links is not enough to change patterns of economic mobility and cultures.

The report also stresses that whilst transport connectivity is important for realising the benefits of agglomeration, its effectiveness is predicated on connecting high-skilled workers with high-skilled jobs and investment to drive up productivity and growth. However, the report highlights that there are numerous communities across the UK within a few miles of such improvements to transport opportunities that do not always benefit. These opportunities can be denied by an ingrained mindset the report observes against working in the city centre or the sheer cost of travel to a low paid or zero-hour contract role. Whilst some communities and people will clearly benefit from places becoming, in effect, commuter towns for bigger city centre focussed labour markets, other people and places typically low skilled or economically inactive, risk being further excluded.

Therefore, the report observes, transport services and accessibility can be a preventative measure as part of a wider integrated economic strategy if actions go beyond traditional capital-based transport investment. However, it also highlights that prevention is an elusive business, where investment generates returns that fall into someone else's budget, thereby discouraging the original investment. They suggest moving beyond a "cookie-cutter" approach to segmentation of policy responsibility and focussing on genuinely geographically inclusive place-based strategies tailored to the needs, ambitions and nuances of a place's economic geography. This would help address a key Commission finding that inequalities are driven partly by distance from public services and decision making.

The Infrastructure workstream of the Edinburgh Region City Deal is to undertake further work on the investment proposal to understand the impact on areas of high deprivation and unemployment up to 30 minutes travel time from the individual projects. This is intended to provide an evidence base to underpin the potential impact on inclusion and also to support the regional Employability and Skills Programme to improve the employment rate and reduce welfare dependency. Because PTAs have traditionally and continue to focus on public transport services and fares just as much as infrastructure provision, it would be useful if this research could look further at the impact of a PTA on accessibility to employment or training opportunities.

3.7 Summary

Table 4, below, tries to summarise the findings of this chapter by rating the different possible forms of PTA according to their ability to deliver on the outcomes set out in the client's specification for this report.

Table 4: Summary showing different PTA models and their possible impacts on outcomes

Outcome	Model 3 RTP	Combined authority	TfL or continental PTA
<i>Planning and delivering transport solutions for all modes of transport across the region</i>	Clear that SPT offers a wider range of transport solutions (e.g. multi-modal ticketing; busway; Subway; extensive rail network) than found in Model 1 RTP areas	English CAs have delivered consistently more of many types of new schemes and transport solutions than have unitary areas. This likely due to greater capacity and funding, mainly for historic reasons	Easier to deliver schemes and other solutions due to greater funding and regulatory control. Greater organisational capacity for historic reasons
<i>Economies of scale in delivery</i>	Little evidence but data limited	Little evidence but data limited	Little evidence but data limited
<i>Positive pricing and fares integration</i>	SPT runs Zonocard – pretty much unique in Scotland	All CAs have run multi-modal multi-operator ticketing for many years; but more expensive than single operator ticketing Outside CA areas, multi-operator ticketing appearing due to change in competition law GB's only quality bus partnership with fares caps is in non-CA area	These types of authority have control over fares. TfL seeking to eliminate operating deficit. Fares therefore not especially low. Elsewhere in northern Europe, fares for regular travellers extremely cheap. Multi-mode and multi-operator tickets standard
<i>Positive pricing for certain groups of travellers</i>	Subject to national concessionary fare	All CAs run special fares deals for job seekers, not available in non-CA areas (except Nottingham). Subject to national concessionary fare	Due to control of fares and revenue, PTA can choose to set lower fares for certain groups. No need to negotiate with operators regarding compensation for any concessions.
<i>Improved cross-regional mobility for regional labour, training and employability; and improved community connectivity</i>	Little evidence that SPT runs more tendered bus services per head than do local authorities in Model 1 RTP areas	Higher spending per head on tendered bus services in these areas than in unitary authorities. Denser service. Certain services specifically designed to enable access to employment for people on low wages.	Ability to cross-subsidise unprofitable services with revenue from profitable services (due to gross cost contracts in regulated environment) allows provision of more service on low demand routes than in equivalent areas of Scotland.
<i>Provision of transport for people with disabilities and intersectionality across groups</i>	No evidence to suggest that provision better in these areas than in unitary or Model 1 areas	More work required to demonstrate that CAs achieve economies of scale and better provision than unitary counterparts.	As above; cross-subsidy can be used to support demand responsive services in rural areas
<i>Contribution to the health, employability and welfare reform agendas</i>	Evidence limited	Evidence limited. If more services provided in these areas than outside, ceteris paribus then travel should be less of a barrier to health and employability in CA areas	Levels of service higher and (except TfL) fares lower in these areas compared to PTA and unitary areas. Transport therefore less of a barrier to social inclusion.

Overall, then, this table shows that there is limited evidence that Model 3 RTPs and CAs necessarily provide much better performance against outcomes than do their unitary counterparts. They are not necessarily more efficient in what is delivered per £ spent or person employed. They do offer resilience benefits, as there are more people working on the same issue in an RTP or CA compared to in a local authority. In addition there is evidence that the English CAs deliver more and more different types of scheme than their unitary counterparts, but this is most likely due to greater organisational capacity and knowledge, which is something that they have acquired over time. Their greater funding also allows them to provide special fares for jobseekers, and for investment in light rail; and the greater funding is itself partly a product of greater organisational capacity and the ability that comes with that to lobby central government more effectively for funds. However, to deliver major changes in regional public transport affordability and service the CAs would have to be funded differently and operate in a regulatory context more akin to that in the rest of northwest Europe. The difficulty with that would be the transaction costs and general organisational upheaval.

3.8 Relationships between a Model 3 SEStran and other organisations; and Model 3 SEStran membership

Other regional public transport organisations

At present in the SEStran area there is another public transport organisation that has some aspirations to operate at a more regional level: Transport for Edinburgh (TfE). TfE, an arm's length company 100% owned by the City of Edinburgh Council, was created as a holding company for Lothian Buses and Edinburgh Tram in order that they could operate without competing with each other and still comply with competition law. TfE has also become a brand for public transport in Edinburgh and on Lothian Buses services (and those of its subsidiaries) in East and Midlothian in particular, and TfE does have aspirations, as set out in its draft Strategy, to operate and manage other parts of the local and regional transport network, but currently there it has no statutory basis other than as a holding company.

It would be possible for a Model 3 SEStran RTP to be created without any formal reference to or agreement with TfE, but a more positive option would be to agree on functions that TfE might carry out (ceded to it by City of Edinburgh and potentially other Councils under a Service Level Agreement) and those that SEStran might carry out. In the longer term, SEStran might take a largely policy and strategy role, akin more to a combined authority in England, and TfE could be an executive arm, more akin to TfGM or Nexus. However, this would be complex to set up given TfE's main and key role as a holding company for Lothian Buses and Edinburgh Tram.

Clackmannanshire, Falkirk and Stirling as members of a Model 3 SEStran

The principal benefit to these authorities of being part of a Model 3 SEStran created under current legislation would be to be part of a larger organisation responsible for public transport coordination and procurement of certain services, with the organisational knowledge, capacity, skills and resilience that this could bring. It could potentially ease the challenges of coordinating transport across unitary authority boundaries in these parts of the region and others.

4. CONCLUSION

This report has first described the form, governance, functions and financing of different forms of passenger transport authority, before trying to analyse their relative ability to deliver on the outcomes from public transport that are required by the authorities within the SEStran region and the Edinburgh City Deal. There is evidence that they do deliver more transport improvements than their unitary authority and Model 1 RTP equivalents, and that they offer a wider range of ticketing, information and interchange facilities; they also spend more per head on tendered bus services than do their unitary counterparts. However, systematic evidence is lacking to be able to demonstrate unequivocally that they exercise their functions more efficiently and effectively, and that those functions are delivering more on outcomes, than in non PTA areas. This may of course be more a function of the lack of evidence than actual proof that PTAs *are* no more efficient/effective.

