SESTRAN PARTNERSHIP BOARD MEETING

PLEASE NOTE CHANGE OF VENUE

**Dean of Guild Room, City Chambers, High Street, Edinburgh, EH1 1YJ
10:00am Friday 22 March 2019**

09:30	**TEA/COFFEE**
10:00	**PARTNERSHIP BOARD**
12:30	**LUNCH**

AGENDA B – POINTS FOR NOTING

Gavin King
Secretary to SESTRAN
Democracy, Governance and Resilience Senior Manager
Strategy & Communication Division
The City of Edinburgh Council
Waverley Court 2.1
Edinburgh
EH8 8BG

15 March 2019

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

SEStran Partnership Board

10.00am, Friday, 7 December 2018

Victoria Quay, Edinburgh

Present	Name	Organisation Title
	Cllr Gordon Edgar (Chair)	Scottish Borders Council
	Laura Alexander	Non-Councillor Member
	Cllr Chas Booth	City of Edinburgh Council
	Cllr Colin Davidson (Deputy Chair)	Fife Council
	Cllr Dave Dempsey	Fife Council
	Cllr Jim Fullarton	Scottish Borders Council
	Vivienne Gray	Non-Councillor Member
	Callum Hay	Non-Councillor Member
	Simon Hindshaw	Non-Councillor Member
	Cllr Chris Horne	West Lothian Council
	Cllr Russell Imrie	Midlothian Council
	Richard Llewellyn	Non-Councillor Member
	Cllr Lesley Macinnes	City of Edinburgh Council
	Cllr Laura Murtagh	Falkirk Council
	Cllr Peter Smaill	Midlothian Council
	Dr Doreen Steele	Non-Councillor Member
	Catherine Stones	Non-Councillor Member
	Barry Turner	Non-Councillor Member
	Paul White	Non-Councillor Member

In Attendance		
	Angela Chambers	SEStran
	Kevin Collins	Falkirk Council
	Neil Dougall	Midlothian Council
	Elizabeth Forbes	SEStran
	Peter Forsyth	East Lothian Council

	Ken Gourlay	Fife Council
	Jim Grieve	SEStran
	Peter Jackson	SEStran
	Graeme Johnstone	Scottish Borders Council
	Stuart Johnston	City of Edinburgh Council
	Gavin King	City of Edinburgh Council (Secretary)
	Daisy Narayanan	City of Edinburgh Council
	Iain Shaw	City of Edinburgh Council (Treasury)
	Jim Stewart	West Lothian Council

Apologies for Absence

Cllr Donald Balsillie	Clackmannanshire Council
Cllr Fiona Collie	Falkirk Council
Cllr Ian Ferguson	Fife Council
Cllr David Key	City of Edinburgh Council
Cllr Cathy Muldoon	West Lothian Council
Cllr Brian Small	East Lothian Council
Graeme Malcolm	West Lothian Council

1.   Resolution to Consider in Private

The Committee, in terms of Section 50(A)(4) of the Local Government (Scotland) Act 1973, excluded the public from the meeting during consideration of item 2 of the minute for the reason that it involved the likely disclosure of exempt information as defined in Paragraphs 1 and 6 of Part 1 of Schedule 7(A) of the Act.

2.   Partnership Management Arrangements

A report was tabled at the meeting in relation to the Partnership's management arrangements.

Decision

Detailed in the Confidential Schedule, signed by the Chair, with reference to this minute.

3.   Minutes

Decision

1) To agree the minute of the previous meeting of 21 September 2018 as a correct record.

2) To agree the minute of the Performance and Audit Committee of 16 November 2018 as a correct record.

(Reference – minutes, submitted.)

4. Edinburgh City Centre Transformation – Presentation

Daisy Narayanan, Project Director of Edinburgh City Centre Transformation provided a PowerPoint presentation on the Edinburgh City Centre Transformation Project.

She highlighted that the project aimed to address how Edinburgh would achieve a step change in approach to issues including transport, amenity, social value (e.g. air quality, mental and physical health), place, urban development and heritage. The challenges and opportunities that Edinburgh faced to achieve this transformation were outlined. A cross-party working group which included representatives from all relevant departments such as housing, transport, planning and economic development met every six weeks to provide oversight of the project. The importance of this collaborative approach was emphasised. A consultation ran from 17 September 2018 until 12 November 2018. All responses would now be subject to analysis and review, in order to prepare a summary of the findings which was due to be reported to the Council's Transport and Environment Committee in early 2019.

Following a wide-ranging discussion and a number of questions, the following key points emerged:

- Connectivity and creating better transport links was key if the aim was to reduce the number of people driving their cars into Edinburgh.
- Approximately 8% of the responses to the consultation came from outside Edinburgh Council. There was a need to raise the profile of the project outside Edinburgh, however, it was noted the consultation was shared with all neighbouring local authorities.
- There were key performance indicators for each objective which allowed progress to be tracked.
- It was important to link this piece of work to the National Transport Strategy currently being reviewed.
- The importance of ensuring the business community were on board with this project was emphasised.
- The benefits of more people walking needed to be highlighted along with the subsequent benefits this could bring to businesses.
- Consideration had to be given to the digital age and the uncertainty surrounding the long term viability of the retail sector.

Decision

1) To thank Daisy for her attendance and note the presentation provided.

2) To agree that a copy of the slides be made accessible to members.

Declaration of Interest

Councillor Lesley Macinnes declared a non-financial interest as the Convener of Transport and Environment and political lead of this work at the City of Edinburgh Council.

5.   Financial Planning 2019/20

An update was provided on the financial planning being progressed for the Partnership for the 2019/20 revenue budget.

Decision

To note the update on the financial planning assumptions being progressed for the 2019/20 revenue budget.

6.   Finance Officer's Report

The Board considered a report which presented the third update on financial performance of the Core and Projects budgets of the Partnership for 2018/19, in accordance with the Financial Regulations of the Partnership. The report provided an analysis of financial performance to the end of October 2018 and included details of the cash flow position of the Partnership in respect of its lending to and borrowing from the City of Edinburgh Council.

Decision

1)   To note that total revenue expenditure was forecast to be within the revenue budget resources of the Partnership, with a cost pressure of £2,000 on the core budget being managed by a compensating underspend on the Projects budget.

2)   To approve the transfer of the forecast underspend on EU-funded projects to the Sustainable and Active Travel budget for 2018/19, after offset of core budget costs.

7.   Treasury Management – Mid-term Review

Details were provided of the investment activity undertaken on behalf of the Partnership during the first half of the 2018/19 Financial Year.

Decision

To note the investment activity undertaken on behalf of the Partnership.

8.   Projects Update

An update was provided on the current status and progress of the various projects SEStran was involved in and covered the latest position on the EU exit process.

Decision

1)   To note the report.

2)   To approve the grant to East Lothian Council as detailed in paragraph 4.5 of the report.

3)   To note that the European Conference on Mobility Management was due to be hosted by SEStran in Edinburgh from 29 until 31 May 2019 but discussions would take place with the Chair about withdrawing SEStran from this conference due to the high financial risks associated with it, exacerbated by the latest Brexit position and emerging pressures on the 2019/20 budget.

4)   To approve the appointment, via the Scotland Excel Framework, of SYSTRA to undertake the Newburgh Transport Appraisal.

5)   To agree that the maintenance of cycle tracks and freight forum be incorporated to future agendas of the Chief Officer Liaison Group.

6)   To agree that that the Chair make representation to Minister for on funding for rural buses at their meeting on 11 December 2018.

Declaration of Interests

Paul White declared a financial interest as an employee of CPT Scotland and Richard Llewellyn declared a financial interest as an employee of Napier University.

9.   Dates of Future Meetings 2019

The proposed calendar of SEStran Partnership Board meetings in 2019 along with the full schedule of Sestran meetings was submitted.

Decision

1)   To approve the proposed programme of meetings for 2019.

2)   To agree that the use of video/tele conferencing be explored to enable members to have the opportunity to attend these meetings remotely.

10.   Date of Next Meeting

Decision

To note that the next meeting would be held on Friday 22 March 2019 at 10am in the Dean of Guild Room, City Chambers, Edinburgh.

11.   Head of Programmes Report

An update was provided on wider Regional Transport Partnership issues including Transport Scotland's Active Travel Fund, Review of the National Transport Strategy (NTS 2), the East Coast Main Line Association (ECMA) and other matters of relevance to the Partnership.

Decision

1)   To note the report.

2)   To agree that SEStran lobby Edinburgh Airport on its commitment to invest in the surrounding road network

3)   To agree that SEStran would explore the usage of the Edinburgh Gateway station and the options for maximising footfall.

12.   Climate Change Report

The Board received a report which outlined SEStran's responsibilities, as a public body, in relation to the Climate Change Act (Scotland) 2009.

Decision

To note the report.

13.   Risk Report

The six monthly risk register update was provided.

Decision

To note the report and the risk register.

14.   Consultation Responses

Details were provided on the consultations SEStran had responded to or was currently working on.

Decision

To note the report and to further note that any comments on the Scottish Law Commission – Automated Vehicle Consultation were to be submitted to SEStran by the end of December 2018.

15.   Minutes

Decision

1)   To note the minute of the Integrated Mobility Forum of 12 October 2018.

2)   To note the minute of the Equalities and Access to Healthcare Forum of 2 November 2018.

3)   To note the minute of the Chief Officers Liaison Group meeting of 6 November 2018.

PERFORMANCE & AUDIT COMMITTEE MEETING

**HELD IN MANDELA ROOM, CITY CHAMBERS, EDINBURGH, EH1 1YJ
ON FRIDAY, 8 MARCH 2019
10.00 A.M.**

PRESENT:	Name	Organisation Title
	Councillor Imrie (in the Chair)	Midlothian Council
	Councillor Dempsey	Fife Council
	Councillor Fullarton	Scottish Borders Council
	Councillor Horne	West Lothian Council
	Simon Hindshaw	Non-Councillor Member
	Barry Turner	Non-Councillor Member
	Doreen Steele	Non-Councillor Member

IN ATTENDANCE:	Name	Organisation Title
	Saima Afzal	City of Edinburgh Council
	Jim Grieve	SEStran
	Gavin King	City of Edinburgh Council
	Stuart Johnston	City of Edinburgh Council
	Karen Jones	Scott Moncrieff
	Lesley Newdall	City of Edinburgh Council
	Iain Shaw	City of Edinburgh Council
	Julie Vinders	SEStran

Action by

A1. ORDER OF BUSINESS

It was confirmed that an additional item would be considered at the end of the agenda in relation to the Partnership Director post, and that the reports for item 5 would now be taken after item 10.

A2. APOLOGIES

Apologies were received from Councillors Balsillie, Murtagh, and Watson. Callum Hay.

A3. DECLARATIONS OF INTERESTS

None.

A4. MINUTES

Decision

1) To approve the minute of 16 November 2018 as a correct

record.

2) To note the clarification note tabled at the meeting on the pension deficit risk (attached as Appendix 1 to the minute).

3) To request that officers explore the possibility of preparing an actions log for future meetings.

A5. FINANCE REPORTS

(a) Revenue Budget 2019/20

Details were provided of the revenue budget for 2019/20 for review by the Committee.

Decision

1) To note the report.

2) To note the anticipated recommendations to the Partnership Board meeting on 22 March 2019.

3) To request that reference be incorporated to the report for the Partnership Board to clarify that, whilst it was a standstill budget, it was a real terms reduction due to inflationary pressures.

(b) Annual Treasury Strategy

Details were provided on the proposed Investment Strategy for 2019/20.

Decision

To refer the Strategy to the Partnership Board to approve the continuation of the current arrangement outlined in Appendix 1 of the report.

A6. Draft Business Plan 2019/20

The first draft of SEStran's Business Plan for 2019/20 was submitted.

There was a wide-ranging discussion with a number of proposed amendments/additions put forward. The following key points emerged:

- To include details of the City Deals and the role SEStran would play in these.
- To replace the symbol for the corporate heading.

- To incorporate the headings at the top of each page.
- To include an "outcomes and impacts" section.
- To amend the objectives to be firmer with details of tangible deliverables.
- To update the staff organisational chart to reflect the current vacancy held in the team.

Decision

1) To note the Draft Business Plan 2019/20 attached to the report.

2) To agree the Draft Business Plan 2019/20 be updated to take cognisance of comments made by members at the meeting.

A7. **Projects Performance**

An update was provided on the progress and timeframe for the SEStran projects.

Decision

1) To note the progress of the SEStran projects.

2) To request that more emphasis on outcomes be incorporated to future iterations of the progress report.

A8 **HR Policy Review**

An update was provided on the review of Human Resources policies and procedures that commenced in November 2018. The Review was carried out in conjunction with SEStran's Human Resources Adviser and was concluded for the 2019/20 financial year.

Committee expressed concern at the proposal to reduce the notice period of 12 weeks for the Partnership Director.

Decision

1) To approve the updated policies for Incident Reporting and Travel and Subsistence.

2) To agree to continue consideration of the Statement of Particulars policy until the next meeting of the Performance and Audit Committee.

3) To explore the possibility of modernising the language of the SEStran policies and creating separate guidance, and to note that the City of Edinburgh Council would supply its template for information.

A9. **Cyber Essentials**

Committee considered a report which provided an update on the Cyber Resilience project.

Decision

To note the report.

A10. **AUDIT PLANS**

(a) Internal Audit

An update on the outcomes of the 2018/19 SEStran Internal Audit was provided.

In response to a query, it was clarified that the findings classification were as follows:

* Long term – a period of one year or more
** Medium term – a period of 3 to 12 months
*** Short term – a period of 1 to 3 months

Decision

1) To note the outcomes of the 2018/19 Internal Audit review.

2) To confirm that Internal Audit assurance in 2019/20 should focus on the adequacy and effectiveness of the framework supporting development of the Regional Transport Strategy.

3) To approve the Internal Audit recommendation that the Committee and Board should place reliance on the collective outcomes of the annual Internal Audit review and assurance reviews completed by external assurance providers, with no requirement for an Internal Audit opinion.

(b) External Audit Plan 2018/19

Committee considered the External Audit Plan for 2018/19 and were advised that all the actions proposed last year were working in practice.

Decision

1) To note the External Audit Plan for 2018/19.

2) To agree to remove the reference to the 10 year Regional Transport Strategy (2015-2025) being refreshed in 2019, prior to Plan being submitted to the Partnership Board for consideration.

A11.   Partnership Director – Secondment Opportunity

Details were provided on a proposal to advertise the Partnership Director post on an internal secondment basis.

Decision

To approve the advertisement of the Partnership Director post on an internal secondment basis, for an initial period of 12 months, and that a report be presented to the Partnership Board on 22 March on these terms.

A12.   DATE OF NEXT MEETING

10:00am on Friday 7 June 2019 in the Mandela Room, City Chambers, Edinburgh, EH1 1YJ.

Clarification Note – Pension Deficit Risk

1.   Introduction

1.1   At Performance and Audit Committee on 16th November 2018, the minute of the Performance and Audit Committee of 7th September was approved, subject to further clarity around the pension deficit risks and how they would be mitigated being made more explicit.

2.   Clarification

2.1   The Pension deficit shows the present value of the liability to meet future benefits earned by past and current employees and the resources the Partnership has set aside to meet them. The deficit at 31st March 2018 included in the Audited Annual Accounts was £662,000.

2.2   The Partnership is an admitted body of Lothian Pension Fund. The Partnership's contribution rates to Lothian Pension Fund are subject to an actuarial review on a three-year basis. Following actuarial review, Pension Fund contribution rates are set to meet forecast future benefits earned by past and current employees and address any previous service deficit.

2.3   The statutory arrangements, whereby ongoing Regional Transport Partnership grant funding is provided by Scottish Ministers under Section 70 of the Transport (Scotland) Act 2001 and the obligation of constituent councils to meet the net expenses of the Partnership under Section 3 of the Transport (Scotland) Act 2005 provides mitigation for the Partnership to ensure that funding will be set aside to enable future contributions to be paid to Lothian Pension Fund as future benefits come to be paid.

3   Recommendations

It is recommended the Performance and Audit Committee note this clarification.

Hugh Dunn
Treasurer
8th March 2019

Policy Implications	There are no policy implications arising as a result of this report.
Financial Implications	Financial implications are set out in Section 5 of this report.
Equalities Implications	There are no equalities implications arising as a result of this report.
Climate Change Implications	There are no climate change implications arising as a result of this report.

Partnership Director – Secondment Opportunity

1. PURPOSE OF REPORT

1.1 This report invites the Partnership Board to approve the advertisement of the Partnership Director post on an internal secondment basis.

2. BACKGROUND

2.1 The Partnership Board, at its meeting on 7 December 2018, accepted the resignation of the former Partnership Director and approved the appointment of the Partnership's Head of Programmes as Interim Partnership Director.

2.2 To ensure that there is stability and consistency for the organisation and to enable continuity for the existing staff and projects it is suggested that the Partnership Director post is advertised as an internal secondment opportunity. These interim arrangements would be reviewed when appropriate.

2.3 The Performance and Audit Committee considered this proposal at its meeting on 8 March 2019. There was a wide-ranging discussion, particularly around whether the appointment should be made on a permanent basis. However, the Committee accepted the officer recommendation and agreed to recommend this course of action to the Partnership Board for approval.

3. RECOMMENDATIONS

3.1 It is recommended that the Partnership Board approve the advertisement of the Partnership Director post on an internal secondment basis, for an initial period of 12 months.

Gavin King
Secretary to the Partnership
22 March 2019

Policy Implications	None
Financial Implications	Budget for the Partnership Director's salary is included in the current SEStran budget and proposed budget for 2019/20.
Equalities Implications	None
Climate Change Implications	None

External Audit Plan 2018/19

1.   Purpose of report

1.1   To present the External Audit Plan for 2018/19.

2.   SESTRAN 2018/19 – Annual Audit Plan

2.1   Scott-Moncrieff, as the appointed independent external auditor of the Partnership, have prepared an Annual Audit Plan for 2018/19. This plan details the audit approach based on an understanding of the characteristics, responsibilities and principal activities, risks and governance arrangements of the Partnership. A copy of the Plan is appended to this report.

2.2   The External Audit Plan 2018/19 was considered and noted by Performance and Audit Committee at its meeting on 8 March 2019.

3   Recommendations

3.1   It is recommended that members review and note the External Audit Plan for 2018/19.

Jim Grieve
Interim Partnership Director
15 March 2019

Appendix 1   External Audit Plan 2018/19

South East of Scotland Transport Partnership

External Audit Plan
2018/19

March 2019

Table of contents

1. Introduction

Introduction

1. This document summarises the work plan for our 2018/19 external audit of the South East of Scotland Transport Partnership ("the Partnership").