On the other hand, of the nine City Deals to be brokered by the Government in the first wave of the initiative, seven are in areas with a passenger transport authority. In this sense there is a clear link between having this form of regional public transport governance and being in the first tranche of city regions to be offered this form of financing of infrastructure and revenue spending for economic growth. Having a PTA also allows the region to speak with one voice to central government about its needs for (public) transport; and to show that it has the expertise required to deliver on these large spending commitments. Taking a regional approach to transport planning is also more likely than a more fragmented approach to be able to deliver cross-regional improvements in public transport connectivity. A PTA also offers organisational resilience in public transport coordination and planning that a number of smaller authorities with very small numbers of staff will find it hard to provide.

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PARTNERSHIP BOARD MEETING

**HELD IN CONFERENCE ROOM 1, VICTORIA QUAY, EDINBURGH EH6 6QQ
ON FRIDAY 23RD SEPTEMBER, 2016
10.00 A.M. - 13:00 P.M.**

PRESENT:

<u>Name</u>	<u>Organisational Title</u>
Cllr Lesley Hinds (Chair)	City of Edinburgh Council
Charlie Anderson	Non Councillor Member
Cllr Stephen Bird	Falkirk Council
Cllr Tom Coleman	Falkirk Council
Cllr Gordon Edgar (Vice-Chair)	Scottish Borders Council
Phil Flanders	Non Councillor Member
Cllr Jim Fullarton	Scottish Borders Council
Cllr Russell Imrie (Senior Vice-Chair)	Midlothian Council
John Martin	Non Councillor Member
Cllr Adam McVey	City of Edinburgh Council
Cllr Derek Rosie	Midlothian Council
Sandy Scotland	Non Councillor Member
Cllr Derek Stewart	Clackmannanshire Council
Barry Turner	Non Councillor Member
Cllr John Wincott	Fife Council

**IN
ATTENDANCE:**

<u>Name</u>	<u>Organisation Title</u>
Nikki Boath	SEStran
Angela Chambers	SEStran
Julie Cole	Falkirk Council
Mark Craske	NHS Forth Valley
George Eckton (Partnership Director)	SEStran
Andrew Ferguson (Legal Secretary)	Fife Council
Lisa Freeman	SEStran
Ken Gourlay	Fife Council
Joanne Gray	Transport Scotland
Jim Grieve	SEStran
Trond Haugen	Adviser to SEStran
George Lowder	Transport for Edinburgh
Catrina Macdonald	SEStran
Gordon McNeil	Clackmannanshire Council
Daniel Melly	Audit Scotland
Moira Nelson	SEStran
Tom Rye	Transport Research Institute
Iain Shaw (Treasurer)	City of Edinburgh Council
Alastair Short	SEStran
Hugh Thomson	City of Edinburgh Council
Emily Whitters	SEStran

**APOLOGIES
FOR ABSENCE: /**

<u>Name</u>	<u>Organisational Title</u>
Graham Bell	Non Councillor Member
Cllr Tony Boyle	West Lothian Council
Cllr Nick Cook	City of Edinburgh Council
Cllr Kenneth Earle	Clackmannanshire Council
Cllr Bill Henderson	City of Edinburgh Council
John Jack	Non Councillor Member
Cllr Cathy Muldoon	West Lothian Council
Neil Renilson	Non Councillor Member
Cllr Joe Rosiejak	Fife Council

**APOLOGIES
FOR ABSENCE:**

<u>Name</u>	<u>Organisational Title</u>
Cllr Michael Veitch	East Lothian Council
Neil Dougall	Midlothian Council
Peter Forsyth	East Lothian Council
Graeme Johnstone	Scottish Borders Council
Ewan Kennedy	City of Edinburgh Council

ORDER OF BUSINESS

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

DECLARATIONS OF INTERESTS

None.

A4 PRESENTATION ON PUBLIC TRANSPORT AUTHORITIES

The Committee considered a report by George Eckton, Partnership Director, with an associated presentation by Professor Tom Rye of the Transport Research Institute at Napier University. It was noted that Professor Rye would clarify the means of appointment of members to English Passenger Transport Authorities; the level of public transport integration achievable; what benefits to Falkirk and Clackmannanshire there would be in a model 3 approach; and an indication of regulatory changes.

Decision

The Board noted the presentation and agreed to commission a short, focused piece of research by Professor Rye on the implications of SEStran moving to a model 3 authority for consideration at the December Board.

A5. APPOINTMENT OF VICE CHAIR

The Board noted Councillor Callaghan, Vice-Chair of SEStran, had now resigned from the Partnership.

Decision

The Board agreed to defer the issue of whether to appoint additional Vice-Chair(s) to the next meeting. In so doing, the Partnership recorded their thanks and appreciation to Councillor Callaghan for his contribution to SEStran.

A6. MINUTES

The following minutes were approved:-

- A6.a – Partnership Board meeting – 17th June, 2016
- A6.b – Partnership Board meeting – 1st July, 2016
- A6.c – Performance & Audit Committee – 9th September, 2016
(specifically agreeing those items deferred to the Board for approval)
- A6.d – Regional Transport Partnerships Joint Chairs Meeting – 15th June, 2016

A7 FINANCIAL REPORTS

(a) Internal Audit Report

The Board considered a report by the Internal Audit for the Financial Year 2015/16

Decision

The Board:-

- noted the contents of the report; and
- noted the Draft Annual Governance Statement contained in Appendix 2.

(b) South East of Scotland Transportation Partnership 2015/16 – Annual Audit Report

The Board considered the report from the Partnership's External Auditors for financial year 2015/16.

Decision

The Board noted the terms of the report.

(c) Audited Annual Accounts 2015/16

The Board considered the report by the Treasurer, Hugh Dunn presenting the audited annual accounts for the year ended 31st March, 2016

Decision

The Board:-

- noted the audited annual accounts and the Auditor's opinion in the audit certificate to the accounts;
- authorised the annual accounts for signature; and
- approved that SEStran Limited be struck off from Companies House register.

(d) Finance Officer's Report

The Board considered a report by the Treasurer presenting the first update on financial performance of the core revenue budget of the Partnership for 2016/17, in accordance with the Financial Regulations of the Partnership.

Decision

The Board noted:-

- (i) that core expenditure in 2016/17 will break even against the approved revenue budget of the Partnership;
- (ii) all income and expenditure will continue to be monitored closely with updates reported to each Partnership meeting;

- and
(iii) the month end balance of indebtedness between the Partnership and City of Edinburgh Council and the reason for these balances identified at paragraph 2.7 of the report.

A8 NEW REGIONAL TRANSPORT STRATEGY – STRATEGIC ASSESSMENT GUIDANCE

The Committee considered a report by the Strategy Liaison Officer in relation to the first stage of renewal of the Regional Transport Strategy. The report outlined the steps being undertaken in scoping the relevant strategic assessment guidance.

Decision

The Partnership Board noted the contents of the report.

A9 PROJECTS REPORT

The Board considered a report by Catriona Macdonald, Project Officer, detailing the current year's Projects Budget which shows expenditure, to 8th August, 2016 of £203,033.35

Decision

The Board:-

- (i) Noted the contents of the report; and
- (ii) Approved a grant to Peter Hogg of Jedburgh as a contribution towards the cost of installing new equipment on vehicles with a view to them being included in Bustracker SEStran.
- (iii) Approved the grant offers under the Sustainable and Active Travel Grant Scheme referred to in section 4.1.2 of the report;
- (iv) Noted the publication of the Audit Scotland report "Maintaining Scotland's Roads" and agreed that a further paper on the potential opportunities for joint project work or further collaboration around other aspects of transportation delivery be brought to the December Board meeting.