2. The core elements of our work include:

   - an audit of the 2018/19 annual accounts;
   - a review, where applicable, of the Partnership's arrangements for governance and transparency, financial management, financial sustainability and value for money; and
   - any other work requested by Audit Scotland.

Audit appointment

3. The Accounts Commission is an independent body appointed by Scottish Ministers responsible for securing the audit of local authorities and other local government bodies. The Commission's work is governed mainly by the Local Government (Scotland) Act 1973.

4. Audit Scotland is an independent statutory body that provides the Accounts Commission with the services required to carry out their statutory functions, including monitoring the performance of auditors through a quality control process.

5. The Accounts Commission has appointed Scott-Moncrieff as external auditor of the Partnership for the five year period 2016/17 to 2020/21. This document comprises the audit plan for 2018/19 and summarises:

   - the responsibilities of Scott-Moncrieff as the external auditor;
   - our audit strategy;
   - our planned audit work and how we will approach it;
   - our proposed audit outputs and timetable; and
   - background to Scott-Moncrieff and the audit team.

Confirmation of independence

6. International Standards on Auditing in the UK (ISAs (UK)) require us to communicate on a timely basis all facts and matters that may have a bearing on our independence.

7. We confirm that we will comply with Financial Reporting Council's (FRC) Revised Ethical Standard (June 2016). In our professional judgement, the audit process is independent and our objectivity has not been compromised in any way.

Adding value through the audit

8. All of our clients quite rightly demand of us a positive contribution to meeting their ever-changing business needs. Our aim is to add value to the Partnership through our external audit work by being constructive and forward looking, by identifying areas of improvement and by recommending and encouraging good practice. In this way we aim to help the Partnership promote improved standards of governance, better management and decision making and more effective use of resources.

Feedback

9. Any comments you may have on the service we provide, the quality of our work and our reports would be greatly appreciated at any time. Comments can be reported directly to the audit team or through our online survey: www.surveymonkey.co.uk/r/S2SPZBX.

10. While this plan is addressed to the Partnership, it will be published on Audit Scotland's website www.audit-scotland.gov.uk.

2.Respective responsibilities of the auditor and the Partnership

Respective responsibilities of the auditor and the Partnership

Auditor responsibilities
Code of Audit Practice

11. The Code of Audit Practice (the Code) outlines the responsibilities of external auditors appointed by the Accounts Commission and it is a condition of our appointment that we follow it.
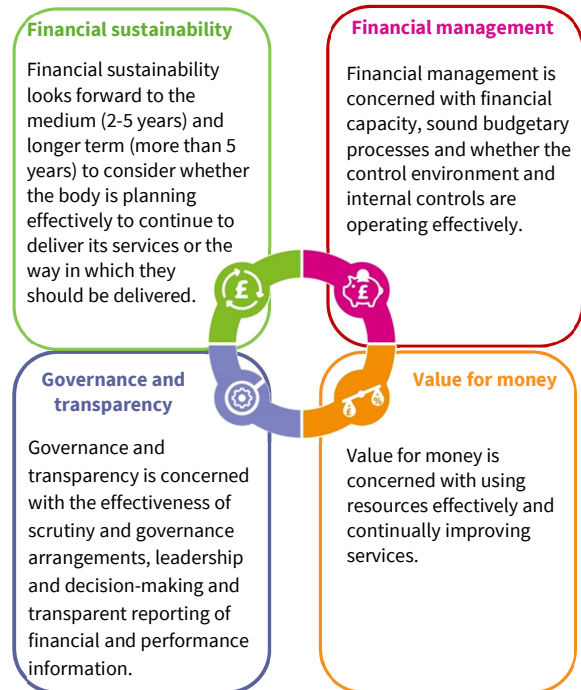
Our responsibilities

12. Auditor responsibilities are derived from statute, the Code, International Standards on Auditing (UK) (ISAs (UK)), professional requirements and best practice and cover their responsibilities when auditing financial statements and when discharging their wider scope responsibilities (paragraph 14). These are to:

- undertake statutory duties, and comply with professional engagement and ethical standards
- provide an opinion on audited bodies' financial statements and, where appropriate, the regularity of transactions
- review and report on, as appropriate, other information such as annual governance statements, management commentaries and remuneration reports
- notify the Controller of Audit when circumstances indicate that a statutory report may be required
- demonstrate compliance with the wider public audit scope by reviewing and providing judgements and conclusions on the audited bodies':
  - effectiveness of performance management arrangements in driving economy, efficiency and effectiveness in the use of public money and assets
  - suitability and effectiveness of corporate governance arrangements
  - financial position and arrangements for securing financial sustainability

13. Weaknesses or risks identified by auditors are only those which have come to their attention during their normal audit work in accordance with the Code, and may not be all that exist. Communication by auditors of matters arising from the audit of the financial statements or of risks or weaknesses does not absolve management from its responsibility to address the issues raised and to maintain an adequate system of control.

Wider scope audit work

14. The special accountabilities that attach to the conduct of public business, and the use of public money, mean that public sector audits must be planned and

Exhibit 1: Audit dimensions of wider scope public audit

Financial sustainability

Financial sustainability looks forward to the medium (2-5 years) and longer term (more than 5 years) to consider whether the body is planning effectively to continue to deliver its services or the way in which they should be delivered.

Financial management

Financial management is concerned with financial capacity, sound budgetary processes and whether the control environment and internal controls are operating effectively.

Governance and transparency

Governance and transparency is concerned with the effectiveness of scrutiny and governance arrangements, leadership and decision-making and transparent reporting of financial and performance information.

Value for money

Value for money is concerned with using resources effectively and continually improving services.

undertaken from a wider perspective than in the private sector. This means providing assurance, not only on the financial statements, but providing audit judgements and conclusions on the appropriateness, effectiveness and impact of corporate governance and performance management arrangements and financial sustainability.

15. The Code sets out four audit dimensions that frame the wider scope audit work into identifiable audit areas. These are summarised in Exhibit 1.

16. Where the application of the full wider scope is judged by us not to be appropriate then our annual audit work on the wider scope is restricted to:

- Audit work to allow conclusions to be made on the appropriateness of the disclosures in the governance statement; and
- Consideration of the financial sustainability of the organisation and the services that it delivers over the medium and longer term.

17. Our assessment takes into account the size, nature and risks of the Partnership. Taking these factors into consideration, we have concluded that application of

the restricted wider scope is appropriate at the Partnership.

Best Value

18. Appointed auditors have a duty to be satisfied that local government bodies have made proper arrangements to secure best value.

19. Our work in respect of the Partnership's best value arrangements will be integrated into our audit approach, including our work on the wider scope audit dimensions referred to above.

Strategic audit priorities for local government audits

20. The Accounts Commission has set the following five strategic Audit Priorities that it expects auditors to consider in all work across local government:

    • Having clear priorities with a focus on outcomes, supported by effective long term planning.

    • Demonstrating the effective appraisal of options for changing how services are delivered in line with their priorities.

• Ensuring that members and officers have the right knowledge, skills and support to design, develop and deliver effective services in the future.

• Empowering local communities and involving them in the design and delivery of local services and planning for their local area.

• Reporting the organisation's performance in a way that enhances accountability to citizens and communities, helping them contribute better to the delivery of improved outcomes.

21. Our consideration of these priorities will be integrated into our 2018/19 audit work. The extent to which we will report on these will be dependent on the findings of our work as it relates to the four dimensions referred to above.

Partnership responsibilities

22. The Partnership has primary responsibility for ensuring the proper financial stewardship of public funds, compliance with relevant legislation and establishing effective arrangements for governance, propriety and regularity that enable them to successfully deliver their objectives. The Partnership's responsibilities are summarised in Exhibit 2.

Exhibit 2 – Partnership's responsibilities

Area	Partnership's responsibilities
Financial statements: Annual accounts containing financial statements and other related reports should be prepared.	The Partnership has responsibility for: • preparing financial statements which give a true and fair view of their financial position and their expenditure and income, in accordance with the applicable financial reporting framework and relevant legislation • maintaining accounting records and working papers that have been prepared to an acceptable professional standard and that support their financial statements and related reports disclosures • maintaining proper accounting records • preparing and publishing, along with their financial statements, an annual governance statement, management commentary (or equivalent) and a remuneration report that are consistent with the disclosures made in the financial statements

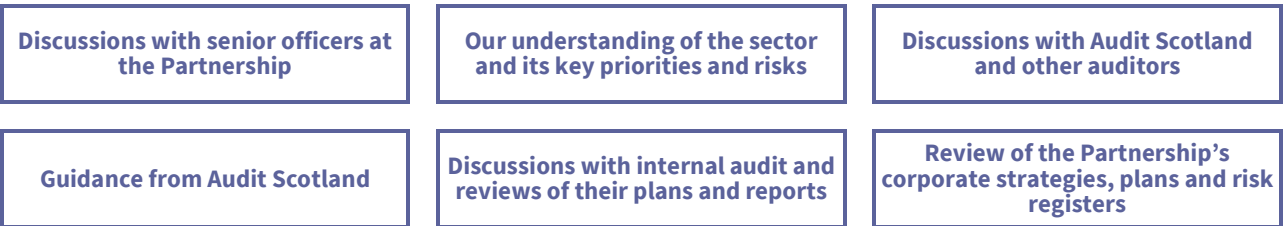| Area	Partnership's responsibilities
Financial sustainability: Financial sustainability looks forward to the medium and longer term to consider whether the organisation is planning effectively to continue to fulfil its functions in an affordable and sustainable manner.	The Partnership is responsible for putting in place proper arrangements to ensure the financial position is soundly based having regard to: • Such financial monitoring and reporting arrangements as may be specified; • Compliance with any statutory financial requirements and achievement of financial targets; • Balances and reserves, including strategies about levels and their future use; • How the organisation plans to deal with uncertainty in the medium and long term; and • The impact of planned future policies and foreseeable developments on the financial position.
Financial management: Financial management is concerned with financial capacity, sound budgetary processes and whether the control environment and internal controls are operating effectively.	The Partnership is responsible for ensuring that financial affairs are conducted in a proper manner. Management is responsible, with the oversight of those charged with governance, to communicate relevant information to users about the entity and its financial performance. The Partnership is responsible for developing and implementing effective systems of internal control as well as financial, operational and compliance controls. These systems should support the achievement of their objectives and safeguard and secure value for money from the public funds at its disposal. It is the Partnership's responsibility to establish arrangements to prevent and detect fraud, error and irregularities, bribery and corruption and also to ensure that its affairs are managed in accordance with proper standards of conduct by putting proper arrangements in place.
Governance and transparency: Governance and transparency is concerned with the effectiveness of scrutiny and governance arrangements, leadership and decision making, and transparent reporting of financial and performance information.	The Partnership is responsible for establishing arrangements to ensure the proper conduct of their affairs including the legality of activities and transactions, and for monitoring the adequacy and effectiveness of these arrangements. The Partnership is also responsible for establishing effective and appropriate internal audit and risk management functions.
Value for money: Value for money is concerned with the appropriate use of resources and ensuring continual improvement of services delivered.	The Partnership has a specific responsibility to ensure that arrangements have been made to secure best value. Audited bodies are responsible for ensuring that these matters are given due priority and resources, and that proper procedures are established and operate satisfactorily.

3. Audit strategy

Audit strategy

Risk-based audit approach

23. We follow a risk-based approach to audit planning that reflects our overall assessment of the relevant risks that apply to the Partnership. This ensures that our audit focuses on the areas of highest risk. Our audit planning is based on:

Discussions with senior officers at the Partnership	Our understanding of the sector and its key priorities and risks	Discussions with Audit Scotland and other auditors
Guidance from Audit Scotland	Discussions with internal audit and reviews of their plans and reports	Review of the Partnership's corporate strategies, plans and risk registers

24. Planning is a continuous process and our audit plans are therefore updated during the course of our audit to take account of developments as they arise.

Communications with those charged with governance

25. Auditing standards require us to make certain communications throughout the audit to those charged with governance. We have agreed with the Partnership that these communications will be through the Performance and Audit Committee.

Professional standards and guidance

26. We perform our audit of the financial statements in accordance with International Standards on Auditing (UK) (ISAs (UK)), the International Standard on Quality Control 1 (UK), Ethical Standards, and applicable Practice Notes and other guidance issued by the Financial Reporting Council (FRC).

Partnership working

27. We will coordinate our work with Audit Scotland, internal audit, other external auditors and relevant scrutiny bodies, recognising the increasing integration of service delivery and partnership working within the public sector.

Audit Scotland

28. Although we are independent of Audit Scotland and are responsible for forming our own views and opinions, we do work closely with them throughout the audit. This helps, for example, to identify common priorities and risks, treat consistently any issues arising that impact on a number of audited bodies, and further develop an efficient and effective approach to public audit. We will share information about identified risks, good practices and barriers to improvement so that lessons to be learnt and knowledge of what works can be disseminated to all relevant bodies.

29. Audit Scotland undertakes national performance audits on issues affecting the public sector. We will review the Partnership's arrangements for taking action on any issues reported in the national performance reports which may have a local impact. We plan to assess the extent to which the Partnership uses the national performance reports as a means to help improve performance at the local level.

30. During the year we may also be required to provide information to Audit Scotland to support the national performance audits.

Internal audit

31. We are committed to avoiding duplication of audit effort and ensuring an efficient use of the Partnership's total audit resource. The Partnership's internal audit function is provided by the City of Edinburgh Council's internal audit team. We will consider the findings of the work of internal audit during our audit and look to minimise duplication of effort, to ensure the total audit resource to the Partnership are used efficiently and effectively.

Service organisations

32. The Partnership utilises a number of the constituent local authorities to provide services including financial

ledger, payroll and human resources services. Where the systems may have a material impact on the financial statements we will work with these authorities to understand the controls in place at the service organisation.

4. Annual accounts

Annual accounts

Introduction

33. Audited bodies' annual accounts are an essential part of accounting for their stewardship of the resources made available to them and their financial performance in the use of those resources. This section sets out our approach to the audit of the Partnership's annual accounts.

Approach to audit of the annual accounts

34. Our opinion on the annual accounts will be based on:

Risk-based audit planning

35. We focus our work on the areas of highest risk. As part of our planning process we prepare a risk assessment highlighting the audit risk relating to each of the key systems on which the annual accounts will be based.

An audit of key systems and internal controls

36. We evaluate the key accounting systems and internal controls and determine whether they are adequate to prevent material misstatements in the annual accounts.

37. The systems we review and the nature of the work we perform will be based on the initial risk assessment. We will examine and test compliance with best practice and the Partnership's own policies and procedures.

38. We will take cognisance of any relevant internal audit reviews of systems and controls.

39. We will update the risk assessment following our evaluation of systems and controls and this will ensure that we continue to focus attention on the areas of highest risk.

A final audit of the annual accounts

40. During our final audit we will test and review the material amounts and disclosures in the annual accounts. The extent of testing will be based on our risk assessment.

41. Our final audit will seek to provide reasonable assurance that the annual accounts are free from material misstatement and comply with the Code of Practice on Local Authority Accounting in the United Kingdom 2018/19 (the Code).

Independent auditor's report

42. Our opinion on whether the financial statements give a true and fair view of the financial position and the income and expenditure will be set out in our independent auditor's report which will be included in the annual accounts.

43. We also provide an opinion on the audited part of the remuneration report, annual governance statement and management commentary.

Materiality

44. Materiality is an expression of the relative significance of a matter in the context of the financial statements as a whole. A matter is material if its omission or misstatement would reasonably influence the decisions of an addressee of the auditor's report. The assessment of what is material is a matter of professional judgement over both the amount and the nature of the misstatement. We will review our assessment of materiality throughout our audit.

45. Our initial assessment of materiality for the Partnership's annual accounts is £16,000. Our assessment of materiality equates to approximately 1% of the Partnership's 2017/18 gross expenditure.

46. As noted above, our initial assessment of materiality is set with reference to gross expenditure. We consider this to be the principal consideration for the users of the accounts when assessing the performance of the Partnership. We will review and update our assessment of materiality following receipt of the unaudited annual accounts.

47. Performance materiality is the amount set by the auditor at less than overall materiality for the financial statements as a whole to reduce to an appropriately low level the probability that the aggregate of the uncorrected and undetected misstatements exceed materiality for the financial statements as a whole.

48. We set a performance (testing) materiality for each area of work which is based on a risk assessment for the area. We perform audit procedures on all transactions, or groups of transactions, and balances that exceed our performance materiality. This means that we perform a greater level of testing on the areas deemed to be at significant risk of material misstatement.

	Area risk assessment £		
	High	**Medium**	**Low**
Performance materiality	6,400	8,000	10,400

49. We will report any misstatements identified through our audit that fall into one of the following categories:

- All material corrected misstatements;

- Uncorrected misstatements with a value in excess of 5% of the overall materiality figure; and

- Other misstatements below the 5% threshold that we believe warrant reporting on qualitative grounds.

Key audit risks in the annual accounts

50. Auditing standards require that we inform the Performance and Audit Committee of our assessment of the risk of material misstatement in the annual accounts. We have set out our initial assessment below, including how the scope of our audit responds to those risks. We will provide an update to the Performance and Audit Committee if our assessment changes significantly during the audit.

Exhibit 3 – Key audit risks in the annual accounts

1. Management override

In any organisation, there exists a risk that management has the ability to process transactions or make adjustments to the financial records outside the normal financial control processes. Such issues could lead to a material misstatement in the financial statements. This is treated as a presumed risk area in accordance with ISA (UK) 240 - *The auditor's responsibilities relating to fraud in an audit of financial statements.*

51. In response to this risk we will review the Partnership's accounting records and obtain evidence to ensure that any significant transactions outside the normal course of business were valid and accounted for correctly. We will adopt data analytics techniques to review and test aspects of this key audit risk. We will review the key accounting estimates, judgements and decisions made by management. This will include, for example, depreciation rates and asset valuations.

2. Revenue recognition

Under ISA (UK) 240- *The auditor's responsibilities relating to fraud in an audit of financial statements* there is a presumed risk of fraud in relation to revenue recognition. The presumption is that the Partnership could adopt accounting policies or recognise revenue transactions in such a way as to lead to a material misstatement in the reported financial position.