A10/ EUROPEAN UNION REFERENDUM

The Board considered a report by Jim Grieve, Head of Programmes, regarding the outcome of the UK's referendum on EU membership.

Decision

The Board:-

- (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; and
- (ii) Agreed with the recommendation of the Performance and Audit Committee that a standing item will be tabled to future Board meetings whilst further clarity is sought on Article 50; and

- (iii) Noted the issue would remain a key issue on the SEStran risk report considered regularly by the Performance and Audit Committee.

A11. SESTRAN REVIEW OF GOVERNANCE STRUCTURES

The Board considered a report by the Partnership Director, considering a review of the current consultative structure of SEStran regarding its forum and officer groups.

Decision

The Board agreed that comments should be sought from all stakeholders and forum members by the end of October; that the Chair and Vice-Chairs meet in November to discuss a way forward in the light of those comments, with a view to a further report with recommendations to the December Board.

A12. EQUALITIES AND DIVERSITY WORKING GROUP UPDATE

The Board considered a report by George Eckton, Partnership Director, regarding the review of governance which included reference to the need to annually report to the Board on the Equality and Diversity Policy.

Decision

The Board:-

- (i) agreed to the proposed amendments to SEStran's Equality and Diversity Policy including the specific recommendation to remove the annual reporting requirement for the policy;
- (ii) noted the update from the SEStran Board Diversity Working group on 31st August and agreed to the proposed set of actions recommended for approval by the September Board and the statutory requirement to produce a Board Diversity Succession Plan;
- (iii) noted the development proposals for SEStran's next set of Equality Outcomes and in particular, noting the recent vacancy amongst non-Councillor members and the introduction of observers;
- (iv) agreed to recommend the CIHT Diversity and Inclusion Charter to the Board for approval; and
- (v) authorised the Partnership Director to write to non-Councillor members who were unable to comply with the minimum attendance requirements of Standing Orders to ascertain their position.

A13./ PROGRAMME OF GOVERNMENT

The Board considered a report by George Eckton, Partnership Director providing a summary of the main legislative proposals, other policy actions and initiatives outlined in the Scottish Government's Programme for Government 2016-17 published on 6th September, 2016, alongside an update on the Chair's meeting with the Transport Minister and the Partnership Director's involvement in the Planning Review's Development Planning workshops.

A13. Decision

The Board:-

- (i) noted the summary provided and the emerging legislative proposals and other policy and project initiatives of the Scottish Government for the first year of the new Scottish Parliamentary session;
- (ii) noted the further verbal update from the Chair and Partnership Director on the meeting with the Minister for Transport and attendance at the Planning Review workshops respectively; and
- (iii) noted that further reports would be brought to the Board on these issues as they emerge over the rest of the Parliamentary year.

A14 (a) PUBLIC BODIES CLIMATE CHANGE DUTIES

The Board considered a report by George Eckton, Partnership Director relating to SEStran's obligations relating to climate change legislation to reduce Scotland's carbon emissions by at least 80% by 2050.

Decision

The Board:-

- (i) approved the Business Travel Policy; and
- (ii) approved the submission of the SEStran Climate Change report to the Sustainable Scotland Network.

A14 (b) ANNUAL REPORT

The Board considered a report from Moira Nelson, Marketing and Project Support Officer outlining the changes to the format of this year's Annual Report following consultation with Transport Scotland, and the development of the new SEStran website.

Decision

The Board approved the contents of the draft Annual Report 15/16 for publication.

A14 (c) RECORDS AND IT MANAGEMENT

The Board considered a report by Angela Chambers, Business Manager, providing the Partnership with an outline summary of the work being undertaken by SEStran to comply with its duties in terms of records management compliance.

Decision

The Board:-

- (i) noted the contents of the report; and
- (ii) agreed that the Information Security Policy and Records Management Plan would be presented to the Partnership Board for

A14 (d) approval, at a subsequent meeting.
PUBLIC SERVICES REFORM (SCOTLAND) ACT 2010

The Board considered a report by Emily Whitters, Business Support Officer, providing information on the Scottish Regional Transport Partnerships are included in the schedule of the Public Services Reform (Scotland) Act 2010.

Decision

The Board noted the contents of the material for publication, in terms of the Act, and agreed to the relevant separate statements referred to in the report being published on the SEStran website.

A15 PROCUREMENT AND DELEGATED POWERS REPORT

The Board considered a report by the Partnership Director and Secretary and Legal Adviser in relation to various procurement matters.

Decision

The Board:

- (i) Noted the summary of the review of current and previous procurement activity and use of the Scheme of Delegation by the Partnership Director since the last Board meeting;
- (ii) Agreed that a revised procurement strategy for the relevant contract referred to in the report should be brought to the next Board meeting;
- (iii) Agreed with the recommendation from the Performance and Audit Committee to take formal steps to terminate the current agreements with One Ticket and Coachline and bring forward a procurement strategy for the services if possible and desirable to One Ticket Limited following further discussions; and
- (iv) Agreed the adoption of the corporate procurement policy appended to the report, and the proposals for its publication and review of operation via annual reporting procedures in the revised legislative context.

A16 CITY DEAL GOVERNANCE PROPOSALS

The Board considered a report by George Eckton, Partnership Director on proposed governance arrangements for the Edinburgh City Region in relation to the City Region deal, and other regional activities currently undertaken jointly by six of the local authorities in the SEStran area.

Decision

The Board:

- (i) Noted the proposals for the City Region Deal and emerging White Paper on Planning and its impact on staffing of SEStran;
- (ii) Agreed the strategic proposal for the Partnership Director to legally become the SDP Manager for SESPlan and provide leadership capacity over the next 12 – 18 months, if an administrative or contractual mechanism could be found, suitable to all parties, that in the initial interim period provides managerial overview of the SESPlan and SEStran teams, and subject to the finalisation of any agreement and appropriate financial compensation to SEStran.

A17 AOCB

None.

A18 DATE OF NEXT MEETING

The Board noted the next meeting of the Partnership would take place on Friday 2nd December, 2016 at 10:00am in Conference Room 1, Victoria Quay, Edinburgh, EH6 6QQ.



PERFORMANCE & AUDIT COMMITTEE MEETING

**HELD IN THE SESTRAN OFFICES, MEETING ROOM 3D-34, VICTORIA QUAY,
EDINBURGH, EH6 6QQ**

ON FRIDAY 18th NOVEMBER 2016

10:00 AM – 12:30 PM

PRESENT:	<u>Name</u>	<u>Organisational Title</u>
	Councillor George Edgar (Chair)	Scottish Borders Council
	John Jack	Non-Councillor Member
	Sandy Scotland	Non-Councillor Members
	Councillor Tom Coleman	Falkirk Council
	Councillor Tony Boyle (from Item 9)	West Lothian Council

IN ATTENDANCE:	<u>Name</u>	<u>Organisation Title</u>
	George Eckton	SEStran
	Jim Grieve	SEStran
	Angela Chambers	SEStran
	Emily Whitters	SEStran
	Iain Shaw	City of Edinburgh Council
	Andrew Ferguson	Fife Council

Action by

1. ORDER OF BUSINESS

The Chair confirmed that the order of business would be as per the agenda.

2. APOLOGIES

Apologies were received from:

Councillor Kenneth Earle, Clackmannanshire Council
Councillor Michael Veitch, East Lothian Council

3. DECLARATIONS OF INTERESTS

None.

4. MINUTES

Decision

The minute of the meeting held on 9th September 2016 was approved.