52. As part of our planning process we have considered the nature of the revenue streams at the Partnership against the risk factors set out in ISA (UK) 240. We have identified that for Scottish Government grant funding and council requisitions, the risk of revenue recognition can be rebutted due to a lack of incentive and opportunity to manipulate revenue of this nature. We have concluded, however, that the risk of fraud in relation to revenue recognition is present in all other income streams.

53. For all other income streams, we will review the controls in place over revenue accounting. We will consider the Partnership's key revenue transactions and streams and carry out testing to confirm that the Partnership's revenue recognition policy is appropriate and has been applied consistently throughout the year.

3. Risk of fraud in the recognition of expenditure

In 2016, the Public Audit Forum issued Practice Note 10 "*The Audit of Public Sector Financial Statements*" which applies to the audit of public sector financial statements for periods commencing after June 2016. This Practice Note recognises that most public sector bodies are net spending bodies and notes that there is an increased risk of material misstatement due to improper recognition of expenditure.

54. In response to this risk we will evaluate the significant expenditure streams (excluding payroll which is not deemed to be a significant risk area) and review the controls in place over accounting for expenditure. We will consider the Partnership's key areas of expenditure and obtain evidence that the expenditure is recorded in line with appropriate accounting policies and the policies have been applied consistently across the year.

55. During the 2017/18 audit, it was identified that in the absence of the Partnership Director, appropriate contingency arrangements for the approval of expenditure were not in place. The Chair of the Partnership Board approved invoices from December 2017 until September 2018. During our 2018/19 audit, we will follow up on revised expenditure approval arrangements implemented by the Partnership and ensure that these have been consistently applied.

4. Property, plant and equipment

As at 31 March 2018, the Partnership held £0.422million in property, plant and equipment. This primarily relates to a high volume of low value technology equipment which is held in a variety of locations across the south east of Scotland.

During our 2016/17 audit, we identified a number of control weaknesses with respect of the recording and valuing assets. Improvements were made during 2017/18, but this work is ongoing.

Due to the nature of equipment held by the Partnership there is a risk that asset records maintained may not be accurate and equipment values may not be appropriate if technology becomes obsolete.

56. We will review the steps taken by officers to improve the maintenance of the fixed asset register. We will consider management's annual impairment review and verification exercises to ensure that the asset records held are accurate and assets are valued appropriately.

5. Pension assumptions

An actuarial estimate of the pension fund assets and liabilities is calculated on an annual basis under IAS 19 and on a triennial funding basis by an independent firm of actuaries with specialist knowledge and experience. The estimates are based on the most up-to-date membership data held by the pension fund and have regard to local factors such as mortality rates and expected pay rises with other assumptions around inflation when calculating the liabilities.

Due to the timing of the publication of unaudited accounts, IAS 19 valuations are typically performed in advance of actual investment returns being available. This results in the valuation also including an assumption regarding the investment returns of assets held by the fund for the final quarter of the financial year. Financial markets have experienced significant volatility in the last year and this trend has continued into 2019 which may result in challenges in estimating expected return on assets.

57. We will review the controls in place to ensure that the data provided from the pension fund to the actuary is complete and accurate. We will review the reasonableness of the assumptions used in the calculation against other local government pension fund actuaries and other observable data. We will agree the disclosures in the financial statements to information provided by the actuary.

Management commentary, Remuneration report and Annual governance statement

58. We also provide an opinion on the audited part of the remuneration report, annual governance statement and management commentary.

59. The Partnership Director resigned from his post in November 2018 with the Head of Programmes taking on the role of interim Partnership Director. The new (interim) Partnership Director will be responsible for signing aspects of the 2018/19 annual accounts. We will, during our audit, consider what arrangements are in place to ensure the interim Partnership Director has the appropriate assurances to allow them to sign the 2018/19 annual accounts.

Management Commentary

60. We are required to review the management commentary and ensure it is consistent with the financial statements and also confirm that it has been prepared in accordance with the statutory guidance issued under the Local Government Scotland Act 2003.

Remuneration report

61. We are required to review the audited part of the remuneration report and confirm that it has been properly prepared in accordance with The Local Authority Accounts (Scotland) Regulations 2014.

62. This work will include an assessment of whether appropriate disclosures have been made with respect of the change in Partnership Director during the year as part of our 2018/19 audit.

Annual Governance Statement

63. We will review the annual governance statement and assess whether it is consistent with the annual accounts and whether it has been properly prepared in accordance with the Delivering Good Governance Framework (2016).

64. We will assess whether the new Partnership Director has been given appropriate assurances in order to be able to sign the annual governance statement.

5. Wider scope audit

Wider scope audit

Introduction

65. As described in section 2, the Code frames a significant part of our wider scope responsibilities in terms of four audit dimensions. Following consideration of the size, nature and risks of the Partnership, the application of the full wider scope audit is judged by us not to be appropriate. Our annual audit work on the wider scope will therefore be restricted to:

- Audit work to allow conclusions to be made on the appropriateness of the disclosures in the governance statement; and
- Consideration of the financial sustainability of the organisation and the services that it delivers over the medium and longer term.

66. Our planned audit work against these two areas is risk based and proportionate. Our initial assessment builds upon the understanding of the Partnership which we developed from previous years, along with discussions with management and review of committee minutes and key strategy documents.

67. In 2018/19 we have also considered the following risk areas as they relate to the Partnership:

- EU withdrawal
- Changing landscape of public financial management
- Dependency on key suppliers
- Openness and transparency

68. At this stage of our audit planning process, we have identified one significant risk to the wider scope of our audit (Exhibit 4). Audit planning is a continuous process and we will report any identified significant risks, as they relate to the wider scope, in our annual audit report.

Exhibit 4 – Wider Scope Significant Risk

1. Financial sustainability

In 2017/18 we concluded that while arrangements are in place for short-term financial planning, we recommended that further work is carried out to consider the long-term financial priorities of the Partnership.

The Partnership has a 10 year Regional Transport Strategy (RTS) (2015-2025) in place. During 2019/20 the Partnership plans to commence the process of re-writing the RTS. A supporting business plan for 2018-19 outlines the planned travel and transport projects to be delivered by the Partnership for the next year. While the strategy sets out the long-term objectives of the Partnership, revenue funding is generally only confirmed for the forthcoming financial year. This therefore challenges the Partnership's ability to agree detailed long-term plans and objectives.

The Transport (Scotland) Bill was introduced to Parliament on 8 June 2018 and is currently at Stage 1 in the legislative process. As it stands, the most significant potential impact for the Partnership is that regional transport partnerships would be given the authority to hold reserves which would provide the Partnership with greater financial flexibility.

In addition a review of the National Transport Strategy is currently underway. A formal public consultation on the National Transport Strategy 2 is due to be published in the summer with the expectation that the finalised strategy will be adopted before the end of 2019. This review may bring changes which the Partnership cannot currently be reflected in long term financial planning.

69. During our audit we will consider whether the Partnership has adequate arrangements in place for managing its financial position and its use of resources. Our conclusion will be based on a review of the Partnership's financial performance, underlying financial position, financial plans and financial reporting.

6.Audit outputs, timetables and fees

Audit outputs, timetable and fees

This section of our plan provides details of our audit outputs, timetable and proposed audit fees for the audit of the Partnership.

Audit output	Format	Description	Target month
External audit plan	Report	This report sets out the scope of our audit for 2018/19.	March 2019
Independent Auditor's Report	Report	This report will contain our opinion on the financial statements, the audited part of the remuneration report, annual governance statement and management commentary.	September 2019
Annual Report to the Partnership and the Controller of Audit	Report	At the conclusion of each year's audit we issue an annual report setting out the nature and extent of our audit work for the year and summarise our opinions, conclusions and the significant issues arising from our work. This report pulls together all of our work under the Code of Audit Practice.	September 2019

Audit outputs

70. Prior to submitting our outputs, we will discuss all issues with management to confirm factual accuracy and agree a draft action plan where appropriate.

71. The action plans within the reports will include prioritised recommendations, responsible officers and implementation dates. We will review progress against the action plans on a regular basis.

Audit fee

72. Audit Scotland sets an expected fee for each audit carried out under appointment that assumes the body has sound governance arrangements in place, has been operating effectively throughout the year, prepares comprehensive and accurate draft accounts and meets the agreed timetable for audit. The expected fee is reviewed by Audit Scotland each year and adjusted if necessary based on auditors' experience, new requirements, or significant changes to the audited body.

73. As auditors we negotiate a fee with the audited body during the planning process. The fee may be varied above the expected fee level to reflect the circumstances and local risks within the body.

74. For 2018/19 we propose setting the audit fee above the expected fee level. The expected fee for the Partnership is £9,790. We propose setting the fee above this level at £11,150 to take cognisance of the level of risk and the audit work we will carry out as identified in this plan:

	2018/19	2017/18
Auditor remuneration	£9,800	£9,900
Pooled costs	£820	£730
Audit support costs	£530	£520
Total expected fee	**£11,150**	**£11,150**

75. We will take account of the risk exposure of the Partnership and the management assurances in place. We assume receipt of the draft working papers at the outset of our on-site final audit visit. If the draft accounts and papers are late, or agreed management assurances are unavailable, we reserve the right to charge an additional fee for additional audit work. An additional fee will be required in relation to any other significant exercises not within our planned audit activity.

Audit timetable

76. A summary timetable, including audit outputs, is set out as follows:

FEB 19 Planning meeting with senior officers

MAR 19 Presentation of External Audit Plan to the Performance and Audit Committee

JUL 19 Accounts presented for audit and final audit visit begins

SEP 19 Presentation of our Annual Report on the Audit to the Performance and Audit Committee

7. Appendices

Appendix 1: Your audit management team

Scott-Moncrieff is one of the largest independent accountancy firms in Scotland. We have 16 partners and over 200 staff operating from Edinburgh, Glasgow and Inverness. We are also part of the global Moore Stephens network.
We have been external auditors within the public sector for at least fifty years. We provide a comprehensive range of services to clients across the public sector, including NHS bodies, local authorities, central government bodies and FE colleges. We also provide services to charities, schools, as well as private and public limited companies.

Edinburgh	Glasgow	Inverness
Exchange Place 3	25 Bothwell Street	10 Ardross Street
Semple Street	Glasgow	Inverness
Edinburgh	G2 6NL	IV3 5NS
EH3 8BL		
(0131) 473 3500	(0141) 567 4500	(01463) 701 940

Your audit management team

Karen Jones

Director

karen.jones@scott-moncrieff.com

Karen is one of our directors responsible for the audit of our Audit Scotland external audit appointments. She has considerable experience in planning and delivering audits, producing management reports and liaising with senior officers.

Rachel Wynne

Assistant Manager

rachel.wynne@scott-moncrieff.com

Rachel joined the firm in 2014 as a public sector audit trainee and has since achieved her CA qualification. She has experience delivering external audit services to a range of public sector bodies, including local government.

Rachel will manage the onsite team and work alongside Karen to deliver the audit engagement.

Appendix 2: Confirmation of independence

International Standard on Auditing (UK) 260 "Communication with those charged with governance" requires us to communicate on a timely basis all facts and matters that may have a bearing on our independence.

We confirm that we will comply with FRC's Revised Ethical Standard (June 2016). In our professional judgement, the audit process is independent and our objectivity has not been compromised in any way. In particular there are and have been no relationships between Scott-Moncrieff, the Partnership, its Partnership members and senior management that may reasonably be thought to bear on our objectivity and independence.

Appendix 3: Statement of understanding

Introduction

The purpose of this statement of understanding is to clarify the terms of our appointment and the key responsibilities of the Partnership and Scott-Moncrieff.

Annual report and accounts

We will require the annual accounts and supporting working papers for audit by the agreed date specified in the audit timetable. It is assumed that the relevant Partnership staff will have adequate time available to deal with audit queries and will be available up to the expected time of completion of the audit. We will issue a financial statements strategy which sets out roles, responsibilities and expectations in terms of audit deliverables. This document helps to ensure we can work together effectively to deliver an efficient and effective audit.

Scope of audit

As auditors we will take reasonable steps to plan and carry out the audit so as to meet the objectives and comply with the requirements of the Code of Audit Practice. Audit work will be planned and performed on the basis of our assessment of audit risks, so as to obtain such information and explanations as are considered necessary to provide sufficient evidence to meet the requirements of the Code of Audit Practice.

As auditors we do not act as a substitute for the Partnership's responsibility to establish proper arrangements to ensure that public business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively.

As part of our normal audit procedures, we will ask you to provide written confirmation of certain oral representations which we have received from the Partnership during the course of the audit on matters having a material effect on the financial statements. This will take place by means of a letter of representation, which will require to be signed by the Treasurer.

Internal audit

It is the responsibility of the Partnership to establish adequate internal audit arrangements. The audit fee is agreed on the basis that an effective internal audit function exists.

We will liaise with internal audit to ensure an efficient audit process.

Fraud and irregularity

In order to discharge our responsibilities regarding fraud and irregularity we require any fraud or irregularity issues to be reported to us as they arise. We also require a historic record of instances of fraud or irregularity to be maintained and a summary to be made available to us after each year end.

Ethics

We are bound by the ethical guidelines of our professional body, the Institute of Chartered Accountants of Scotland.

Fees

We base our agreed fee upon the assumption that all of the required information for the audit is available within the agreed timetable. If the information is not available within the timetable we reserve the right to charge a fee for the additional time spent by our staff. The fee will depend upon the level of skill and responsibility of the staff involved. The indicative financial statements strategy referred to above is a key means for us to clarify our expectations in terms of quality, quantity and extent of working papers and supporting documentation.

Service

If at any time you would like to discuss with us how our service to you could be improved or if you are dissatisfied with the service you are receiving please let us know by contacting Karen Jones. If you are not satisfied, you should contact our Ethics Partner, Bernadette Higgins. In the event of your not being satisfied by our response, you may also wish to bring the matter to the attention of the Institute of Chartered Accountants of Scotland.

We undertake to look at any complaint carefully and promptly and to do all we can to explain the position to you.

Reports

During the course of the audit we will produce reports detailing the results and conclusions from our work. Any recommendations arising from our audit work will be included in an action plan. Management are responsible for providing responses, including target dates for implementation and details of the responsible officer.

Agreement of terms

We shall be grateful if the Performance and Audit Committee would consider and note this statement of understanding. If the contents are not in accordance with your understanding of our terms of appointment, please let us know.

Internal Audit Plan

1. INTRODUCTION

1.1 The City of Edinburgh Council Internal Audit (IA) team performs one annual review to provide assurance over the controls established to mitigate certain key SEStran partnership risks.

1.2 The purpose of this paper is to provide an update on the outcomes of the 2018/19 SEStran IA review; request the Partnership's insights on areas for potential inclusion in the scope of the planned 2019/20 review and request the Partnership's views regarding the requirement for an annual SEStran IA opinion.

2. SCOPE OF THE 2018/19 INTERNAL AUDIT REVIEW

2.1 The scope of the 2018/19 IA review assessed the design adequacy and operating effectiveness of the key controls established to ensure ongoing compliance with GDPR, with focus on SEStran's progress towards achieving the Scottish Government's Cyber Essentials Plus accreditation; and existing operational technology controls.

Review Outcomes

2.2 Our review confirmed that an adequate and appropriate control environment has been established to support SEStran's ongoing compliance with GDPR and ensure that the organisation is appropriately protected from cyber security.

2.3 Whilst some minor control weaknesses were identified, these are unlikely to have a significant impact on either GDPR compliance or security. Consequently, three Low rated findings were raised reflecting the opportunity to improve these controls.

2.4 The first finding reflects minor weaknesses in security arrangements supporting transfer of employee data to third party payroll and human resource providers that could be improved to ensure that personal sensitive employee information is appropriately protected.

2.5 The remaining findings highlight the need to improve employee awareness of cyber security and GDPR requirements through ongoing testing and ensure that all external assurance recommendations are documented and monitored to avoid potential key person dependency risks.

2.6 We also identified a number of areas of good practice applied by SEStran. These are included in the opinion section of the report (section 2).

2.8 The full terms of reference and final report are included at Appendices 1 and 2.

3. 2019/20 INTERNAL AUDIT REVIEW

3.1 The Internal Audit team has now completed their 2019/20 annual planning process, and the draft plan will be presented to the Council's Governance, Risk, and Best Value Committee for review and scrutiny on 19 March 2019.

3.2 The draft annual plan includes one 15-day Internal Audit review for SEStran. This is consistent with the level of assurance provided in prior years.

3.3 Initial discussions with SEStran management has highlighted the potential for IA to provide assurance in relation to the risks associated with development of the Regional Transport Strategy in 2019/20 review.

4. INTERNAL AUDIT ANNUAL OPINION

4.1 Public Sector Internal Audit Standards (PSIAS) require an organisation's Chief Internal Auditor to deliver an annual internal audit opinion that can be used by the organisation to inform its governance statement.

4.2 The annual internal audit opinion must conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.

4.3 The IA opinion would normally be based on the outcomes of a risk based IA plan designed to provide assurance across the full population of an organisation's risks, with focus on the most significant risks.

4.4 It should also be noted that IA is not the sole source of assurance provision for SEStran, as a number of additional external third line assurance providers are engaged (in addition to the annual external audit review of LPF's financial statements) to provide assurance across SEStran risks.

4.5 As IA delivers only one annual audit for SEStran that does not cover their entire population of risks, and is not their sole source of assurance provision, it is IA's view that it is not appropriate for IA to provide an annual opinion for SEStran.

4.6 It is IA's recommendation that the Committee and Board should instead place reliance on the collective outcomes of the annual IA review and assurance reviews completed by external assurance providers to form a holistic view on the effectiveness of the controls established by SEStran to manage their risks, and their governance arrangements.

5. RECOMMENDATIONS

5.1 The Board is requested to:
- note the outcomes of the 2018/19 IA review;
- confirm whether IA assurance in 2019/20 should focus on the adequacy and effectiveness of the framework supporting development of the

Regional Transport Strategy, and provide insights in relation to any other key SEStran risks and areas of concern that should be considered for inclusion in the 2019/20 IA review; and

- approve the IA recommendation that the Committee and Board should place reliance on the collective outcomes of the annual IA review and assurance reviews completed by external assurance providers, with no requirement for an annual IA opinion.