5. GOVERNANCE REVIEW

The Board considered a report by Andrew Ferguson, informing the committee of the conclusion of the recent review of governance documents as regards standing orders and scheme of delegation, and recommending a change to the standing orders as regards the committee's remit and membership.

Decision

The Committee agreed to recommend to the Board:

- i. That the committee's membership be expanded to include two further non-councillor members;
- ii. That the committee's quorum be four, with a minimum of two Councillor members;
- iii. That all policy matters continue to be decided by the Board; and
- iv. That Councillor members should be allowed one nominated substitute per authority

AF

6. FINANCE REPORTS

- (a) Financial Planning 2017/18 – Iain Shaw, on behalf of the Treasurer, presented details of a revenue budget for 2017/18 to the Partnership for approval in March 2017.

The Committee noted the assumptions presented in the report were based on a prudent assessment of anticipated changes in external funding, but did not commit the Partnership to the planning assumptions at this stage. It was also noted that the most recent forecast of external council funding (excluding Council Tax) now pointed to a reduction of 3.5% to 5% per year in cash terms over the period to 2020/21.

Decision

The Performance & Audit Committee noted:

- i. The financial planning assumptions currently being processed for 2017/18 revenue budget;
- ii. The risk that Scottish Government funding allocations to RTPs will be reduced, given the uncertainty around the Scottish Government budget for 2017/18.

- iii. That the report will be presented to the Partnership Board meeting on 2nd December 2016; and
 - iv. The revenue budget for 2017/18 will be presented to Members for approval at the meeting of the Partnership in March 2017. **IS**
- (b) Treasury Management Report – Iain Shaw, on behalf of the Treasurer, presented a report reviewing the investment activity undertaken on behalf of the Partnership during the first half of the 2016/17 financial year.
- (c) Purchase Card Policy – Iain Shaw, on behalf of the Treasurer, presented a report on the Partnership’s Purchase Card Rules and Procedures for review, by the Committee, prior to approval by the Board at its meeting on 2nd December 2016. It was noted the Partnership’s Internal Auditors had previously recommended the Partnership develop a formal procurement card policy.

Decision

The Committee:

- i. Noted the draft Purchase Card Rules and Procedures; and
 - ii. Referred the Purchase Card Rules and Procedures to the Partnership Board for approval. **IS**
- (d) Travel & Subsistence Policy – Emily Whitters presented a draft Travel & Subsistence Policy for review by Performance & Audit Committee, following a request by the Partnership Board on the 23rd September 2016 that the Business Travel Policy be applied to Board members as well as staff. It was noted the Business Travel Policy had been updated and renamed the Travel & Subsistence policy to reflect these changes.

Decision

The Committee:

- i. Noted the Travel & Subsistence Policy; and
- ii. Agreed that the policy be tabled for approval by the Partnership Board. **EW**

7. RISK FRAMEWORK

The Committee considered a report by Angela Chambers, Business Manager, outlining the six monthly update on the Risk Register. The Risk Management Framework for SEStran was considered for the following 6 – 9 months.

Decision

The Committee:

- i. Noted the latest version of the Risk Register and agreed that the proposed new risks should be added to the register; and
- ii. Agreed to give a mandate to SEStran officials for the current framework in terms of format and scope, up to summer 2017. **AC**

8. SESTRAN EQUALITY OUTCOMES 2017 – 2021

The Committee considered a report by Emily Whitters and Angela Chambers outlining the requirement for SEStran as a listed public body under the Equality Act 2010 and the Equality Act 2012 (Scotland).

Decision

The Committee:

- i. Noted the review of the 2013 – 2017 Equality Outcomes and on the development of the two new outcomes; and
- ii. Agreed to table the draft outcomes to the December Board for approval of a 4 -6 week consultation period. **EW**

9. RECORDS MANAGEMENT FRAMEWORK DOCUMENTS

The Committee considered a report by the Business Manager on SEStran's Records Management Framework, which was subject to assessment by The Keeper of the Records of Scotland.

Decision

The Committee:

- i. Noted the terms of the Records Management Framework;
- ii. Agreed that the Records Management Framework documents be presented to the Board for approval;
- iii. Noted 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 seeking a mandate from the Board, implementing a range of support to continuous improvement procedures.
- iv. Noted that the Records Management Plan would be submitted to The Keeper of the Records by the 31st January 2017 for approval; and

- v. Noted that The Keeper of the Records Assessment Report would be tabled to a future meeting of the Performance & Audit Committee. **AC**

10. DELIVERY PLAN 2015 – 18 UPDATE / PROJECTS UPDATE / EU UPDATE

The Committee considered a report by Jim Grieve, Head of Programmes who reported on the updates to the Delivery Plan.

Decision

The Committee noted the reports.

11. REVIEW OF FORUMS

The Committee considered a report by George Eckton, Partnership Director, which received comments from Board Members. In discussion, it was noted that some Members, particularly Non-Councillor Members, retained concerns about the proposed reforms. It was suggested that a review of agreed changes be built in after an appropriate period.

Decision

Subject to the above the Committee noted the report.

GE

12. REGIONAL TRANSPORT STRATEGY UPDATE

The Committee noted 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 development scheduled to occur in the next few months.

Decision

The Committee:

- i. Noted the report;
- ii. Noted the further verbal update from the Partnership Director; and
- iii. Recommended to the Board that the Partnership undertake 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.

GE

13. SESTRAN MODEL 3 PROCESS UPDATE

The Committee considered a report by George Eckton providing an update on Professor Tom Rye's research to scope out the implications of SEStran moving to a form of (Model 3) passenger transport authority model as part of the City Deal.

Decision

The Committee:

- i. Noted the ongoing work by Professor Rye on Passenger Transport Authorities;
- ii. Recommended that Board consider the matter more fully once they were in receipt of Professor Rye's full report;
- iii. Suggested that Professor Rye's report should include a section summarising the potential benefits and disbenefits of moving to a Model 3 Partnership.

GE/TR

14. CONTRACT / PROCUREMENT UPDATE

The Committee considered a report by George Eckton providing an update on a number of significant procurement issues considered at the September meeting.

Decision

The Committee noted the terms of the report and proposed actions.

15. PARTNERSHIP STAFFING UPDATE

The Committee considered a report by the Partnership Director relating to proposals for future SESplan and SEStran joint management arrangements.

Decision

The Committee noted the terms of the report.

16. DATE OF NEXT MEETING

Angela Chambers updated the Committee verbally that the next Partnership Board had been set for Thursday 2nd March. Members were therefore asked to check which of Thursday 16th or Friday 17th February were more suitable for the next Committee meeting.

Decision

The Committee noted to contact Angela with their preferred date for the next meeting.

Regional Transport Partnerships

Chairs Meeting

Grand Hotel, Lerwick

Minute of Meeting held in Lerwick
on Wednesday 14th September
2016 at 9.30am.

PRESENT
Cllr Michael Stout, ZetTrans
Cllr James Stockan, HITRANS
Cllr Will Dawson, TACTRAN
Cllr Jonathan Findlay, SPT
Cllr Ramsay Milne, Nestrans

IN ATTENDANCE
Mr Ranald Robertson, HITRANS
Mrs Joanne Gray, Transport Scotland
Mr Bill Reeve, Transport Scotland
Mr Gordon MacLennan, SPT
Mr Eric Stewart, SPT
Mr Eric Guthrie, TACTRAN
Mr Douglas Kirkpatrick, Swestrans
Mr Michael Craigie, ZetTrans
Mr David Braddock, Nevis Technologies

APOLOGIES
Cllr Lesley Hinds, SESTRan
Cllr Tom McAughtrie, Swestrans
Mr Bruce Kiloh, SPT
Mr George Eckton, SESTRan
Mr Ewen Milligan, Transport Scotland
Mr Tom Davy, Transport Scotland
Mr Robert Nicol, CoSLA

Welcome and Apologies 1 Cllr Stout welcomed everyone to Lerwick for the RTP Chairs meeting and noted the apologies above.