Lesley Newdall

Chief Internal Auditor, City of Edinburgh Council

E-mail: lesley.newdall@edinburgh.gov.uk | Tel: 0131 469 3216

March 2019

Appendix 1: Final Report

Appendix 2: Terms of Reference

Policy Implications	None
Financial Implications	SEStran is charged an annual fee for provision of the annual IA assurance review. The fee for 2017/18 was £5,000. The fee for 2018/19 is currently being quantified and will be discussed and agreed with management prior to finalisation.
Equalities Implications	None
Climate Change Implications	None

The City of Edinburgh Council
Internal Audit

South East of Scotland Transport Partnership (SEStran)

Final Report

28 February 2019

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·EDINBVRGH·
THE CITY OF EDINBURGH COUNCIL

Contents

1. Background and Scope

Background

The City of Edinburgh Council performs an annual Internal Audit review for the South East of Scotland Transport Partnership (SEStran). The scope of this review was directed by the SEStran management team and focuses on the organisation's most significant risks.

GDPR

The European Union (EU) General Data Protection Regulation (GDPR) became effective on 25 May 2018, and is designed to regulate the protection of natural persons in relation to processing their personal and personal sensitive data, and its free movement. It is expected that organisations will have established plans detailing the actions they need to implement to achieve compliance with the new regulations, with focus on addressing known legacy issues.

The legislation includes eight rights for individuals allowing easier access to their personal data held by organisations; a new fines regime; and a clear responsibility for organisations to obtain the consent of people they collect information on.

Consequently, it is essential that organisations have established appropriate data and records management frameworks that are aligned with GDPR requirements.

SEStran management has advised that advice was obtained from an information governance consultant who reviewed existing records management processes and developed training for team members. Additional legal advice was also obtained from Anderson Strathern.

Cyber Security

To ensure ongoing GDPR compliance, it is essential that organisations have established appropriate cyber security and operational technology controls to ensure that personal and personal sensitive data maintained in technology systems is appropriately secured.

In recent years, there has been a significant number of organisational data breaches including Facebook; Marriot Hotels; Morrisons; Uber; and local authorities. Many of these occurred due to weaknesses in external cybersecurity and internal operational technology controls designed to ensure that personal data held in systems is appropriately secured and protected.

The Scottish Government (SG) has noted that the importance of cyber resilience in Scotland's public bodies has never been greater, and has introduced the Public-Sector Action Plan for Cyber Resiliency (the Plan). The Plan sets out the key actions that the Scottish Government (SG), public bodies, and key partners were expected to take before the end of 2018 to further enhance cyber resilience across Scotland's public sector.

The SG has advised organisations to aim for either Cyber Essentials (essentially a self-assessment of their cyber controls), or Cyber Essentials Plus (CE Plus) accreditation, which involves completion of an independent assessment against the nine key actions included in the SG plan.

Management had advised that the majority of SEStran data is maintained in Microsoft Office 365, with archived data held on a server.

SEStran management had also advised that a cyber risk pre-assessment has been performed by an external consultant, resulting in the recommendation that SEStran should aim for cyber essentials plus accreditation, having already achieved Cyber Essentials certification. Accreditation for Cyber Essentials Plus was achieved 22nd February 2019.

Third party supplier management

To ensure ongoing compliance with GDPR requirements, it is important that organisations receive assurance from third parties (who process or store data on their behalf) confirming that they have established appropriate GDPR compliance frameworks; cyber security; and operational technology controls.

SEStran relies on a number of third parties for provision of outsourced services. Falkirk Council currently provide HR services; payroll is provided by the City of Edinburgh Council; technology services and support are outsourced to One Stop; and legal services are provided by Anderson Strathern.

SEStran payroll data is also provided to European organisations that provide funding.

Scope

The scope of this review assessed the design adequacy and operating effectiveness of the key controls established to ensure ongoing compliance with GDPR, with focus on progress towards CE Plus; existing operational technology controls; and third-party supplier management.

Our review was completed on 18th February 2019, and our findings and opinion are based on the outcomes of our testing as at that date.

2. Executive summary

Total number of findings: 3

Summary of findings raised	
Low	1. Third party supplier management.
Low	2. Staff knowledge and awareness of cyber security.
Low	3. External assurance recommendations.

Opinion

Our review confirmed that an adequate and appropriate control environment has been established to support SEStran's ongoing compliance with GDPR, and ensure that the organisation is appropriately protected from cyber security.

Whilst some minor control weaknesses were identified, these are unlikely to have a significant impact on either GDPR compliance or security. Consequently, three Low rated findings have been raised reflecting the opportunity to improve these controls.

The first finding reflects minor weaknesses in security arrangements supporting transfer of employee data to third party payroll and human resource providers that could be improved to ensure that personal sensitive employee information is appropriately protected.

The remaining findings highlight the need to improve employee awareness of cyber security and GDPR requirements through ongoing testing and ensure that all external assurance recommendations are documented and monitored to avoid potential key person dependency risks.

Our detailed findings and recommendations are laid out at Section 3 below.

Areas of good practice

The following areas of good practice were identified during our review:

- numerous policies such as Records Management; Data Protection; and Retention have been established to support ongoing compliance with applicable legislation and regulations;

- third parties are regularly engaged to provide external assurance provision (for example external reviews were commissioned to confirm the extent of GDPR compliance and the effectiveness of cyber security controls to support Cyber Essentials accreditation);

- Scottish Government Cyber Essentials certification and Cyber Essentials Plus Accreditation were achieved by February 2019;

- regular ongoing testing of technology systems to ensure effective and enhanced performance with minimal defects or issues;

- employees complete various training modules and refresher sessions, with key messages reinforced at team meetings, to further enhance awareness of policies;

- a breach register is maintained to record policy breaches and ensure that they are appropriately addressed; and

- a Register of Processing has now been drafted for immediate use.

3. Detailed findings

1. Third Party Supplier Management	Low

Contractually binding agreements exist between SEStran and their third party suppliers that outline the services that will be provided, and the information that will be processed. These are reviewed annually, with the agreement renewed where required.

At the time of our review, the contract for payroll service between SEStran and the City of Edinburgh Council (CEC) had been renewed, and the agreement with Falkirk Council for Human Resources support was being drafted.

Review of contracts and supporting service level agreements (SLAs) for both suppliers and the processes applied to manage employee data highlighted that:

- Supplier arrangements do not state requirements for secure transfer of employee payroll information (which includes personal sensitive employee information in relation to new starts; leavers; bank details; NI no; and salary details);

- Transfer of employee data is currently performed via secure external webmail for both Payroll and Human Resource services. Whilst occupational health documents attached in e mails are password protected, documents that include personal sensitive employee payroll data are not password protected;

- The contract and supporting SLA's for the City of Edinburgh Council has not yet been updated to specify how CEC will ensure that SEStran payroll data is transferred; managed; and processed in line with GDPR requirements. The agreement is due to be updated in May 2019 to include changes that affect processing; and

- There is no process documentation detailing how employee data is obtained; recorded and maintained on SEStran systems and transferred to Edinburgh and Falkirk Councils for processing as required by the new GDPR regulations at Article 30 (1) – (2).

    Management has advised that Advice was obtained from an external consultant who confirmed that SEStran is exempt from Article 30 due to their size.

Risk

- Personal sensitive employee data could potentially be compromised; and
- Potential breach of GDPR requirements.

Recommendation – City of Edinburgh Council contract review

The contract and supporting SLAs between SEStran and the City of Edinburgh Council should be updated to specify SEStran's expectations in relation to the secure transfer; management; and processing of employee payroll data in line with GDPR requirements.

Agreed Management Action

1. The SLAs will be updated to state how information will be secured and transferred; and

2. Password protection will be applied to all documents that contain personal sensitive employee data transferred between SEStran and third party suppliers with immediate effect, with passwords sent separately to the intended e mail recipient.

Owner: Jim Grieve, Interim Partnership Director **Contributors: Angela Chambers, Business Manager**	**Implementation Date: 31st May 2019**

Recommendation – employee data process mapping

The processes applied to obtain; record; maintain; and transfer personal sensitive employee data should be documented to meet new GDPR documentation requirements (Article 30 (1) – (2)).

Agreed Management Action

1. Advice was obtained from an external consultant who advised that SEStran is exempt from Article 30 due to their size; and

2. A register of processing will be developed and maintained detailing the nature of data received and how it is processed and managed by SEStran in line with Information Commissioner's Office guidance.

Owner: Jim Grieve, Interim Partnership Director Contributors: Angela Chambers, Business Manager	Implementation Date: Complete

2. Staff knowledge and awareness of Cyber Security and GDPR	Low

Employee updates on GDPR; Cyber Security; and other relevant areas are provided as and when required. Employees maintain individual training logs detailing the type of training undertaken and the date of completion. External training is also provided and employees attend where appropriate. Additionally, team meetings serve as a refresher session to cover relevant policies to ensure ongoing employee awareness and understanding.

Whilst comprehensive training and updates are provided for employees, these do not include knowledge testing.

Additionally, no phishing or cyber simulation exercises have been performed to assess ongoing employee awareness.

Risk

- Potential risk of breach of significant legislation (for example GDPR); and
- Significant technology impacts and potential GDPR breaches if SEStran suffers a cyber attack.

Recommendation -

SEStran should consider implementing training assessments in relation to significant legislative and regulatory requirements, and simulated cyber or phishing attacks to test employee awareness and confirm it is at an appropriate level.

Agreed Management Action

1. GDPR training now includes a video and a test at the end. Certificate of completion is received after successfully passing the test; and

2. The IT supplier has been engaged to arrange a phishing simulation exercise to test employee knowledge and awareness.

Owner: Jim Grieve, Interim Partnership Director Contributors: Angela Chambers, Business Manager	Implementation Date: 31st May 2019

3. External Assurance Recommendations	Low

SEStran engage with a number of external consultants to provide assurance in relation to compliance with applicable legislation and regulations, and effective management of risk.

The outcomes of these assurance reviews and implementation progress are not recorded and monitored to support update reporting to the Board. This results in key person dependency, as the Business Manager would have the task of ensuring that recommendations are actioned and included within reporting for Board Meetings to advise of changes.

Risk

- There is a key person dependency on the Business Manager to individually track and progress the actions;
- Oversight of the actions may be lost if not tracked;
- Unidentified issues may exist and go unaddressed.

Recommendation -

SEStran should design and implement a process to support ongoing monitoring external assurance recommendations to support effective management oversight and Board reporting, and reduce key person dependency risk.

Agreed Management Action

A tracker has now been developed and implemented to record all external assurance recommendations and their progress. The tracker includes sections for the type of assurance; the finding; recommendation; progress to date; and planned completion dates.

Owner: Jim Grieve, Interim Partnership Director **Contributors: Angela Chambers, Business Partner**	**Implementation Date: Complete**

Appendix 1 - Basis of our classifications

Finding rating	Assessment rationale
Critical	A finding that could have a: • *Critical* impact on operational performance that would prevent SEStran from being able to operate in the long term*; or • *Critical* material monetary or financial statement impact in excess of external audit's financial statements materiality threshold that would impact SEStran's ability to continue as a going concern; or • *Critical* breach in laws and regulations that could result in material fines or long term consequences*; or* • *Critical* impact on the reputation of the organisation which could threaten its future (long term) viability..
High	A finding that could have a: • *Significant* impact on operational performance that would prevent SEStran from being able to operate in the medium term**; or • *Significant* monetary or financial statement impact in line with external audit financial statements materiality threshold that requires and adjustment to the financial statements; • *Significant* breach in laws and regulations resulting in significant monetary fines and medium term consequences*; or* • *Significant* impact on the SEStran's reputation that could threaten its future (medium term) viability.
Medium	A finding that could have a: • *Moderate* impact on operational performance that would prevent SEStran from being able to operate in the short term***; or • *Moderate* monetary or financial statement impact that is below the external audit financial statements materiality threshold, but requires an adjustment to the financial statements; or • *Moderate* breach in laws and regulations resulting in moderate fines and short term consequences; or • *Moderate* impact on the reputation of the organisation that could threaten its future (short term) viability.
Low	A finding that could have a: • *Minor* impact on operational performance that does not prevent SEStran from being able to operate; or • *Minor* monetary or financial statement impact that is below the external audit financial statements materiality threshold, and does not require an adjustment to the financial statements; or • *Minor* breach in laws and regulations with limited consequences; or • *Minor* impact on the reputation of the organisation that does not threaten its future viability.
Advisory	A finding that does not have a risk impact but has been raised to highlight areas of inefficiencies or good practice.

 * **Long term** – a period of one year or more

** **Medium term** – a period of 3 to 12 months

*** **Short term** – a period of 1 to 3 months

EDINBVRGH
THE CITY OF EDINBURGH COUNCIL

Terms of Reference – South East of Scotland Transport Partnership (SEStran)

To: Jim Grieve, Interim Partnership Director (SEStran)
        Angela Chambers, Business Partner (SEStran)

From: Lesley Newdall, Chief Internal Auditor, City of Edinburgh Council

Date: 11th January 2019

The City of Edinburgh Council performs an annual Internal Audit review for the South East of Scotland Transport Partnership (SEStran). The scope of this review is directed by the SEStran management team and focuses on the organisation's most significant risks.

Background

GDPR

The European Union (EU) General Data Protection Regulation (GDPR) became effective on 25 May 2018, and is designed to regulate the protection of natural persons in relation to processing their personal and personal sensitive data, and its free movement. It is expected that organisations will have established plans detailing the actions they need to implement to achieve compliance with the new regulations, with focus on addressing known legacy issues.

The legislation includes eight rights for individuals allowing easier access to their personal data held by organisations; a new fines regime; and a clear responsibility for organisations to obtain the consent of people they collect information on.

Consequently, it is essential that organisations have established appropriate data and records management frameworks that are aligned with GDPR requirements.

SEStran management has advised that advice was obtained from an information governance consultant who reviewed existing records management processes and developed training for team members. Additional legal advice was also obtained from Anderson Strathern.

Cyber Security

To ensure ongoing GDPR compliance, it is essential that organisations have established appropriate cyber security and operational technology controls to ensure that personal and personal sensitive data maintained in technology systems is appropriately secured.

In recent years, there has been a significant number of organisational data breaches including Facebook; Marriot Hotels; Morrisons; Uber; and local authorities. Many of these occurred due to weaknesses in external cybersecurity and internal operational technology controls designed to ensure that personal data held in systems is appropriately secured and protected.

The Scottish Government (SG) has noted that the importance of cyber resilience in Scotland's public bodies has never been greater, and has introduced the Public-Sector Action Plan for Cyber Resiliency (the Plan). The Plan sets out the key actions that the Scottish Government (SG), public bodies, and key partners will be expected to take before the end of 2018 to further enhance cyber resilience across Scotland's public sector.

The SG has advised organisations to aim for either cyber essentials (essentially a self-assessment of their cyber controls), or cyber essentials plus (CE Plus) accreditation, which involves completion of an independent assessment against the nine key actions included in the SG plan.

Management has advised that the majority of SEStran data is maintained in Microsoft Office 365, with archived data held on a server.

SEStran management has advised that a cyber risk pre-assessment has been performed by an external consultant, resulting in the recommendation that SEStran should aim for cyber essentials plus accreditation.

Third party supplier management

To ensure ongoing compliance with GDPR requirements, it is important that organisations receive assurance from third parties (who process or store data on their behalf) confirming that they have established appropriate GDPR compliance frameworks; cyber security; and operational technology controls.

A range of services for SEStran are outsourced, such as: Falkirk Council currently provide HR services; Payroll function provided by CEC; technology services and support are outsourced to One Stop; legal services are provided by Anderson Strathern; and payroll data is also provided to European organisations that provide funding.

Scope

This review will assess the design adequacy and operating effectiveness of the key controls established to ensure ongoing compliance with GDPR, with focus on progress towards CE Plus; existing operational technology controls; and third-party supplier management.

Sample testing will be performed across the period 1st April 2018 to 31st March 2019.

Approach

Our audit approach is as follows:

- Obtain an understanding of the SEStran GDPR compliance framework; progress towards CE plus; operational technology controls; and supplier management;
- Identify the key risks associated with these processes;
- Evaluate the design of the controls in place to address the key risks;
- Test the operating effectiveness of the key controls on a sample basis; and
- Obtain evidence to confirm that previously raised Internal Audit recommendations have been effectively implemented and embedded.

The audit areas and related control objectives included in the review are:

Audit Area	Control Objectives
GDPR Compliance Framework	We will confirm: • That all recommendations resulting from the GDPR gap analysis have been effectively implemented; • That responsibility for GDPR and records management compliance and oversight responsibilities have been allocated at an appropriate level within the organisation; • That GDPR training has been provided to all existing employees and is included in induction training for all new employees; • That all operational processes (including all internal and external data flows) have been documented; • That a register of processing has been established detailing the nature of data processed and how it is protected; • Whether data privacy impact assessments (DPIAs) have been performed across all existing processes to ensure that data is appropriately protected, and that DPIAs will be performed for all new process and system changes; • That an appropriate and effective Subject Access Request (SAR) process has been implemented and is consistently applied; • That a process has been established to remove personal and private data from SEStran records upon request, or that the rationale for retaining the data can be provided; • That an appropriate and effective breach reporting process has been established; and • That management performs ongoing reviews to ensure that the records management policy is consistently applied.
Cyber Security and Operational Technology Controls	We will confirm: • That an appropriate plan has been established to support progress towards CE Plus accreditation; • That the plan includes implementation of the recommendations included in the independent cyber risk pre-assessment (notably resolution of the external website security risk); • That the organisation has established their key cyber security controls (including those provided by third parties), and regularly tests them (or receives assurance from third parties) that they continue to operate effectively; • That an independent assessor has been engaged to support CE Plus accreditation; • That training on cyber security and phishing has been provided to all employees; will be provided on an ongoing basis (to reflect increasing maturity and complexity of cyber threats) and is provided to all new employees as part of their induction training;

	• That a phishing or cyber simulation has been performed to assess levels of employee cyber awareness, and will be performed on an ongoing basis; • That personal and private data transferred to third parties is either transferred via securely encrypted e mail or a secure portal; • That all Microsoft 365 security controls have been configured and are consistently used (for example the requirement to set complex user passwords and change them on a regular basis); • That access to servers is appropriately secured with only limited access; and • That appropriate user management controls have been established with access to key systems appropriately allocated for new starts, and promptly removed for users.
Third Party Supplier Management	We will confirm: • That appropriate GDPR and technology security requirements have been established in all third-party contracts; and • That regular ongoing assurance is obtained from third parties regarding the effectiveness of their ongoing GDPR and cyber and technology security controls.
Identification of Risks	Confirm that risks associated with ongoing GDPR compliance; cyber and technology security controls; and transfer of data to and processing by third parties are regularly assessed and reflected in the organisation's risk register.
Implementation of IA recommendations	Obtain evidence to confirm that the recommendations raised in the 2017/18 SEStran Governance Internal Audit Governance review have been effectively implemented and sustained.