Presentation by ZetTrans 2 Michael Craigie briefly updated on the work of ZetTrans indicating that there are areas that ZetTrans will aim to share with Chairs at future meetings.

Action – Michael Craigie will take a report to the next Chairs meeting,

Minute of RTP Chairs Meeting on 15 June 2016 3 **The Minute was agreed as an accurate account of the meeting,**
i) Bus Registration Guidance
Mr Eric Guthrie reported that an opportunity to resubmit comments has been agreed at the Bus Stakeholder Group.
ii) Transport Focus Survey
Mr Eric Guthrie confirmed that the Survey is commencing shortly and the RTPs are contributing towards the cost of the Survey with 6 RTP areas to be covered.
iii) Invitations to Minister of Transport and Islands and Minister of Planning
Ranald Robertson confirmed that on behalf of the Secretariat Mr Bruce Kiloh had written to both Ministers inviting them to meet the RTPs. Mrs Joanne Gray confirmed both letters have been received and the recommendation has been made that both Ministers accept the invitation for a joint meeting with Chairs.

- i) Bill Reeve, Transport Scotland gave a presentation on Integrated Travel and Smart Ticketing in Scotland.
The presentation covered:
- Scottish Government Commitments
 - Why Smart Ticketing?
 - Customer Research by Transport for the North
 - What is Smart Ticketing?
 - Why ITSO?
 - Cross Industry Steering Group.
 - Progress – National Concessionary Fares, Subway Bramble, ScotRail Smart Commitments, New Bus Commitments, National e-purse, City Smartzones, Expanding Coverage (Grasshopper, ABC, Shiel Buses)
 - What Is saltirecard and what it does.

Chairs noted this report.

Cllr Stout proposed that a National Smart Card Conference would be a good idea.

- ii) David Braddock provided a presentation and introduction to Nevis Technologies. The update included:
- Nevis Technologies created in 2011 as a joint venture between Ecebs and SPT.
 - Vision to provide genuine multi modal concessionary and commercial ticketing based on ITSO.
 - Seamlessly develop into web and mobile.
 - Glasgow Subway launch in 2013.
 - Over 120,000 Bramble cards issued. Designed to give maximum flexibility.
 - EMV function included.
 - Pay as you go ePurse.
 - Subway has 14M journeys per annum on smart.
 - 6M on reusable interoperable smart cards.
 - Over £14M of STR transactions to date.
 - Integrated car parking and subway travel.
 - Off system purchases available at PayZone outlets.
 - Rail and Bus – supplier to Abellio ScotRail, upgrade of rail ticketing estate, first commercial bus implementation with McGill's.
 - Service provider benefits – interoperability, ePurse, Mix and Match menu, common technology platform, web retail, mobile apps.
 - Passenger benefits - control of expenditure, manage accounts online, ability to link cards, ease of access, use same cards for other purposes.

Chairs noted this report and a discussion followed on the technology developed by Nevis.

This included the opportunity for different users to brand cards in different ways so other commercial partners can use the card as their own promotional tool.

Nevis has enabled significant steps towards a smart future not least by making it possible for ScotRail to go Smart.

There will be an opportunity to address some issues in the upcoming Miscellaneous Transport Bill.

Risk of a Betamax moment where significant investment including public funds proves wasted if other technologies overtake smart cards.

Cllr Stout reiterated that the discussion has reinforced the need for a national conference on smart ticketing involving a wider range of stakeholders to become engaged.

RTP lead officers to meet to arrange a workshop with a focus on smart and integrated ticketing will be arranged as a full day session involving Transport Scotland and operators.

On behalf of the RTP Chairs Cllr Stout thanked both Mr Reeve and Mr Braddock for the very useful engagement and excellent presentations.

Discussion on 5
Current Issues

Joanne Gray confirmed that the NTS Review and STPR Review were formally announced on 22 August. This announcement was made at the Dumfries and Galloway Transport Summit.

Douglas Kirkpatrick updated Chairs on the Dumfries and Galloway Transport Summit. A full report from the Summit will be published on 19 September.

Eric Guthrie highlighted that Mr Yousaf has invited views on what might be included in the Transport Bill.

Cllr Stout suggested that there will be policies and points of principle within the Islands Bill that should be of interest to all the RTPs.

Other topics discussed included:
City Deals / Growth Deals – including regional governance arrangements.
Independent Review of Planning
Roads Collaboration

Chairs noted this report.

It was agreed that RTP lead officers would refresh the Develop to Deliver report in advance of the meeting with the Minister(s).

DRAFT

- i) Active Travel - Eric Guthrie provided an oral update on Active Travel including developments from Cycling Scotland. The Active Travel Summit is likely to take place on 2 November. Active Travel Panel recently met for the final time.
- ii) Bus – Eric Stewart provided a verbal report on Buses. There seems to now be a degree of urgency and focus on bus issues at a political level. SPT are developing a group in their area with intended representation from Councils and the Traffic Commissioner has indicated her interest in being involved. Transport operators are also showing support.
Eric Guthrie confirmed that the Minister attended the most recent Bus Stakeholder Group. The Minister has invited BSG members to make any suggestions no matter how radical to address congestion. Also for suggestions on any bus opportunities that could be included in the Miscellaneous Transport Bill. Illustrations on how RTPs can make a difference and practical examples from their areas would be helpful. The Parking on Payments Bill has the potential to further contribute to congestion.
- iii) Ferries – Michael Craigie provided an update on progress towards NIFS contract renewal. The most significant new development has been on the review of fares including engagement being led by the consultants who are also developing the wider NIFS STAG.
Ranald Robertson reported on the recent signing of the CHFS contract which will see CalMac Ferries Ltd continue as the operator of CHFS. The update included reporting on key high level changes in the new contract.
- iv) Rail – Eric Guthrie reported that the Lead Officers continue to have discussion with ScotRail towards establishing stakeholder liaison arrangements. The RTPs continue to engage with ScotRail on the Rail Revolution. On ECMA 2 events are to take place including a Holyrood event on 1 November. ECMA are keen to have senior attendance at both the Holyrood and Westminster events.
Derick Murray updated on HSR.
- v) Air – Ranald Robertson reported to Chairs on the two aviation reports that will be considered at the Islands Transport Forum on 29 September. These are a report proposing a legally compliant and costed mechanism for reintroducing business travel eligibility to the Air Discount Scheme and an Intra Scottish Air Services Scoping Paper.
Ranald Robertson reported that the Programme for Government has restated the reform of Air Passenger Duty with an intention to introduce an alternative scheme with effect from April 2018. It was agreed that Lead Officers would consider APD as an agenda item at their next meeting and a paper may be developed for Chairs to consider.

Chairs noted the updates.

Date of meeting	Next 7	Hosted by Nestrans on 7 December 2016 at the Buchan Braes Hotel, Peterhead, Aberdeenshire
AOB	8	No further matters arising were reported.

Financial Planning 2017/18

2nd December 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 Autumn Statement was 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 The most recent forecast of external council funding (excluding Council Tax) points to a reduction of 3.5% to 5% per year in cash terms over the period to 2020/21. While necessarily based on a range of projections and assumptions, the recently-published Fraser of Allander Institute report on the Scottish Budget 2016 also suggested 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.
- 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 (RTPs), 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 continuation of a "Model 1" level of operation, rather than a "Model 3" operating budget;
- 2.4.7 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 overleaf 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	551	515
Projects	791	709	504	1,076	2,384	779	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 a 5% reduction 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	<u>£21,740</u>
	<u>£190,000</u>

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. The 5% reduction proposed is on the basis of prudent financial planning. The financial planning assumptions do not commit the Partnership to the planning assumptions at this stage in the budget development process.
- 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

The Board 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 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	<p>Appendix 1 – Proposed Activity 2017/18</p> <p>Appendix 2 – Indicative Core Revenue Budget 2017/18 – Detail</p> <p>Appendix 3 – Risk Assessment</p>
Contact/tel/Email	<p>Iain Shaw Telephone 0131 469 3117 iain.shaw@edinburgh.gov.uk</p>
Wards affected	All
Background Papers	Nil

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. 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 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	367	331
National Insurance	37	34
Pension Fund	56	53
Recharges –EU	(70)	(117)
Recharges – Sustainable Travel	(20)	(20)
Recharges - RTPi	(47)	0
Training & Conferences	10	10
Interviews & Advertising	2	2
	335	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	551	515
Funding:		
Scottish Government Grant	(351)	(325)
Council Requisitions	(200)	(190)
Total Funding	(551)	(515)

Appendix 3

Risk Assessment

Risk Description	Existing Controls
<p>Pay awards. 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.</p>	<p>Alignment with Scottish Local Government pay award.</p>
<p>Staff recharges – EU Projects. 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.</p>	<p>Any shortfall in employee cost recharges will be offset by a corresponding reduction in Projects Budget expenditure.</p>
<p>Inflation. There is a risk that the proposed budget does not adequately cover price inflation and increasing demand for services.</p>	<p>Allowance made for specific price inflation. Budgets adjusted in line with current cost forecasts.</p>
<p>Delays in payment of grant by the EU results in additional short-term borrowing costs.</p>	<p>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.</p>
<p>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.</p>	<p>Recruitment control and additional sources of external funding for activities aligned to the Partnership's objectives to supplement resources.</p>
<p>Funding Reductions. Reduction in funding from Scottish Government and/or council requisitions.</p>	<p>The draft budget is prepared on the basis of a 5% reduction in funding from Scottish Government and council requisitions. Continue to source and develop external funding.</p>

1. INTRODUCTION

- 1.1** The purpose of this report is to present the second update on financial performance of the core revenue budget of the Partnership for 2016/17, in accordance with the Financial Regulations of the Partnership. This report presents an analysis of financial performance to the end of October 2016.
- 1.2** This report includes details of the cash flow position of the Partnership in respect of its' net lending to and borrowing from the City of Edinburgh Council.

2. CORE REVENUE BUDGET 2016/17

- 2.1** The Partnership's core revenue budget for 2016/17 was approved by the Partnership Board on 18th March 2016. The core budget provides for the day-to-day running costs of the Partnership including employee costs, premises costs, supplies and services. The Board approved net expenditure of £551,000 on 18th March 2016. Details of the Partnership's core budget are provided in Appendix 1 to this report.
- 2.2** Cumulative expenditure for the seven months to 31st October 2016 was £225,000. This is within the core budget resources available for the period.
- 2.3** All expenditure estimates have been updated to reflect current expenditure commitments and it is projected that expenditure for the year will under spend against the approved budget by £56,000. This under spend is mainly attributable to savings made on staff costs. It is anticipated that this underspend will be used to meet project costs in 2016/17. A further update will be provided to the Partnership Board meeting of 2nd March 2017.

Balances

- 2.4** The Partnership holds a balance of £87,000 as a result of the underspend on the 2015/16 budget. The Partnership Board approved on 4th December 2015 that this underspend should be utilised as funding for the Regional Real Time Bus Passenger Information System (RTPI). It is anticipated these funds will be fully spent in 2016/17.

Cash flow

- 2.5** As previously noted at Partnership Board meetings, the Partnership maintains its bank account as part of the City of Edinburgh Council's group of bank accounts. Cash balances are effectively lent to the Council, but are offset by expenditure undertaken by the City of Edinburgh Council on behalf of the Partnership. Interest is given on month end net indebtedness balances between the Council and the Partnership.

An update of month-end balances is shown in the following table:

Date	Net Balance due to SEStran (+ve)/due by SEStran (-ve)
	£
30 April 2016	+353,248.41
31 May 2016	+468,020.96
30 June 2016	+443,635.10
31 July 2016	+450,025.48
31 Aug 2016	+448,405.34
30 Sept 2016	+443,062.64
31 Oct 2016	+450,977.53

2.6 Interest is charged/paid on the 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). Although interest is not calculated until March in line with the guidance, interest rates averaged 0.193% during the first half of the financial year.

2.7 The positive cash flow in the first half of 2016/17 is attributable to funding received in advance, mainly from the Scottish Government grant, Councils requisitions and EU funding in respect of the Social Car project.

3. RECOMMENDATIONS

3.1 It is recommended that the Partnership Board notes:

1. It is currently forecast that core expenditure in 2016/17 will under spend by £56,000 against the approved revenue budget of the Partnership and that this underspend will meet project costs in 2016/17;
2. All income and expenditure will continue to be monitored closely with updates reported to each Partnership meeting;
3. The month end balance of indebtedness between the Partnership and City of Edinburgh Council and the reason for these balances identified at paragraph 2.7.

HUGH DUNN
Treasurer
November 2016

Appendix 1 – Core Budget Statement at 31st October 2016

Contact/tel Craig Beattie, Tel: 0131 469 3222

craig.beattie@edinburgh.gov.uk

Policy Implications	There are no policy implications arising as a result of this report.
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Financial Implications	There are no financial implications arising – the contents of this report point towards a balanced core budget outturn for 2016/17/
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 2016/17 – as at 31st October 2016
Appendix 1

	Annual Budget £'000	Period Budget £'000	Period Actual £'000	Annual Forecast £'000	Forecast Variance £'000
Employee Costs					
Salaries	367	214	181	306	(61)
National Insurance	37	22	18	31	(6)
Pension Fund	56	33	36	52	(4)
Recharges – Projects	(137)	(80)	(84)	(137)	0
Training & Conferences	10	6	3	8	(2)
Interviews & Advertising	2	1	0	2	0
	335	196	154	262	(73)
Premises Costs					
Moto costs	16	4	4	16	0
	16	4	4	16	0
Transport					
Staff Travel	9	5	2	6	(3)
Supplies and Services					
Marketing	20	11	9	20	0
Comms & Computing	84	49	39	113	29
Printing, Stationery & General Office Supplies	10	6	4	7	(3)
Insurance	4	2	4	4	0
Equipment, Furniture & Materials	1	1	0	1	0
Miscellaneous Expenses	11	6	8	12	1
	130	75	64	157	27
Support Services					
Finance	25	0	0	23	(2)
Legal Services / HR	7	0	0	5	(2)
	32	0	0	28	(4)
Corporate & Democratic					
Clerks Fees	15	0	0	15	0
External Audit Fees	10	0	0	10	0
Members Allowances and Expenses	3	2	1	1	(2)
	28	2	1	26	(2)
Interest - Paid/ (Received)	1	0	0	0	(1)
Total Expenditure	551	282	225	495	(56)
Funding:					
Scottish Govt. Grant	(351)	(205)	(205)	(351)	0
Council Requisitions	(200)	(200)	(200)	(200)	0
Total Funding	(551)	(405)	(405)	(551)	0
Net Expenditure/ (Income)	0	(123)	(180)	(56)	(56)

**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 Partnership Board notes the investment activity undertaken on behalf of the Partnership.

Hugh Dunn
Treasurer

Appendix Nil

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.
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.