Internal Audit Team

Name	Role	Contact Details
Lesley Newdall	Chief Internal Auditor	0131 469 3216
Saima Afzal	Internal Auditor	0131 469 3082

Key Contacts

Name	Title	Role	Contact Details
Jim Grieve	Interim Partnership Director, South East of Scotland Transport Partnership	Key Contact	0131 524 5160
Angela Chambers	Business Manager, South East of Scotland Transport Partnership	Key Contact	0131 524 5154

Timetable

Fieldwork Start	15th January 2019
Fieldwork Completed	29th January 2019
Draft report to Auditee	5th February 2019
Response from Auditee	15th February 2019
Final Report to Auditee	25th February 2019

Appendix 1:   Information Request

It would be helpful to have the following available prior to our audit or at the latest our first day of field work:

- Access to systems and databases relevant to obtain evidence of third party suppliers;

- Copy of the relevant policies for Cyber Security, Information Security and third party supplier management.

This list is not intended to be exhaustive; we may require additional information during the audit which we will bring to your attention at the earliest opportunity.

Appendix 2:   Roles and Responsibilities

City of Edinburgh Council Internal Audit

The role of Internal Audit is to act as an independent, objective assurance and consulting function, designed to add value and improve the operational effectiveness of the organisation. Internal Audit has unrestricted access to all activities undertaken in the organisation to independently review and report on the governance, risk management and control processes established by management.

Auditors will ensure they conduct their work with due professional care and in line with the requirements of the Public Sector Internal Audit Standards and other relevant professional standards.

The responsibilities of Internal Audit in respect of individual audit assignments are detailed in Appendix 3.

South East of Scotland Transport Partnership

It is Management's responsibility to develop and maintain sound systems of risk management, internal control, and governance and for the prevention and detection of irregularities and fraud. Internal Audit work should not be seen as a substitute for Management's responsibilities for the design and operation of these systems.

Management will co-operate with Internal Audit on assignments and provide access to records, systems and staff as required within a reasonable timeframe following the request.

Where an audit report is delivered, management are required to provide formal responses to all recommendations, including specifying responsibility and anticipated dates for the

implementation of the solutions within two weeks of the draft report being issued. They are also responsible for the implementation of the solutions and this implementation will be monitored and subject to follow-up review.

Internal Audit work is performed solely for the South East of Scotland Transport Partnership (SEStran) and solely for the purposes outlined above. Reports and documents prepared by Internal Audit should not be provided to anyone else.

The responsibilities of the auditee in respect of individual audit assignments are detailed in Appendix 3.

Appendix 3: Audit Process

Area	Principles	Further guidance
Planning the audit	Agreeing the audit scope and objectives	• Internal Audit will determine and make arrangements for sufficient resources to achieve the agreed audit engagement objectives. This will be based on an evaluation of the nature and complexity of each engagement, time constraints and available resources. • An initial planning meeting will be held between Internal Audit and SEStran management. The planning meeting will be held in advance of the audit fieldwork commencing. The purpose of the meeting will be to agree the scope and objectives for the review, requirements during the audit and a reporting and closeout timetable. • SEStran management will identify the employees who have the relevant knowledge and are best placed to answer questions in relation to the audit scope. Management will be responsible for notifying these staff of the audit scope and any other requirements agreed with Internal Audit during the planning meeting. • Internal Audit will be responsible for organising meetings with relevant staff.
Audit fieldwork and planning	Timely communication of issues identified during fieldwork	• The Auditee will be informed of the progress of the audit on a regular basis. • Any issues identified during the fieldwork by Internal Audit will be discussed with the relevant staff to ensure that they are accurate and proposed recommendations are valid and achievable. • Any material issues (Critical) will be raised by Internal Audit with the Partnership Director and Business Partner immediately as they arise.
Reporting	Closeout meeting to discuss and agree the internal audit report	• The closeout meeting will be undertaken with the Partnership Director and Business Manager within 2 weeks of the audit fieldwork being completed. • Internal Audit will provide management with a copy of the draft report within 2 weeks of completing the fieldwork.

Area	Principles	Further guidance
Reporting	Management response to internal audit report	• The Auditee will have 2 weeks to provide management comments. During this period, where appropriate, the Auditee should consult with management team on the findings and recommendations in the Internal Audit report. • Internal Audit will issue the final report within 1 week of receipt of management comments to the Partnership Director.
Reporting	Reporting of internal audit findings to the [enter name of appropriate scrutiny committee] Committee	• Internal Audit will present the audit report annually to the SEStran Performance and Audit Committee. The update report will summarise the findings arising from the finalised internal audit report. It will also include progress on implementation of prior year internal audit recommendations.
Follow up	Monitoring the implementation of internal audit recommendations	• A questionnaire will be issued to be completed by the Auditee to allow opportunity to comment directly to the Chief Internal Auditor on the satisfaction of the audit service provided. This forms part of the Internal Audit Quality Review program. • Internal audit will track the status of all open recommendations. Recommendations that are overdue will be reported to the SEStran Performance and Audit Committee on an annual basis. Internal Audit will advise management of all open recommendations and invite them to provide evidence that the recommendations have been actioned.

REVENUE BUDGET 2019/20

1. Introduction

1.1 This report presents a revenue budget for 2019/20 for approval.

2. Proposed Revenue Budget 2019/20

2.1 Section 3 of the Transport (Scotland) Act requires the constituent councils of a Regional Transport Partnership to meet the net expenses of the Partnership.

2.2 A financial planning report was considered by the Partnership on 7th December 2018. The Partnership noted the financial planning assumptions being progressed for 2019/20. These assumptions included no change in constituent council requisitions and Scottish Government grant from 2018/19. The Performance and Audit Committee reviewed the proposed revenue budget for 2019/20 at its meeting on 8th March 2019.

2.3 On 21 February 2019, the Scottish Government confirmed grant will be at the same level as 2018/19 - £782,000.

2.4 The Scottish Parliament approved a one-year Revenue Budget on 21st February 2019. The proposed revenue budget for the Partnership reflects this one-year planning time frame.

2.5 A revenue budget with a standstill council requisition of £190,000 has been prepared in consultation with officers of the Partnership. Revenue budget lines have been updated to take account of known cost commitments and savings.

2.6 Within the core revenue budget, provision is made for the following:

- An employee structure of 8.54fte – no change from the structure reported to Performance and Audit Committee on 17th February 2017;
- staff recharges to projects of £132,000;
- pay award provision of up to 3%, aligned to the Scottish Government public sector pay offer for 2019/20 - £10,858;
- increment pay provision of up to £4,000;
- 5.6% increase in employers' pension fund contribution rate. Lothian Pension Fund has advised that the profile of the Partnership's Pension Fund membership does not now meet the criteria of the Contribution Stability Mechanism and that the Partnership should therefore be removed from the Mechanism. The Fund has agreed to phase in the contribution rate increase over 2019/20 and 2020/21. The 2019/20 contribution rate will be 24.6% and a fixed amount of £15,500 – an increase of £20,985 from 2018/19. From 2020/21, the employer contribution rate will be 27.7% plus a fixed amount of £18,700.

In considering the proposed revenue budget on 8th March 2019, Performance and Audit Committee noted that, once the effect of inflationary price increases is taken into account, the proposed standstill budget represents a real terms reduction.

2.7   A detailed analysis of the core revenue budget for 2019/20 is shown in Appendix 1, with the projects budget detailed in Appendix 2.

2.8   For the proposed 2019/20 revenue budget, external income of £302,000 is anticipated to fund 24% of proposed expenditure. Scottish Government grant funding will meet 61% of proposed expenditure with council contributions funding 15% of expenditure. The table below shows the profile of the Partnership's expenditure and income since 2012/13.

SEStran Budget 2012/13 – 2019/20

	2012/13 £'000	2013/14 £'000	2014/15 £'000	2015/16 £'000	2016/17 £'000	2017/18 £'000	2018/19 £'000	2019/20 £'000
Core	461	463	465	550	551	478	531	584
Projects	709	504	1,076	2,384	725	510	614	590
RTPI	117	222	286	230	344	339	108	100
Total Budget	**1,287**	**1,189**	**1,827**	**3,164**	**1,620**	**1,327**	**1,253**	**1,274**
External Funding								
EU Grants	245	146	233	131	152	95	139	82
Other income	60	61	266	1,051	486	260	142	220
Bus Investment Fund			346	1,000	0	0	0	0
Total External Funding	**305**	**207**	**845**	**2,182**	**638**	**355**	**281**	**302**
Scottish Government	782	782	782	782	782	782	782	782
Council Requisition	200	200	200	200	200	190	190	190
Total Funding	**1,287**	**1,189**	**1,827**	**3,164**	**1,620**	**1,327**	**1,253**	**1,274**

2.9   Risk and contingency planning have been considered as part of the budget development process. A risk assessment is included at Appendix 3.

3.   Revenue Budget - 2020/21 and Later Years

3.1   The proposed revenue budget is for financial year 2019/20 only. The Cabinet Secretary for Finance, Economy and Fair Work has confirmed the intention to bring forward a three-year funding settlement for local government from the 2020/21 budget onwards, which may assist with planning for longer-term funding assumptions.

3.2   A revenue budget proposal for 2020/21 will be developed for consideration by the Partnership in the autumn of 2019. Within the scope of funding information available, a medium term financial plan shall also be developed, which will seek to align to the Business Plan and Regional Transport Strategy.

4. Recommendations

4.1 The Partnership is recommended to:

4.2.1 approve the core revenue and projects budget for 2019/20, as detailed in Appendices 1 and 2, based on a standstill constituent council requisition of £190,000.

4.2.2 instruct the Treasurer to requisition the individual constituent councils for the relevant amounts as follow:

Council Note [1]	'Stand-still' requisition
Clackmannanshire	£6,158
East Lothian	£12,548
Edinburgh	£61,425
Falkirk	£19,166
Fife	£44,453
Midlothian	£10,783
Scottish Borders	£13,767
West Lothian	£21,700
Total	**£190,000**

4.2.3 note that financial planning for 2020/21 and a medium term financial plan will be developed throughout 2019 for consideration by the Partnership in autumn 2019;

4.2.4 note that the proposed budget is subject to a number of risks and that all income and expenditure of the Partnership will continue to be monitored closely with updates reported to each Partnership meeting.

5. Background Reading/External References

Financial Planning 2019/20 – Partnership Board, 7th December 2018

Revenue Budget 2019/20 – Performance and Audit Committee, 8th March 2019

Partnership Staffing Update: Performance and Audit Committee, 17 February 2017

HUGH DUNN
Treasurer
22nd March 2019

[1] Council requisitions are split according to National Records of Scotland Mid-Year population estimates 2017

Appendices   Appendix 1 – Proposed Core Revenue Budget 2019/20
                    Appendix 2 – Proposed Revenue Projects Budget 2019/20
                    Appendix 3 – Risk Assessment

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.
Equalities Implications	There are no equalities 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 Revenue Budget 2019/20

	Approved 2018/19	Proposed 2019/20	Cost Commitments
	£000	**£000**	
Employee Costs			
Salaries, National Insurance and Pension Fund	444	493	8.54 FTE permanent employees. The 2019/20 Lothian Pension Fund contribution rate includes an increase of £20,985 from 2018/19, following removal of Contribution Stability Mechanism.
Premises Costs	16	16	Lease for office in Victoria Quay and related costs.
Staff Travel	9	9	
Supplies and Services			
Marketing	20	20	£10,000 Car Share/£10,000 general marketing and sustainable travel.
Communications & Computing	37	37	
Hosted Service – Routewise	53	53	£50,000 saving per annum in total to participating constituent councils.
Printing/Stationery/Supplies	10	7	
Insurance	4	4	Employer/employee liability insurance.
Equipment/Furniture/Materials	1	1	
Training/Conferences	10	10	
Interview Expenses/Advertising	2	2	
Miscellaneous Expenses	3	3	

	Approved 2018/19	Proposed 2019/20	Cost Commitments
	£'000	£'000	
Support Services			
Finance	25	30	Service Level Agreement with City of Edinburgh Council. Preparation of statutory annual accounts, payment of payroll and invoices, debt recovery, banking and cash management, budget preparation, Internal Audit. Cost increase reflects review of recharges rates.
Legal Services / HR	7	7	Per contractual agreements with the Partnership's external legal provider and Falkirk Council HR service.
Corporate and Democratic			
Clerks Fees	15	12	Per Service Level Agreement with City of Edinburgh Council.
External Audit Fees	10	11	
Members Expenses	1	1	Non-Council Members expenses – Partnership meetings.
Interest	0	0	Net cost of borrowing per Partnership's Treasury Management Strategy.
Funding			
Recharges: EU Projects	(136)	(132)	Recovery of employee costs – Share-north, Regio-mob, Surflogh, Bling projects.
Scottish Government Grant	(341)	(394)	
Net Core Expenditure	**190**	**190**	**To be met by constituent councils**

Projects Budget 2019/20   **Appendix 2**

	Approved 2018/19	Proposed 2019/20	EU /Other Grant	Net Expenditure	Description
	£'000	£'000	£'000	£'000	
EU Projects					
Share-north	30	46	(23)	23	Working with project partners to promote Tripshare and to introduce 'mobility hubs ("Mobihubs') to the region.
Regio-mob	10	18	(15)	3	Based on reports prepared by CoMoUK, reporting on the health benefits of the GO e-Bike project.
Surflogh	50	52	(26)	26	Working with Zedify to deliver the e-cargo bike pilot scheme. Pilot scheme will inform the development of a business case for first/last mile delivery solutions in sustainable urban freight logistics.
Bling	0	36	(18)	18	Working with project partners, including the University of Edinburgh, develop and implement a transport focused pilot that aims to deliver Blockchain in government.
Total	**90**	**152**	**(82)**	**70**	
Real-Time Passenger Information System (RTPI)					
Maintenance	108	60		60	Maintenance contract with INEO until current agreement terminates.
Development	0	40	0	40	Integration of Bustracker SEStran with the new Content Management System.
Income - operators	(42)	0	0	0	
Income - screens	0	0	(20)	(20)	
Total – RTPI	**66**	**100**	**(20)**	**80**	

	Approved 2018/19	Proposed 2019/20	EU /Other Grant	Net Expenditure	Description
Regional Transport Strategy – re-draft	0	65	0	65	External Expertise.
Sustainable Travel	243	131	0	131	Provision of match funding to constituent councils, universities and colleges and Police Scotland.
Urban Cycle Networks	32	232	(200)	32	Contractually committed on a year to year basis. Includes funding for Cycling Officer.
Equalities Action Forum	10	10		10	Funding for the Equalities Action Forum for a minimal level of actions identified by the Forum.
Total	**441**	**690**	**(302)**	**388**	**To be met from Scottish Government Grant**

Risk Description	Existing Controls
Pay awards. The proposed budget assumes provision for a pay award of up to 3% in 2019/20, which is based on alignment with the Scottish Government's public sector pay offer. A 1% increase in pay award uplift equates to an increase in cost of approximately £4,700.	Alignment with Scottish Government Public Sector Pay Offer.
The proposed budget does not adequately cover price inflation.	Allowance has been made for specific price inflation and other budgets have been adjusted in line with current demand / forecasts.
The deficit on the staff pension fund could lead to increases in the employer's pension contribution.	Following Lothian Pension Fund's Triennial Actuarial Review in 2017, Partnership contribution rates are confirmed to 2020/21.
Following the outcome of the EU Referendum, the Partnership is unable to access EU funding.	The Partnership continues to seek alternative funding sources to progress knowledge exchange/transfer and to seek to successfully bid for EU projects following the United Kingdom servicing notice under Article 50.
Delays in payment of grant by the EU results in additional short-term borrowing costs.	SEStran grant claims for EU funded projects are submitted in compliance with requirements of EU control processes to ensure minimal delay in receipt of payment. Ongoing monitoring of cash flow is undertaken to manage exposure to additional short-term borrowing costs.
Current staffing levels cannot be maintained due to funding constraints and the Partnership incurs staff release costs.	The Partnership continues to seek additional sources of funding for activities aligned to the Partnership's objectives to supplement resources.
Savings approved to balance the budget with available resources are not delivered.	Regular monitoring of savings implementation, with action taken by Partnership officers to develop alternative measures, if required for approval by the Partnership.

FINANCE OFFICER'S REPORT

INTRODUCTION

1.1   This report presents the third update on financial performance of the Core and Projects budgets of the Partnership for 2018/19, in accordance with the Financial Regulations of the Partnership. This report presents an analysis of financial performance to the end of February 2019.

1.2   The 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.

1.3   The Partnership's Core and Projects budgets for 2018/19 were approved by the Partnership Board on 16th March 2018.

CORE BUDGET 2018/19

2.1   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 £531,000 on 16th March 2018. Details of the Partnership's Core budget is provided in Appendix 1 to this report.

2.2   Cumulative expenditure for the eleven months to 28th February 2019 was £390,000. 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 be within the budget for 2018/19.

PROJECTS BUDGET 2018/19

2.4   The approved Projects budget is detailed in Appendix 2. The Projects Update report elsewhere on this agenda provides detailed information on progress with individual projects.

2.5   Net expenditure to 28th February 2019 was £358,000. The net year-end expenditure variance for the Projects budget is a forecast underspend of £12,000. If this position is maintained to the year-end, this balance is available to be allocated to Sustainable and Active Travel projects.

2.6   The profile of expenditure on Sustainable and Active Travel is forecast to occur late in 2018/19. The Projects Update report elsewhere on this agenda provides details of expenditure on Sustainable and Active Travel.

BALANCES

2.7 Following conclusion of the annual external audit for 2017/18, the Partnership Board approved the 2017/18 underspend of £16,000 be utilised for the Sustainable and Active Travel Grant Scheme. This balance is forecast to be fully spent in 2018/19.

CASH FLOW

2.8 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 2018	-£35,410.42
31 May 2018	-£46,362.76
30 June 2018	+£100,647.04
31 July 2018	+£182,922.84
31 August 2018	+£189,314.73
30 September 2018	+£250,794.84
31 October 2018	+£203,937.63
30 November 2018	+£228,940.93
31 December 2018	+£16,262.75
31 January 2019	+£217,727.50
28 February 2019	+£218,284.68

2.9 Interest is charged/paid on the month end net indebtedness balances between the Council and the Board. Interest will be calculated in March 2019.