Review of Governance Documents

1 INTRODUCTION

- 1.1** The purpose of this report is to inform the Board of the conclusions of the recent review of governance documents as regards standing orders and scheme of delegation, and recommend a change to standing orders as regards the Performance and Audit Committee's remit and membership, as recommended by them at their meeting on 18th November.
- 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 makeup 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 Board approve the recommendations of the Performance and Audit Committee, namely:
- (i) that the committee's membership be expanded to include two further non-councillor members;
 - (ii) that the committee's quorum be four, with a minimum of two Councillor members;
 - (iii) that all policy matters continue to be decided by the Board; and
 - (iv) that Councillor members should be allowed one nominated substitute per authority.

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Background Papers: Standing Orders

http://www.sestran.gov.uk/uploads/SESTRAN_Standing_Orders_as_amended_26_09_14.pdf

Scheme of Delegation

http://www.sestran.gov.uk/uploads/Scheme_of_Delegation_05.10.12_rev_June_2014.pdf

Policy Implications	None
Financial Implications	None
Race Equalities Implications	None
Gender Equalities Implications	None
Disability Equalities Implications	None.
Climate Change Implications	None

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.

3. FUTURE PROPOSALS

- 3.1 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.
- 3.2 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 return with a proposal to the Board.
- 3.3 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.
- 3.4 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.
- 3.5 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.

3.6 The Chair and Vice-Chairs have 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 propose:

- 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 four 1 hourly meetings on the same day as the forum would cover: Bus, Rail, Air and Sustainable Transport, in a rotating order.
- This regional consultative forum will be chaired by the SEStran Senior Vice Chair.
- 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.

3.7 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 clear need at this time to tailor structures in the short-term to be dynamic to the emerging needs of SEStran and partners. It is proposed by the Chairs and Vice-Chairs that this change seeks to balance a continuous improvement approach to engagement, recognises the demands on all stakeholders time and would be proposed to be reviewed by the Board in summer 2018.

4. CONCLUSION

4.1 The Board, having mandated the office bearers to propose a solution on this matter to meet the dynamic needs of the present workload on staff, are asked to agree the proposed changes for a period of 18 months, prior to an initial review in summer 2018.

George Eckton
Partnership Director
 25th 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 Board 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 Board will be aware that in line with their previous Business Plan, they agreed to undertake a wholesale 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 Board, 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 Board 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 Board is asked to note the report, receive a further verbal update from the Partnership Director and agree to a period of reflection and continuing research on key issues 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
25th 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

Edinburgh Airport Master Plan

1. INTRODUCTION

1.1 The UK Government's 2003 white paper 'The future of Air Transport' requires all UK airports to produce an airport master plan on how they propose to develop airport facilities. Edinburgh Airport has now released its draft Master Plan 2016-17 for consultation¹, in which the airport sets out a framework for the sustainable development and ongoing growth of Edinburgh Airport up to 2040. The master plan is currently open to public consultation until 23rd of December 2016.

2. POLICY CONSIDERATIONS

2.1 Both the National Planning Framework and Scottish Planning Policy recognises the importance of airports as economic generators and the need for airport operators, planning authorities and other stakeholders to work together to prepare airport master plans and address other planning and transport access.

2.2 Edinburgh Airport is located within the West Edinburgh Strategic Development Area. The West Edinburgh Strategic Design Framework (WESDF) identifies Edinburgh as an area of national economic importance, with significant potential to attract inward investment. The key aim of the WESDF is for the improvement and expansion of Edinburgh Airport. Notably, the WESDF proposes that design principles should aim to maximise the share of journeys to the airport by public transport, lower emissions and integrate with the wider transport network.

2.3 Key connectivity on the transport networks in the SEStran area is also supported by the SEStran Regional Transport Strategy (RTS) to maintain and improve external links, ports and airport links to facilitate a successful economy. The RTS supports enhancements in the connectivity of the SEStran area to key national and international destinations by supporting improvements to key gateways such as airports, main rail stations, ports and freight terminals. To ensure the whole of the SEStran area can benefit from job opportunities at and around the airport, surface access to the airport from around the whole SEStran area, especially by sustainable transport modes, requires consideration.

3 MASTERPLAN OVERVIEW

¹ <http://www.edinburghairport.com/about-us/airport-expansion>

3.1 The master plan sets out a strategy for the anticipated growth of Edinburgh Airport. According to the master plan, over the last 10 years, passenger numbers travelling through Edinburgh airport has increased significantly. It is anticipated that between 2016 and 2020 passenger numbers will increase to 13.1 million. As with other areas of development within the SEStran area, this level of growth presents the Region with number of challenges and opportunities.

3.2 Currently the modal split of passengers arriving to the Airport (2015) is as follows:

Origin	Share (%)
Public bus	24%
Dropped off in private car	22%
Taxi	23%
Private car parked	16%
Tram	8%
Rental Car	4%
Plane	1%
Other inc. Shuttle/charter/ coach bus	3%

3.3 The master plan claims that Edinburgh Airport is on track to increase the number of passengers using public transport to 35% by 2017. It is stated that the continued mode shift from car towards public transport has been achieved through a proactive approach working in partnership with councils, the Scottish Government, SEStran and transport operators.

3.4 Based on forecast growth the Edinburgh master plan sets out the key objectives for the Airport which covers the period 2016 to 2040.

- to set out a sound development scenario which will provide clarity and certainty for local communities, passengers, the local authority and neighbouring landowners, amongst others
- to highlight the prospects for air traffic growth, and associated developments
- to quantify Edinburgh Airport's impact upon the environment and how this can be reduced in the future
- to identify future land uses in order to allow the airport to expand to handle the forecast growth in passenger numbers =
- to set out the approximate timescales for the phasing of additional capacity requirements.

The draft Airport Master plan then continues to propose the following:

- An enlarged terminal building to create space for more passengers and facilities, particular to serve additional international services
- An enlarged area for the parking of aircraft
- An enlarged cargo storage area
- Improved access through a new ‘eastern’ road connection with Gogar Roundabout
- In order to achieve the above, the removal of the current second runway, the configuration and size of which are not suitable for frequent use
- The continued safeguarding of land for a new second runway. This safeguarding is a long term precaution only, as we believe that the future growth of the airport can be sustained by the current main runway only.

3.5 The master plan acknowledges that stakeholders such as Scottish Government, SEPA, and the City of Edinburgh Council need to be satisfied that the environmental impact of Airport growth can be managed. It is stated that, globally, aviation accounts for 3.5% of the total human contribution to climate change. The DfT calculate that CO2 emissions from international and domestic aviation as being 37.5 million tonnes in 2005.

3.6 Edinburgh Airport believes that the growth of the airport is required and aims to achieve this within its current boundaries in a sustainable manner. However, continual growth in passenger numbers presents Edinburgh and its surrounding Authorities with a number of opportunities and challenges. Therefore, SEStran welcomes the opportunity to provide comment on this consultation.

4. RECOMMENDATIONS

4.1 Given the timing of this consultation, Board Members are asked to approve a mandate for the Chair to respond to this consultation on behalf of SEStran.

4.2 Board Members are invited to provide any additional comments to SEStran Officers by the 9th of December 2016.

Lisa Freeman

Strategy and Projects Officer

25th November 2016

Policy Implications	None
Financial Implications	None

Race Equalities Implications	None
Gender Equalities Implications	None
Disability Equalities Implications	None
Climate Change Implications	None

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 in 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 Outcomes¹ in March 2013 and a Mainstreaming Report² 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

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 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** The 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 Evidence³ 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 travel⁴.
- 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.
- 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 know how and when they can engage in shaping SEStran's Equality

³ <http://www.gov.scot/Topics/People/Equality/Equalities>

⁴ <http://www.gov.scot/Topics/People/Equality/Equalities/TransportTravel>

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 Board are asked to:

- Comment upon the review of the 2013 – 2017 Equality outcomes and on the development of the two new outcomes;
- Approve a 4-6 week consultation period on the Equality Outcomes.