2.10 The positive cash flow 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.

RECOMMENDATIONS

It is recommended that the Partnership Board:

3.1 note it is currently forecast that core expenditure in 2018/19 will under spend by £40,000 against the revenue budget of the Partnership;

3.2 note it is currently forecast that projects expenditure in 2018/19 will under spend by £12,000 against the revenue budget of the Partnership;

3.3 subject to the final audited outturn, approve in principle the forecast under spend on the core and projects budget be carried forward to 2019/20 to be available for allocation to Sustainable and Active Travel projects.

HUGH DUNN
Treasurer
22nd March 2019

Appendix   Appendix 1 – Core Budget Statement at 28th February 2019
Appendix 2 – Projects Budget as at 28th February 2019

Contact   Iain Shaw 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 - the contents of this report point towards a balanced total revenue budget outturn for 2018/19.
Equalities Implications	There are no equalities 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 2018/19 – as at 28th February 2019   **Appendix 1**

	Annual Budget £'000	Period Budget £'000	Period Actual £'000	Annual Forecast £'000	Forecast Variance £'000
Employee Costs					
Salaries	347	318	302	337	(10)
National Insurance	37	34	32	36	(1)
Pension Fund	60	55	52	57	(3)
Recharges – Projects	(136)	(125)	(123)	(133)	3
Training & Conferences	10	9	4	6	(4)
Interviews & Advertising	2	2	0	0	(2)
	320	**293**	**267**	**303**	**(17)**
Premises Costs					
Office Accommodation	16	16	16	16	0
	16	**16**	**16**	**16**	**0**
Transport					
Staff Travel	**9**	**8**	**6**	**8**	**(1)**
Supplies and Services					
Marketing	20	18	10	10	(10)
Communications/ Computing	45	41	26	35	(10)
Routewise software/ support	45	45	45	45	0
Printing, Stationery & General Office Supplies	7	6	3	6	(1)
Insurance	4	4	5	5	1
Equipment, Furniture & Materials	1	1	0	1	0
Miscellaneous Expenses	6	6	7	7	1
	128	**121**	**96**	**109**	**(19)**
Support Services					
Finance	25	0	1	25	0
Legal Services / HR	7	0	0	7	0
	32	**0**	**1**	**32**	**0**
Corporate & Democratic					
Clerks Fees	15	0	0	12	(3)
External Audit Fees	10	3	3	10	0
Members Allowances and Expenses	1	1	1	1	0
	26	**4**	**4**	**23**	**(3)**
Total Expenditure	**531**	**442**	**390**	**491**	**(40)**
Funding:					
Scottish Government Grant	(341)	(313)	(295)	(341)	0
Council Requisitions	(190)	(190)	(190)	(190)	0
Total Funding	**(531)**	**(503)**	**(485)**	**(531)**	**0**
Net Expenditure/ (Income)	**0**	**(61)**	**(95)**	**(40)**	**(40)**

Projects Budget 2018/19 - as at 28th February 2019   **Appendix 2**

	Budget 2018/19	EU /Other Grant	Net Expenditure Budget	Net Spend to 28 February 2019	Forecast	Forecast Variance
	£'000	£'000	£'000	£'000	£'000	£'000
EU Projects						
Social Car	4	(4)	0	(2)	(2)	(2)
Share-north	60	(30)	30	87	24	(6)
Regio-mob	65	(55)	10	27	5	(5)
Surflogh	100	(50)	50	57	28	(22)
BLING	0	0	0	2	2	2
Total	**229**	**(139)**	**90**	**171**	**57**	**(33)**
RTPI						
Maintenance	108		108	72	123	15
Bus Operators income		(42)	(42)	(29)	(29)	13
Total – RTPI	**108**	**(42)**	**66**	**43**	**94**	**28**
Sustainable and Active Travel	243		243	66	227	(16)
Urban Cycle Networks	132	(100)	32	53	32	0
Rail Station Development	0	0	0	1	1	1
Equalities Action Forum	10	0	10	4	4	(6)
Go E-Bike	0	0	0	4	2	2
ECOMM 2019	0	0	0	7	2	2
Legal	0	0	0	9	10	10
Total – All Projects	**722**	**(281)**	**441**	**358**	**429**	**(12)**
Sustainable and Active Travel - carry forward from 2017/18	16	0	16	0	16	0

ANNUAL TREASURY STRATEGY

1 Purpose of report

1.1 The purpose of this report is to propose a Treasury Strategy for 2019/20.

2 Annual Treasury Strategy

2.1 The Partnership currently maintains 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 Partnership. Interest is given on month end net indebtedness balances between the Council and the Partnership in accordance with the former Local Authority (Scotland) Accounts Advisory Committee's (LASAAC) Guidance Note 2 on Interest on Revenue Balances (IoRB). These arrangements were put in place given the existing administration arrangements with the City of Edinburgh Council and the relatively small investment balances which the Partnership has. Although the investment return will be small, the Partnership will gain security from its counterparty exposure being to the City of Edinburgh Council.

3 Recommendations

3.1 It is recommended that the Partnership approve the continuation of the current Treasury Management arrangement outlined in Appendix 1.

Hugh Dunn
Treasurer

Appendix   Appendix 1 - Annual Treasury Strategy

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

APPENDIX 1

Annual Treasury Strategy

(a) Treasury Management Policy Statement

1. The Partnership defines its Treasury Management activities as:

   The management of the Partnership's investments, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.

2. The Partnership regards the successful identification monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation.

3. The Partnership acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive measurement techniques, within the context of effective risk management.

Treasury Management is carried out on behalf of the Partnership by the City of Edinburgh Council. The Board therefore adopts the Treasury Management Practices of the City of Edinburgh Council. The Board's approach to investment is a low risk one, and its investment arrangements reflect this.

(b) Permitted Investments

The Partnership will maintain its banking arrangement with the City of Edinburgh Council's group of bank accounts. The Partnership has no Investment Properties and makes no loans to third parties. As such the Partnership's only investment / counterparty exposure is to the City of Edinburgh Council.

(c) Prudential Indicators

Whilst the Partnership has a Capital Programme this is funded by grant income therefore no long term borrowing is required. The indicators relating to debt are therefore not relevant for the Partnership. By virtue of the investment arrangements permitted in (b) above, all of the Partnership's investments are variable rate, and subject to movement in interest rates during the period of the investment.

Business Plan 2019/20

1.   Introduction

1.1   The purpose of this report is to present and seek the Board's approval of the forthcoming year's Business Plan for SEStran attached as Appendix 1.

2.   Business Plan 2019/20

2.1   The Business Plan for 2019/20 sets out SEStran's strategic objectives and the various programmes SEStran will be involved in during the new financial year. In addition, the Business Plan sets out how these programmes are linked to, and work towards the achievement of, SEStran's strategic objectives, using a different icon for each strategic objective.

3.   Recommendations

3.1   The Board is asked to discuss the contents of the Business Plan 2019/20, to approve any amendments, and to authorise the Partnership Director to update and publish the final Business Plan.

3.2   In addition, the Board is asked to note that SEStran is researching an alternative corporate icon, currently used in the draft the Business Plan, to be incorporated in the final Business Plan.

Julie Vinders
Project Officer
12 March 2019

Appendix 1. Draft Business Plan 2019/20

Policy Implications	The Business Plan proposes to further develop a monitoring base for the delivery of key RTS policy statements and key business priorities.
Financial Implications	The proposed priorities are identified in the 2019/20 Budget Summary of the Business Plan.
Equalities Implications	The Business Plan seeks to mainstream the continuous improvement of SEStran's Public Sector Equality duties within our Business Planning process.
Climate Change Implications	The priorities seek to promote SEStran's responsibilities as a significant player under the Climate Change Act legislation and our associated duties.

South East of Scotland Transport Partnership (SEStran)

2019/20 Business Plan

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Foreword

The South East of Scotland Transport Partnership (SEStran) is the statutory Regional Transport Partnership for the South East of Scotland. It encompasses eight local authorities: The City of Edinburgh, Clackmannanshire, East Lothian, Falkirk, Fife, Midlothian, the Scottish Borders and West Lothian.

Within the partnership there are diverse transport challenges, ranging from urban congestion to rural public transport and declining bus patronage, and from integrated mobility to sustainable logistics and freight hubs. The region is highly diverse from both a geographic and socio-economic perspective; the area has a wide range of urban and rural environments, and while Edinburgh is a main driving force for the region's rapidly growing economy, other areas cope with serious social and economic deprivation. Projected increases in population and households will put additional pressures on the transport system and integrated land use and transport planning will be essential if increased car dependency is to be avoided.

SEStran's projects therefore aim at tackling the transport challenges specific to our region. Over the last 10 years, SEStran has successfully been involved in a significant number of European funded projects. This has not only brought additional funding into the organisation, it has also allowed staff to share best practices with, and gain knowledge from, a wide range of European organisations on sustainable transport.

Brexit therefore presents another challenge, and 2019/20 will be a decisive year for SEStran and the possibility of future participation in European funded projects. Nevertheless, until the exit process is completed, SEStran will continue to win and participate in projects with the rest of the EU and share best practices in transport-related issues. In addition, SEStran will continue to seek other sources of funding in this new financial year, and the years to come.

The coming years will see the conclusion of the second National Transport Strategy review (NTS2), within which a review of regional governance is included. We await the outcome of that exercise, which was assigned to a "Roles and Responsibilities" working group. However, in the meantime, the RTPs together have been promoting the merits of combining transport, planning and economic development at a regional level. Consistent with the above approach and to be able to offer some practical initiatives towards reversing the country's declining bus patronage, we will explore the potential benefits of other RTP operating models.

In addition, Transport Scotland has recently appointed consultants to take forward the second Strategic Transport Projects review (STPR2) and SEStran will be involved in assessing appropriate input for this region. We will also continue our work as part of the East Coast Mainline Authorities Consortium, with colleagues representing communities from the Highlands to Hertfordshire in promoting the benefits and the need to maintain and improve the East Coast Main Railway Line.

It will be a particularly challenging time for SEStran but I have every confidence that we will have a successful year ahead.

Councillor Gordon Edgar

Chair of the South East of Scotland Transport Partnership

Contents

1. Introduction

SEStran presents its 2019/20 Business Plan, which sets out the organisation's plans for the next twelve months and outlines how it works to deliver its vision:

> *The South East of Scotland is a dynamic and growing area which aspires to become one of Northern Europe's leading economic regions. Essential to this aspiration is the development of a transport system that enables the economy to function effectively, allows all groups in society to share in the region's success through high quality access to services and opportunities, respects the environment, and contributes to a healthier population.*

In 2019/20, SEStran will work across five core strategic themes to deliver on its vision. This Business Plan sets out key priorities for SEStran to help achieve these objectives in the new financial year.

Five core strategic themes:

- **Economy** – To ensure transport facilitates economic growth, regional prosperity and vitality in a sustainable manner
- **Accessibility** – To improve accessibility for those with limited transport choice, mobility difficulties, or no access to a car
- **Environment** – To ensure that development is achieved in an environmentally sustainable manner
- **Safety and health** – To promote a healthier and more active SEStran area population
- **Corporate** – To continually improve performance to achieve greater efficiency and effectiveness in SEStran service delivery

2. Strategic Objectives

Economy	*To ensure transport facilitates economic growth, regional prosperity and vitality in a sustainable manner*

- To maintain and improve accessibility of the labour market and key business locations, particularly by public transport and active travel;
- To maintain and improve connectivity to the rest of Scotland, the UK and beyond;
- To guide and support other strategies, particularly land-use planning and economic development;
- To reduce the negative impacts of congestion, to improve journey time reliability for passengers and freight

Accessibility	*To improve accessibility for those with limited transport choice, mobility difficulties, or no access to a car*

- To improve access to employment and health facilities;
- To improve access to other services, such as retailing, leisure/social and education;
- To influence decisions on the provision of public transport to make it more affordable and socially inclusive

Environment	*To ensure that development is achieved in an environmentally sustainable manner*

- To contribute to the achievement of the UK's national targets and obligations regarding greenhouse gas emissions;
- To minimise the negative impacts of transport on natural and cultural resources;
- To promote more sustainable travel;
- To reduce the need for travel;
- To increase transport choices, reducing dependency on private cars;
- To reduce car dependency for commuting purposes, particularly single occupancy cars

Safety and Health	*To promote a healthier and more active SEStran area population*

- To increase the proportion of trips by foot/bicycle;
- To meet or improve all statutory air quality requirements;
- To improve road safety and personal security, particularly regarding active travel and public transport;
- To reduce the impacts of transport noise

Corporate	*To continually improve performance to achieve greater efficiency and effectiveness in SEStran service delivery*

- To deliver best value and promote partnership working;
- To seek to reduce our carbon emissions & positively influence other regional stakeholders;
- To deliver robust data governance and practice;
- To promote the delivery, monitoring and maintstreaming of our Equality Outcomes;
- To explore the potential benefits of other RTP operating models

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3. Planned activities 2019/20

3.1 Running programmes

GO e-Bike

In 2018, SEStran successfully launched GO e-Bike, a regional bike-sharing scheme funded by SEStran's core budget, with a contribution from the SHARE-North project. The aim is to increase usage and awareness of power-assisted cycling across the South East of Scotland. GO e-Bike launched four different e-bike hubs in St Andrews, Buckhaven, West Lothian and Falkirk and the aim of the scheme is to promote a healthier and more active population, reduce inequalities and improve the environment.

Objectives:

- Promote a more active and healthier life style by increasing usage and awareness of power-assisted cycling.
- Reduce road congestion and transport emissions
- Increase accessibility of active travel by introducing e-trike at GO e-Bike hubs.

Plans for 2019/20:

- SEStran will support the existing hubs through training and shared learning events, and opportunities for further development
- SEStran will be expanding the project with six new hubs in Edinburgh, the Scottish Borders, Midlothian and East Lothian, after a successful bid to Low Carbon Transport & Travel funding.
- GO e-Bike promotional activity will include headline sponsor for the family ride at the Tweedlove Transcend Festival.

Tripshare SEStran

Tripshare SEStran is one of the largest car sharing platforms in Scotland, with over 8,500 members. Tripshare helps people share the cost of their commute to work or a one-off journey. On top of that, Tripshare reduces the number of single occupancy cars on the road and offers a low-cost transport option for those with no access to a car. SEStran will continue to promote car-sharing throughout the South East of Scotland.

Objectives:

- Tackle congestion by reducing the number of single occupancy cars on the roads

Plans for 2019/20:

- SEStran is planning to review the current arrangements for Tripshare SEStran and continue to explore the best way of promoting car-sharing through an online platform. In

- Provide a platform for large employers in the region to encourage carpooling to work

addition, SEStran will explore opportunities for Scotland-wide car-sharing platform.

- SEStran will continue to work with the SHARE-North project partners to exchange knowledge and implement best practices relating to car sharing in the SEStran region.

Thistle Assistance Programme - Card & App

The Thistle Assistance Card was developed by SEStran to make public transport more accessible for older people and those with disabilities or illnesses. After a successful bid for funding from the Scottish Enterprise Can Do innovation fund, SEStran will work towards the development of an app-based door-to-door journey planning solution that aims to alleviate barriers to public transport.

Objectives:

- Encouraging use of public transport by making it easier and more accessible for older people and those with disabilities or illnesses.

Plans for 2019/20:

- SEStran will be working with 5 developers to create an app-based door-to-door journey planner with the aim of making public transport more accessible to all.
- From the 5 phase 1 projects SEStran aims to get 1-2 successful concepts to take through to phase 2 development with further funding from Scottish Enterprise.
- This project will be funded by Scottish Enterprise from their Can-Do Innovation fund and will run for 6 months in 2019.
- SEStran will continue to promote the existing Thistle Assistance Card through key influencers and partners, online and at key accessible travel events and forums.
- SEStran will develop a unique website for the Thistle Assistance Program for launch in 2019.

ReCYCLEd Signs

The project aims to engage with children from the three primary schools in Peebles to design and build imaginative, vibrant signs for existing walking & cycle routes within the town and its close surroundings. The project is designed to engage young people, and their families, in cycling as an

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enjoyable healthy choice, not just a fun activity, but also as a safe option for travelling to school or to clubs.

Objectives:
- To get young people involved in providing safe and accessible walking and cycling routes.
- Raise general awareness of the various active travel routes among all members of the community

Plans for 2019/20:
- Install the first 5 signs at Falkirk High & Grahamston, Eskbank, Dalkeith & Tweedbank stations.
- Build 3 more signs with Tweeddale Youth Association for other locations.

Real Time Passenger Information (RTPI)

The introduction of SEStran's RTPI system began in 2010, in partnership with First Scotland East and Stagecoach Fife bus operators. This system has successfully contributed to encouraging public transport use by making public transport more reliable. However, due to technological advances prompting the withdrawal of both First Scotland East and Stagecoach Fife from the system, SEStran has been exploring potential solutions in collaboration with all relevant stakeholders to continue to provide an ongoing RTPI service.

Objectives:
- Tackle declining bus patronage by providing real-time information about bus arrivals
- Encouraging sustainable transport modes by making public transport more reliable and accessible

Plans for 2019/20:
- SEStran will be working with City of Edinburgh Council to develop a new content management system that will improve the public facing regional screen network.
- SEStran will be working to install more digital screens showing real-time bus, tram and rail information at key locations, such as transport interchanges and key buildings.

Active Travel Projects

The Regional Cycle Network Grant Scheme continues the partnership between Sustrans Scotland and SEStran's commitment to delivering improvements to the cross-boundary utility routes. Building on collaboration with local authorities the scheme enables more focus to be brought to strategic routes and anticipate a spend close to £200,000 in the coming year. In 2018 the Regional Transport Partnerships lobbied for further funding and gained the Regional Active Travel Development Fund from Transport Scotland

to facilitate further projects promoting sustainable cross boundary travel.

Objectives:

- Promote a more active and healthier life style by encouraging cycling and supporting cycling infrastructure

Plans for 2019/20:

- Coordinate the development of a new strategic cross boundary route audit and development plan.
- Continue work alongside local authorities to develop designs for cross-boundary routes.
- Further develop projects from 2018 and explore new projects that add capacity to local authorities.

Cycle Training & Development

SEStran's Regional Cycle Training and Development Officer is responsible for supporting Local Authority Bikeability Co-ordinators and works to promote and expand cycle training opportunities across the region.

Objectives:

- To advance the education of the public generally and young people in particular in safer cycling and cycling road safety.
- Promote cycle training opportunities in SEStran projects where applicable.
- Increase in delivery of Level 2 Bikeability training

Cycling Scotland

Plans for 2019/20:

- In partnership with Cycling Scotland, SEStran will continue to enable access to training opportunities at all life stages including Play on Pedals Training in the early years setting, Bikeability Scotland in schools, Essential Cycling Skills for adults, and Practical Cycle Awareness Training for professionals in the SEStran region. Complementing these training opportunities, SEStran will promote 'Cycle Friendly' behaviour change packages for workplaces campuses, communities and schools.
- SEStran will offer tailored cycle training support as part of the delivery of the Go e-Bike hubs and employer scheme.
- Further opportunities will be explored to support the delivery of cycle training in different settings to enable more people to enjoy the benefits of cycling.

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3.2 European-funded Projects

REGIO-Mob

An Interreg Europe project

Promoting sustainable mobility through interregional collaboration

The REGIO-Mob project involves six European partners with the main objective to ensure sustainable growth in Europe through the promotion of sustainable mobility and the improvement of relevant policy documents. Having entered phase 2 of the project, the REGIO-Mob partners will now focus on implementing the best practices they have adopted from other regions. SEStran has adopted the PASTA methodology developed by our partners in Italy to measure the health benefits of the GO e-Bike project: pastaproject.eu.

Objectives:

- Secure Europe's sustainable growth by promoting sustainable mobility
- Measure the health benefits of bike sharing using the PASTA methodology
- Influence the SEStran Regional Transport Strategy as informed by interregional learning.

Plans for 2019/20:

- During phase 2 of REGIO-Mob, SEStran plans to carry out an active travel audit to measure the health benefits of the GO e-Bike bike sharing scheme across the region. Evidence from this research will inform the electric bikes chapter in the SEStran Electric Vehicle Strategy and SEStran Regional Transport Strategy (see page 13).

SHARE-North

Interreg North Sea Region

Shared Mobility Solutions for a Liveable and Low-Carbon North Sea Region

The challenges of sustainable transport in the North Sea Region cannot be met by technical solutions alone – it also requires behavioural change. Shared mobility modes and their potential to address these challenges are the focus of the SHARE-North project. This includes developing, implementing, promoting and assessing car sharing, bike sharing, ride sharing and other forms of shared mobility in urban and rural areas and employment clusters.

Objectives:

- To reduce the number of single occupancy cars and increase efficiency of the existing road infrastructure
- To promote bike sharing, car sharing, ride sharing and

Plans for 2019/2020:

- Following the approval of a three-year extension of the project, SEStran plans to build on the experiences gained during the first three years of SHARE-North.
- SEStran plans to collaborate with CoMoUK and WYCA to introduce Mobihubs (mobility hubs) to the SEStran

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- other forms of shared mobility
- To reduce congestion due to parked and moving cars
- To achieve emission reductions through shared mobility
- To raise the profile of shared mobility as viable component of integrated transport strategies

region, building on experiences from Bremen, Germany and Bergen, Norway.
- SEStran will collaborate with and take learnings from Taxistop, Belgium to promote car-sharing through Tripshare SEStran. In addition, it will use SHARE-North funding to update and redesign the platform.

SURFLOGH

Interreg North Sea Region

Case studies for sustainable Urban Logistics Hubs

The focus of SURFLOGH is the optimisation of the interaction between freight logistics hubs and the urban freight logistics system, promoting both efficient and sustainable logistics in urban areas in smaller and medium-sized cities, city regions and networks. Together with Edinburgh Napier University Transport Research Institute, SEStran is developing different business models for urban freight hubs. SEStran is also working with ZEDIFY, an electric cargo-bike delivery company, to develop a last mile delivery pilot in the City of Edinburgh.

Objectives:
- To encourage the adoption of green innovative solutions in urban freight logistics
- To increase efficiency in urban distribution via urban logistics hubs
- To stimulate green transport in an urban environment
- To stimulate innovations in urban logistics

Plans for 2019-2020:
- SEStran will be working with ZEDIFY logistics to expand on the successful launch of the Edinburgh pilot.
- Edinburgh Napier University & SEStran will be presenting a paper to the STAR Conference in Glasgow in May 2019.
- SEStran will be hosting the mid-term conference in May 2019 with attendees coming from Scotland and Europe.
- SEStran will be continuing to work with Edinburgh Napier University on the development of business models for each of the partner hubs by conducting primary research interviewing key stakeholders.

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BLING

Interreg North Sea Region

Blockchain in Government

Blockchain is a key enabling technology that will underpin efforts to deliver innovative services under the Digital Agenda for Europe. The BLockchain IN Government (BLING) project focuses on providing one of the first dedicated platforms to bring these tools and approaches into local and regional services. The project provides a unique combination of public authorities, knowledge institutions and SMEs who will work together to explore, enable and deliver an approach to accelerating the adoption and deployment of blockchain across the NSR to enable the creation and delivery of the next generation of smart services for citizens, governments and SMEs.

Objectives:

- Stimulate the public sector to generate innovation demand and innovative solutions for improving public service delivery

Plans for 2019-2020:

- SEStran will be working with various project partners, including the University of Edinburgh, to develop and implement a transport focused trial pilot that aims to deliver Blockchain in government.

3.3 Forums groups

Forum groups

SEStran hosts three different forum groups which are all held twice a year. The aim of these forums is to provide a platform for interested parties to come together and to provide a regional voice in various transport-related matters.

Objectives:

- Bring together interested parties and provide a regional voice in transport-related matters
- Provide a platform for organisations to connect with each other and have meaningful discussions

Plans for 2019-2020:

- The *Integrated Mobility Forum* will bring together various stakeholders to improve integrated mobility across the region and aims to promote public transport and access to transport interchanges, as well as reducing the number of single occupancy car journeys.
- The *Logistics and Freight Forum* will bring together local authorities, government agencies, businesses and other stakeholders with the aim of developing, promoting and implementing sustainable business and distribution solutions.
- The *Equalities and Access to Healthcare Forum* will seek to deliver equalities outcomes and promote projects such as RTPI and the Thistle Card & App to address inclusion issues which disproportionately affect some members in the SEStran region.

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3.4 Strategy

Regional Transport Strategy Review

SEStran's original Regional Transport Strategy (RTS) was approved in March 2007 and covered the period from 2008 until 2015. The strategy was subject to a refresh in August 2015 and covers the period until 2025. The outcome of the National Transport Strategy review is expected to emerge during the coming year. SEStran will now begin the process of preparing a "Main Issues" report, as a prelude to a re-write of the RTS.

Objectives:
- To start the process of re-writing the SEStran RTS.
- To develop an electric vehicle strategy for the SEStran region in collaboration with the Local Authorities.

Plans for 2019-2020:
- SEStran will be working to establish a main issues report regarding transport in the SEStran region. SEStran will prepare a programme and engage consultants to assist in the development of the main issues report.
- In addition, SEStran will be working with the Local Authorities to develop an Electric Vehicle Strategy for the region which aims at addressing the barriers to the EV uptake and the challenges faced by local authorities when implementing EV infrastructure. This will form an integral part of the new Regional Transport Strategy.

Hate Crime Charter

Together with Disability Equality Scotland, Police Scotland and Transport Scotland, SEStran is developing a regional Hate Crime Charter for Public Transport.

Objectives:
- Encourage public transport operators to report hate crime incidents more and aim at preventing hate crime in the future.

Plans for 2019-2020:
- Once the draft version of the Hate Crime Charter is finalised, SEStran will trial the Charter in Fife, Clackmannanshire and West Lothian.
- Based on the learnings from this trial, SEStran hopes to roll out the Charter nationally.

Governance & Partnership working

SEStran is the Regional Transport Partnership for the South East of Scotland. By its very nature, SEStran is responsible for collaborative working and promoting a regional approach to transport-related matters. SEStran therefore aims to provide a platform for various stakeholders to discuss and address transport related issues in the South East of Scotland.

Objectives:

- Continue to be involved in pressing transport issues and represent a regional voice in transport related matters in the South East of Scotland
- Continue to lead by example and deliver sustainability and climate change objectives as an organisation.

Plans for 2019-2020:

- SEStran will participate in and provide input to City Deal related forums, including the Regional Transport Working Groups for the Edinburgh and East of Scotland City Deal and the Clackmannanshire and Stirling City Deal. These groupings will primarily consider input towards the second Strategic Transport Projects Review (STPR2).
- SEStran will continue to be involved in transport related policy developments and respond to relevant consultations as they are published.
- SEStran will continue to organise meetings that bring together relevant stakeholders to discuss pressing transport related issues, such as bus, rail and active travel.
- SEStran will continue to provide the Sustainable and Active Travel Fund to help organisations adopt sustainable transport solutions within their workplace.

Future Planning

SEStran recognises that there is a need to address transport related issues at a regional level to promote consistency throughout the region and develop effective solutions for the Local Authorities in the South East of Scotland. In particular, the issue of a declining bus patronage in the South East of Scotland can best be addressed at a regional level. SEStran will therefore be investigating the possibility of enhanced partnership working between SEStran and the Local Authorities it represents.

Objectives:

- Promote a regional approach to transport planning and addressing transport related issues in the South East of Scotland through enhanced partnership working with the Local Authorities in the region.

Plans for 2019-2020:

- SEStran will be working with the Local Authorities to explore the possibility of sharing additional powers between the Local Authorities and SEStran as the Regional Transport Partnership.
- SEStran will employ a consultant to carry out a detailed study into the possibilities for a Model 2 RTP, which would mean that SEStran shares its powers with the Local Authorities, or a Model 3 RTP, which would delegate all transport powers to SEStran.

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4. Annexes

Annex 4.1 – Key Performance Indicators

GO e-Bike				
Impact	**Strategic objective**	**Key focus areas**	**Key performance indicators**	**Critical Success Factor**
GO e-Bike will add to the active travel facilities in the SEStran region, delivering more sustainable and healthier transport solutions for people in the SEStran region		Expand the GO e-Bike project	Deliver 6 new GO e-Bike hubs	Cooperation from hub partners
		Raise awareness of bike sharing with the public and key stakeholders using SHARE-North experiences and outputs to promote bike-sharing in the region.	Raise shared mobility on the political agenda using the SHARE-North Manual for Municipalities	Completion and adoption of Manual
		Increase programme reach and awareness	Seek additional funding opportunities for further e-bike hubs	Availability of funding

Tripshare SEStran				
Impact	**Strategic objective**	**Key focus areas**	**Key Performance Indicators**	**Critical Success Factor**
Reviewing Tripshare SEStran will help provide an updated platform that is better fit for purpose to meet the needs of the car-sharing community and reduce the number of single occupancy cars.		Review the current arrangements for Tripshare SEStran and continue to explore the best way of promoting car-sharing through an online platform.	Establish options for a Scotland-wide car-sharing platform	Cooperation from other RTPs
		Provide a platform for large employers in the region to encourage carpooling to work	Work with the SHARE-North project partners to exchange knowledge and implement best practices.	Cooperation from SHARE-North partners

Thistle Assistance Card & App

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
The Thistle Card App will provide a door-to-door journey planner making public transport more accessible for older people and those with disabilities or illnesses.	£ ♿	Create an app-based door-to-door journey planner with the aim of making public transport more accessible to all.	Work with 5 Can Do competition winners to develop prototype concepts.	Intellectual and creative ability of developers to deliver suitable app

ReCYCLEd Signs

Impact	Strategic objective	Key focus areas	Key performance indicators	Critical Success Factor
The ReCYCLEd signs get young people involved in providing safe and accessible walking and cycling routes. It also raises general awareness of the various active travel routes among the community.	£ ♿ 🌱 ♡	Develop 3 new signs and work with local authority partners and ScotRail to find suitable locations.	Successful build of 3 new signs.	Cooperation from stakeholders

Real Time Passenger Information (RTPI)

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
RTPI makes public transport more accessible and reliable. The provision of real-time information contributes to tackling a declining bus patronage in the SEStran region.	£ ♿	SEStran will be working with City of Edinburgh Council to develop a new content management system that will improve the public facing regional screen network.	Work with CEC and developers to design a new CMS interface. Integrate key regional operators into the new system. Test new system and role across the region via the digital screen network and other interfaces.	Cooperation from CEC, CMS procurement process and integration of regional operators.

Active Travel Programmes

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
The active travel projects contribute to the development of a regional cycle network, with a particular focus on cross-boundary routes		Coordinate new strategic cross-boundary study	Identify plan for prioritised routes throughout region	Cooperation from Local Authorities
		Design Projects 100% funded	Deliver project within budget	Collaboration with consultants
		Support sustainable cross boundary projects	Deliver project within budget	Collaboration with consultants
		Increase Active Travel reach	Utilise funding opportunities from SG for further project opportunities	Availability of funding

Cycle Training and Development

Impact	Strategic objective	Key focus areas	Key performance indicators	Critical Success Factor
The cycle training supports the Local Authority Bikeability Co-ordinators and expands cycle training opportunities across the region.		Support the coordination of Bikeability Scotland Level 2 delivery. Develop and support pilots for new delivery models.	Increase in Bikeability Scotland Level 2 delivery by 10% across the region.	Cooperation and engagement from Bikeability Co-ordinators. Capacity of co-ordinators.
		Identify opportunities for delivering cycle training in conjunction with Go e-Bike hubs and potential employer scheme. Developing and supporting opportunities for cycle training at any age across the region.	Training sessions delivered in two hubs. Training sessions offered to all employer schemes.	Publication of training sessions and ensuring engagement.

REGIO-Mob

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
The PASTA methodology adopted as best practice presented by the project		Measure the health benefits of bike sharing using the PASTA methodology	Obtain qualitative and quantitative data from GO e-Bike users	Cooperation from GO e-Bike hubs

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| partners will inform the electric bicycle section of SEStran's electric vehicle strategy | | Influence the SEStran Regional Transport Strategy (RTS) as informed by interregional learning. | Incorporate REGIO-Mob learnings into SEStran's electric vehicle strategy and RTS | Availability of evidence of health benefits |

SHARE-North

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
SHARE-North raises the potential for shared mobility to address transport challenges. Mobility hubs will integrate different modes of shared mobility and SHARE-North will contribute to reviewing Tripshare SEStran.		Collaborate with CoMoUK and WYCA to introduce Mobihubs (mobility hubs) to the SEStran region, building on experiences from Bremen, Germany and Bergen, Norway.	Work collaboratively to introduce 1 Mobihub to the SEStran region	Identification of a suitable location for a Mobihub
		Use SHARE-North funding to update and redesign the Tripshare SEStran car-sharing platform	Take learnings from Taxistop, Belgium to promote car-sharing through Tripshare SEStran.	Cooperation from SHARE-North partners

SUFLOGH

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
SURFLOGH promotes sustainable solutions for urban freight logistics. The pilot with Zedify informs the development of a business case for e-cargo bike deliveries in Edinburgh.		Work with Zedify to expand Edinburgh hub	Increase customer base and number of deliveries	Cooperation from Zedify
		Measure impact of Edinburgh hub	Measure the CO_2 emission reductions made as a result of the trial	Availability of emissions data
		Explore how sustainable logistics can be integrated further	Conduct a hackathon in Edinburgh	Cooperation from participants
		Interview key stakeholders in pilot countries, Netherlands, Sweden and Belgium	Conduct 4 interview visits with Edinburgh Napier University	Cooperation from stakeholders

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		Share and disseminate information about sustainable logistics to a wider audience.	Host SURFLOGH mid-term conference in Edinburgh	Cooperation from audience

BLING

Impact	Strategic objective	Key focus areas	Key performance indicators	Critical Success Factor
The BLING project will deliver a trial that explores opportunities for the integration of Blockchain in transport.	£ 👔	Work with various project partners, including the University of Edinburgh, to develop and implement a transport focused trial pilot that aims to deliver Blockchain in government. Share and disseminate information about BLOCKCHAIN technology in Transport.	Develop a pilot trial of the technology	Cooperation from stakeholders to deliver pilot trial

Forum & Liaison Groups

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
The Forums facilitate discussion and provide a platform for interested parties to formulate a regional voice in transport-related matters	£ ♿ 🌱 💚 👔	Bring together interested parties and provide a regional voice in transport related matters	Organise three different forums that bring together various stakeholders to address transport related issues.	Involvement of key stakeholders

Hate Crime Charter

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
The Hate Crime Charter will encourage the reporting of hate crime incidents on public transport with the	♿ 💚 👔	Develop a Hate Crime Charter for the region	Produce final draft version	Cooperation from Police Scotland and Disability Equality Scotland

| aim of preventing hate crime in the future. | | | Trial the Hate Crime Charter in selected local authorities | Adoption of Charter by operators |
| | | | Potentially rollout the Charter nationally. | Adoption of Charter by operators |

Governance & Partnership working

Impact	Strategic objective	Key focus areas	Key performance indicators	Critical Success Factor
Partnership working ensures that SEStran is able to represent the region as a whole in addressing transport related issues.		Continue to be involved in pressing transport issues and represent a regional voice in transport related matters in the South East of Scotland	Continue to be involved in transport related policy developments and respond to relevant consultations	Resource availability
			Organise stakeholder meetings to address various transport related issues	Cooperation from stakeholders
		Continue to lead by example and deliver sustainability and climate change objectives as an organisation	Provide the Sustainable and Active Travel Fund to help organisations adopt sustainable transport solutions	Involvement of organisations

Regional Transport Strategy

Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
To create and maintain a Regional Transport Strategy is a fundamental duty of the RTPs. It is essential that the strategy is kept up to date given that many changes in the transport of people and goods are foreseen in the		Prepare a programme and engage consultants to assist in the development of the main issues report.	Establish a main issues report	Stakeholder engagement
		Work with the Local Authorities to develop an Electric Vehicle Strategy for the region.	Develop a draft Electric Vehicle Strategy	Cooperation from Local Authorities

years to come. The RTS will provide a regional back-cloth for future developments.				