Emily Whitters
Business Support Officer
 25th November 2016

Angela Chambers
Business Manager

- 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. 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	<p>Employee information should be collected with an 80% response rate across all characteristics by 2019 and 100% response rate by 2021.</p> <p>Undertake awareness raising of SEStran as an employer and use positive action as appropriate to address underrepresentation within certain areas.</p> <p>Develop a plan for moving towards a more representative workforce and Board by 2021.</p> <p>Seek to influence primary legislation and regulations on Board governance by 2018.</p> <p>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.</p> <p>Monitor and review our promotion, training and progression opportunities to ensure they are fair and transparent for workforce and board members.</p> <p>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.</p>
Measuring Progress	<p>Employee data, disaggregated by protected characteristic.</p> <p>Annual employee survey responses provided by staff across protected characteristics on an annual basis.</p> <p>Regular survey of diversity of Board members in line with 2016 Equality Act regulations.</p> <p>Calculate a non-statutory analysis of SEStran's gender pay gap</p> <p>Qualitative feedback mechanisms on staff experience and training and development policy monitoring.</p>
Public Sector Equality Duty	<p>Eliminate discrimination</p> <p>Advance Equality of Opportunity</p> <p>Foster good relations</p>
Protected Characteristics	<p>Age</p> <p>Disability</p> <p>Gender Reassignment</p> <p>Race</p>

	Religion or Belief Sex Sexual Orientation Marriage & Civil Partnership Pregnancy & Maternity
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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
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<p>Activity/Plans</p>	<p>Continue to roll out Real Time Passenger Information system to increase users confidence of using the bus at certain times.</p> <p>Undertake a full Equality Impact Assessment for the renewal of the Regional Transport Strategy during 2017-2021</p> <p>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.</p> <p>Continue and extend engagement to groups with or representing groups who have/share a protected characteristic.</p> <p>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.</p> <p>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.</p> <p>Monitor and review existing equality actions to see if further advances promoting opportunity can be undertaken through further developments of existing projects.</p>
<p>Measuring Progress</p>	<p>Conduct passenger surveys on bus networks to analyse perceptions of accessibility, safety and security.</p> <p>Qualitative feedback from protected characteristics groups via the SESTRAN Equality Forum.</p> <p>User satisfaction surveys and general feedback on the delivery of projects such as the Thistle Card and App.</p>
<p>Public Sector Equality Duty</p>	<p>Eliminate discrimination Advance Equality of Opportunity Foster good relations</p>
<p>Protected Characteristics</p>	<p>Age Disability Gender Reassignment Race Religion or Belief Sex</p>

	Sexual Orientation Marriage and Civil Partnership Pregnancy and Maternity
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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 Boards 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. However, SEStran recognises that election is a democratic process which is undertaken by each local authority's committee services department.

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 2001¹. 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 further², and both East Lothian and City of Edinburgh have been subject to large population increases from 2005 – 2015, by 11.1% and 11% respectively³.

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 group⁴. 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 disability⁶.

- 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.

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 own⁷.

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 other⁸.

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 fleet⁹.

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
Email: George.eckton@sestran.gov.uk
Tel: 0131 524 5512

Angela Chambers, Business Manager
Email: angela.chambers@sestran.gov.uk
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](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 Board 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 Board are asked to approve the Records Management Plan for submission to the Keeper of the Records and delegate authority to the Legal Adviser and Business Manager to implement any recommended changes, if required.
- 9.2 Approve the Information Security Policy, Records Management Policy and Guidance for immediate implementation, and;
- 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 approve a mandate to allow the Business Manager 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
25th 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

DRAFT

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.

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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

- 1.1 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

- 1.2 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 are in discussions with Edinburgh City Archives to agree a Memorandum of Understanding to facilitate the transfer of enduring records to the city archive.

To be completed by 31st Jan 2017

Evidence:

1. Memorandum of Understanding between SEStran and Edinburgh City Archives.

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.

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 portable 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 if 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).

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

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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

14. Updates on Delivery Plan, City Deal, Projects and EU Exit

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 A Smart Ticketing Challenge Fund was launched by Transport Scotland, in October 2016. The fund provides capital funding to public sector organisations looking to develop interoperable smart ticketing. As reported previously, modern ticket machines are also equipped with a GPS facility which can facilitate a connection to the RTP1 system. Following consultation with the region’s bus operators SEStran has submitted a bid, for a 40% ERDF funding contribution, towards ticket machine upgrades for 5 bus operators (Blue Bus Ltd., Peter Hogg of Jedburgh, A1 Coaches, Edinburgh Coachlines Ltd. and Eve’s Coaches).

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
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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 submitted an application to the Scottish Government's Design Charrette Programme for 2016/17. Unfortunately, the application was unsuccessful.

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 late 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. Unfortunately, the application was unsuccessful. 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 Kortrijk 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 led 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.

13 RECOMMENDATIONS

- 13.1** That the Board notes the content of the report
- 13.2** With reference to Item 7.4, that the Board approves a grant of value £25000 to Edinburgh College, for the continuation of Electric Vehicle Project.

Jim Grieve
Head of Programmes
 25th 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

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

Dates of Future Meetings

1. INTRODUCTION

- 1.1 This report outlines the proposed calendar of SEStran Partnership Board, Performance and Audit Committee and Chief Officer Liaison Group meetings in 2017.
- 1.2 The schedule has been drafted in line with previous meeting cycles and complies with audit reporting requirements.

2 PROVISIONAL DATES 2017

- 2.1 The proposed dates for the Partnership Board are:
 - Thursday 2nd March – 2:00pm in Conference Room 3, Victoria Quay
 - Friday 23rd June – 10:00am in Conference Room 1, Victoria Quay
 - Friday 22nd September – 10:00am in Conference Room 1, Victoria Quay
 - Friday 8th December – 10:00am in Conference Room 1, Victoria Quay
- 2.2 Members should be aware that whilst the Model 3 process is ongoing, there may be a requirement to call an additional meeting prior to the 2nd March.
- 2.3 The proposed dates for the Performance and Audit Committee are:
 - Friday 17th February – 10:00am in Room 3E-95, Victoria Quay
 - No separate meeting in June
 - Friday 8th September – 10:00am in Room 3E-95, Victoria Quay
 - Friday 24th November – 10:00am in Room 3E-95, Victoria Quay
- 2.4 Following elections, the new Board will be appointed at the 23rd June meeting, therefore, the business of the Performance and Audit Committee will be considered at that meeting.
- 2.5 The proposed dates for the Chief Officer Liaison Group meetings are:
 - Thursday 2nd February – 10:00am in Room 3E-91, Victoria Quay
 - Thursday 25th May – 10:00am in Room 3E-91, Victoria Quay
 - Thursday 24th August – 10:00am in Room 3E-91, Victoria Quay
 - Thursday 9th November – 10:00am in Room 3E-95, Victoria Quay
- 2.6 Dates for the remaining Forums and sub-groups will be confirmed at a later date when ongoing discussions are concluded.

3. RECOMMENDATION

- 3.1 It is recommended that the Board approves the proposed programme of meetings for 2017 and:
- 3.2 Notes that there may a requirement to host an additional Board meeting prior to March, and:

3.3 Notes that dates of the Forums and sub-groups will be confirmed when discussions have been concluded.

Angela Chambers
Business Manager
25th November 2016

Policy Implications	None.
Financial Implications	None
Race Equalities Implications	None
Gender Equalities Implications	None
Disability Equalities Implications	None
Climate Change Implications	None