Annex 4.2 – Budget Summary

	2012/13 £'000	2013/14 £'000	2014/15 £'000	2015/16 £'000	2016/17 £'000	2017/18 £'000	2018/19 £'000	2019/20 £'000
Budget								
Core	461	463	465	550	551	478	531	584
Projects	709	504	1,076	2,384	725	510	614	590
RTPI	117	222	286	230	344	339	108	100
Total budget	**1,287**	**1,189**	**1,827**	**3,164**	**1,620**	**1,317**	**1,253**	**1,274**

	2012/13 £'000	2013/14 £'000	2014/15 £'000	2015/16 £'000	2016/17 £'000	2017/18 £'000	2018/19 £'000	2019/20 £'000
External funding								
EU grants	245	146	233	131	64	95	139	82
Other income	60	61	266	1,051	686	250	142	220
Bus Investment Fund	-	-	346	1,000	-	-	-	-
Total external funding	**305**	**207**	**845**	**2,182**	**750**	**345**	**281**	**302**
Core funding								
Scottish Government	782	782	782	782	782	782	782	782
Council Requisition	200	200	200	200	200	190	190	190
Total funding	**1,287**	**1,189**	**1,827**	**3,164**	**1,620**	**1,327**	**1,253**	**1,274**

Additional grants for 2019/20 (anticipated):

Description:	2018/19 (£'000)	2019/20 (£'000)	Total ('000)	Specifications:
Active Travel Fund	200	-	200.2	To be completed by June 2019
Low Carbon Travel & Transport (LCTT)	-	300	300	33% match
Accessible Travel Fund	30	-	30	
'Can Do' (Scottish Enterprise)	-	150	150	Timing tbc
LRDF Newburgh	10	72	82	Subject to TS approval
Smarter Choices Smarter Places (SCSP)	14	-	14	50% match
		Total	**776.2**	

Annex 4.3 – Staff and Organisational Chart

Interim Partnership Director	Jim Grieve
Head of Programmes	Vacant
Interim Programme Manager	Keith Fisken
Cycle Training and Development Officer*	Beth Harley-Jepson
Active Travel Officer	Peter Jackson
Strategy & Projects Officer	Jim Stewart
Project Officer	Julie Vinders
Business Manager	Angela Chambers
Business Support Officer	Elizabeth Forbes
Business Support Assistant	Cheryl Fergie

* Cycle Training and Development Officer is employed by Cycling Scotland and embedded in SEStran.

Figure 1: Organisational Chart

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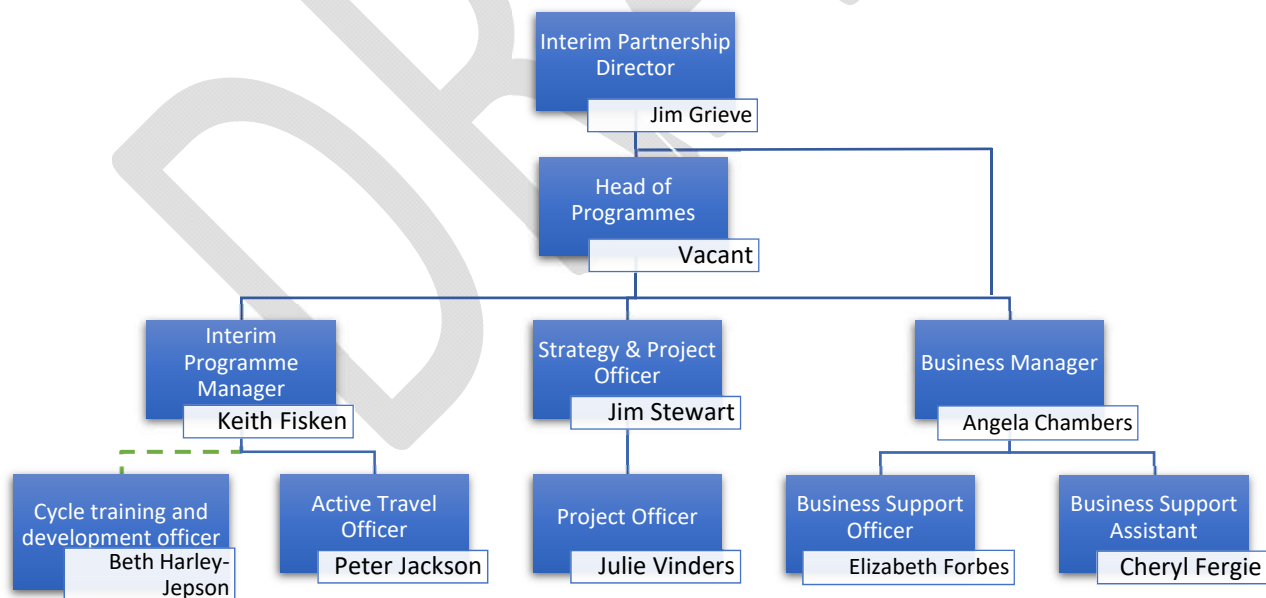
Projects & EU Exit Update

1. INTRODUCTION

1.1 The report provides the Partnership Board with an update on the current status and progress of the various projects SEStran is involved in and covers the position on the EU exit process.

2. Real-Time Passenger Information (RTPI)

2.1 On 17th January 2019, SEStran held an RTPI Project meeting at the WYG Offices in Edinburgh. In attendance were representatives from Stagecoach East Scotland, City of Edinburgh Council, Traveline Scotland, Borders Buses, Borders Council, and WYG.

2.2 Requests have been made to include more small operators into the RTPI system. WYG will investigate whether additional operators can be imported into the existing system.

2.3 For the short term, INEO agreed to continue providing their service until the end of 2018/19. SEStran will develop a plan to fill the gap until a replacement system comes into place.

2.4 Occasionally, incorrect information is displayed on some screens including at the Galashiels interchange, which is most likely caused by out-of-date timetable information within the system or an incorrect interpretation of the calender by the system. WYG is currently investigating these issues. In the meantime, WYG will improve the failure message and refer to the timetable or Traveline website when no information is available on the screens.

2.5 The City of Edinburgh Council is finalising the preparation for a new content management system (CMS). The Procurement Team of the CEC have determined that a NEC Contract tender should be issued within the next couple of months. It is hoped to have the new system operating early in the new financial year. Bustracker SEStran will be integrated with the new CMS.

3. Regional Cycle Network Grant Scheme (RCNGS)

3.1 SEStran's successful bids to Community Links funding have progressed well with studies approaching conclusion. Feasibility reports are due to be completed in the coming weeks with feedback to follow from Sustrans officers.

3.2 The study of Buckhaven-Kirkcaldy is due to progress with Fife Council to design subsequent to Sustrans feedback and public engagement.

3.3   The BioQuarter Active Travel corridor has progressed through to design along much of the route. Stakeholders were shown initial designs in January with further work to progress in cooperation with City of Edinburgh Council.

4.   Regional Active Travel Development Fund – Transport Scotland

4.1   SEStran have procured services for the development of a feasibility study of the A701 for improvements to public transport, walking and cycling provisions. Ove Arup & Partners Ltd. have been awarded the contract for the amount of £34,467.50.

4.2   In collaboration with Tactran, SEStran has procured services to study the A9 corridor between Larbert and Stirling, with connections into the wider active travel network around Larbert.

5.   GO e-Bike

5.1   In addition to the first four e-Bike hubs (currently operating in Fife, West Lothian and Falkirk), SEStran was awarded £300,000 in funding by the Low Carbon Travel and Transport (LCTT) Challenge Fund to expand on the GO e-Bike project. SEStran is currently in the process of selecting 6 more hubs across the region.

5.2   Assets have now been procured for Social Bite Village[1] in Edinburgh and Tweeddale Youth Action in Innerleithen[2] to develop two new hub sites. The Innerleith Hub was formally opened on 14th March 2019 with the Edinburgh hub opening latter in the spring. .

5.3   SEStran has been working with East Lothian and Midlothian Councils regarding the placement of the four further hubs. The location of these sites has now been identified with a view to link these hubs with a transport interchange in the town centres of Musselburgh and Dalkeith. Tender documents are currently being prepared to take this forward.

5.4   The GO e-Bike website is under construction with content being agreed between hubs.

5.5   Funded from the Sustainable Transport budget, SEStran on 9 January 2019, made a grant award of £107,915.00 for the development of two additional e-bike hubs under the Forth Valley Bike Share scheme developed by Forth Environment Link (FEL) for deployment in Falkirk & Clackmannanshire. This is based on procurement exercise carried out by FEL and builds on SEStran's earlier investment in e-bike hubs and on support already secured by FEL from other stakeholders..

5.6   The decision to award the funding to FEL was taken by the Interim Partnership Director after consultation with the Partnership Chair in

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[1] http://social-bite.co.uk/the-social-bite-village/.

[2] http://tweeddaleyouth.co.uk/.

accordance with Clause 40 "Items of Urgency" of SEStran's Standing Orders (as amended August 2017) contained in the Partnership's Scheme of Delegation. This was necessary to provide sufficient time to ensure that the work could be completed during the current financial year. Clause 40 requires that should such a decision be necessary between meetings of the Board, then it must be reported to the Board at its next meeting.

6. Cycle Training & Development – Cycling Scotland

6.1 As part of trialling a new model for delivering Bikeability Scotland training in schools, a number of pilots are being developed within the SEStran region. One pilot is being explored in the Scottish Borders to support smaller rural schools where resources are more limited to deliver Bikeability training in a central location. A pilot in Edinburgh is also being considered to provide additional support to schools in more deprived areas to enable them to deliver Bikeability. Cycle training will also be offered as part of the development of the Go e-Bike hubs.

7. Smarter Choices Smarter Places

7.1 SEStran was successful in a bid to the Smarter Choices Smarter Places Open Fund in November 2018. SEStran was awarded £13,650 as a 50% match for a project to look at travel behaviour in and around Edinburgh.

7.2 SEStran will be working with Trivector Traffic AB, which has developed a mobile app to track how people journey, how far, how fast, why, and by what means. SEStran is conducting a data collection period from the 4th – 31st March 2019.

7.3 SEStran will report the findings of this project to a furture meeting of the Partnership Board.

8. EU projects – update

8.1 SHARE-North[3]

8.1.1 SHARE-North focuses on shared mobility modes and their potential to address sustainable transport challenges in the North Sea region. This includes developing, implementing, promoting and assessing car sharing, bike sharing, ride sharing and other forms of shared mobility in urban and rural areas and employment clusters. The planned living labs integrate modern technology with activities to support changes in mobility behaviour. The objectives include: resource efficiency, improving accessibility (including non-traditional target groups), increased efficiency in the use of transport infrastructure, reduction of space consumption for transport, and improving quality of life and low carbon transport.

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[3] http://sestran.gov.uk/projects/share-north/.

8.1.2 On 12 December 2018, the EU North Sea Region Programme Secretariat announced that the SHARE-North project has been approved for an extension until December 2021.

8.1.3 During the extension, SEStran plans to update Tripshare SEStran (SEStran's car-sharing platform) and take learnings from the other project partners. In February, SEStran presented at an event in Brussels organised by the Belgian partner Taxistop to praise organisations for their continued efforts to promote carpooling in the workplace.

8.1.4 SEStran will also be working closely with the project partners to explore the introduction of 'Mobihubs' (mobility hubs) in the SEStran region, using the experiences from Bremen, Germany, and Bergen, Norway.[4] The aim of Mobihubs is to integrate shared mobility modes into one hub, making mobility more efficient and regaining valuable street space. Examples include combining a car sharing station with public transport, easy cycling and pedestrian access. SEStran is now in the process of identifying suitable locations for the implementation of Mobihubs and would welcome any suggestions from the Partnership Board.

8.2   REGIO-Mob[5]

8.2.1 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".

8.2.2 As part of the monitoring of action plans, SEStran reported the delay in the first active travel audit carried out by Sustrans. SEStran received the final version in November 2018 and concluded the arrangements with Sustrans. Using the PASTA methodology[6], SEStran will be measuring the health benefits of the GO e-Bike scheme.

8.2.3 The next partner meeting was held in Niepolomice, Poland from 14-15 March 2019. SEStran presented its plans to measure the health benefits of GO e-Bike and its progress of implementing the REGIO-Mob Action Plan.

8.3   SUFLOGH[7]

8.3.1 SURFLOGH aims to improve the role of logistics hubs in the network of urban logistics in the North Sea Region. By introducing city labs, a transnational platform is created to promote innovation in city logistics. These platforms will bring together different actors to exchange knowledge, work on innovative pilot projects and implement results within policy strategies and the urban logistics system.

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[4] https://mobilpunkt-bremen.de/english/
[5] http://sestran.gov.uk/projects/regio-mob/.
[6] http://www.pastaproject.eu/home/
[7] http://sestran.gov.uk/projects/surflogh/.

8.3.2 SEStran's main role in the project is to work together with Edinburgh Napier University Transport Research Institute (TRI) to develop business cases for environmentally friendly transport. It is also working with local SME's to trial deliveries of goods by cargo-bikes, in and around the city of Edinburgh. Zedify (formerly Outspoken Delivery) has been identified as pilot delivery partner to deliver the e-cargo bike pilot scheme. The Edinburgh pilot was formally launched at the SEStran Freight Forum in November 2018.

8.3.3 The last partner meeting was held in Mechelen, Belgium from 5-6 February 2019. SEStran provided the project partners with an update on recent activities.

8.3.4 The SURFLOGH mid-term conference will be help in Edinburgh on the 29th May 2019. The them for the conference will be 'Sustainable Logistics in Action'.

8.3.5 SEStran presented the SURFLOGH project at the Switched on Scotland[8] event on 13th March in Edinburgh. SEStran contributed to a panel discussion on sustainable logistics.

8.4   BLING

8.4.1 In December 2018 Funding was approved for a new Interreg North Sea project: **BLockchainINGovernment (BLING)[9]:** Blockchain is a key enabling technology that will underpin efforts to deliver innovative services under the Digital Agenda for Europe. The BLockchain IN Government (BLING) project focuses on providing one of the first dedicated platforms to bring these tools and approaches into local and regional services. SEStran will be working with thirteen project partners to deliver the project.

8.4.2 The kick-off meeting was held in Zwolle in the Netherlands from 7-8 February 2019.

8.4.3 The BLING pilot developed by the University of Edinburgh Design Informatics and SEStran, will explore new ways of using location data and smart contracts in the design of transport and delivery services.

9.   Proposed projects

9.1   PURSUITS: In September 2018, the project partners submitted the second stage proposal for the Pursuits project under the EU Horizon 2020 programme. In January 2019, the Innovation and Networks Executive Agency of the European Commission announced that the project application was unsuccessful.

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[8] https://www.energysavingtrust.org.uk/scotland/businesses-organisations/transport/switched-on-scotland
[9] https://northsearegion.eu/bling/

9.2   **CONNECT:** CONNECTing North Sea Region's TEN-T nodes – Support intermodality growth in the North Sea Region through smart efficiency enhancements. In March 2019, the projects partners submitted the revised second stage proposal for the Connect project under the Interreg North Sea regional programme. If the application passes intitial assement it will proceed to full assessment based on the strategic and operational assessment criteria.

10.   Further Initiatives

10.1   ECOMM: SEStran is no longer hosting the European Conference on Mobility Management due to the high financial risks associated with it, which is exacerbated by the latest Brexit position and emerging pressures on the 2019/20 budget.

10.2   Hate Crime Charter: SEStran is involved in a working group, along with Transport Scotland, Police Scotland and Disability Equality Scotland, to develop a regional hate crime charter on public transport. Police Scotland and Disability Equality Scotland have taken ownership of the first draft. Once the draft version is finalised, SEStran will trial the Charter in Fife, Clackmannanshire and West Lothian. Based on the learnings from this trial, SEStran hopes to roll out the Charter nationally.

10.3.1   Can do & Thistle Card App: SEStran has been working with Scottish Enterprise Can Do to develop an intermodal journey planner and Thistle Card App, which will make it easier for people to use the Card when using public transport.

**10.3.2   The tender competition run by Innovate UK for applications has taken place, closing in January 2019 with 39 very interesting entries received. From these 39, 5 were selected to be taken forward into Phase one of the project.

**10.3.3   In March 2019 contracts were sent to the successful applicants for return in April 2019, with a project start in late April early May. Phase one will run for 6 months.

10.4.1   Electric Vehicle Strategy: Following a Chief Officers meeting, it was agreed that SEStran should develop an Electric Vehicle Strategy for the region. This strategy is to address barriers to the uptake of electric vehicles and challenges for local authorities to support electric vehicle infrastructure.

**10.4.2   SEStran's Project Officer help an initial meeting with council Chief Officers earlier in February to discuss the outline, strategic objectives and scope of an electric vehicle strategy for the region. Learnings will be taken from the draft electric vehicles shared with SEStran by TACTRAN and HITRANS.

11.   SEStran Forums

11.1   The Equalities and Access to Healthcare Forum will be hosted by SEStran on 2 April 2019.

11.2   The Integrated Mobility Forum will be hosted by SEStran on 16 April 2019.

11.3   The Logistics and Freight Forum will be hosted by SEStran on 29 May 2019 and this will coincide and include a SURFLOGH partnership meeting.

12.   EU Exit update

12.1   The UK is due to leave the EU at the end of March 2019. Following a 'meaningful vote' in the House of Commons on 15 January 2019, the Prime Minister's deal with the EU was rejected by 230 votes. As a result, the risk of leaving the EU without a deal has increased substantially. The Prime Minister is engaging in talks with various MPs in an attempt to secure a majority in Parliament for her deal.

13.   Recommendations

13.1   It is recommended that the Partnership Board takes note of the contents of the report.

Julie Vinders
Project Officer
12 March 2019

Policy Implications	None
Financial Implications	None
Equalities Implications	None
Climate Change Implications	None

Project outputs

Real-Time Passenger Information	In the short term, SEStran is exploring options with INEO to keep the service going until the agreement comes to an end. It is hoped that the new system operating will be in place early in the new financial year. Bustracker SEStran will be integrated with the new CMS. **Timeframe**: financial year 2019/20
Regional Cycle Network Grant Scheme (RCNGS)	3 feasibility studies are being undertaken by Aecom worth £90,248.93 using 100% funding from Community Links. **Timeframe**: spring 2019
Regional Active Travel Development Fund	SEStran has awarded funding to Arup to carry out a feasibility study for the A701 corridor **Timeframe**: financial year 2019/20
GO e-Bike	2 new GO e-Bike hubs will be launched early spring at Social Bite Village in Edinburgh and Tweeddale Youth Action in Peebles. **Timeframe**: spring 2019
Cycle Training & Development – Cycling Scotland	As part of trialling a new model for delivering Bikeability Scotland training in schools, a number of pilots are being developed within the SEStran region. **Timeframe**: ongoing until summer 2019
Smarter Choices Smarter Places	SEStran was awarded £13,650 as a 50% match for a project looking at travel behaviour in and around Edinburgh. SEStran is working with Trivector Traffic AB to conduct data collection through a mobile app which tracks how people travel, how far, how fast, why, and by what mode. **Timeframe**: March 2019
SHARE-North	With the project extension being approved by the EU North Sea Region Programme Secretariat, SEStran will be working with project partners to update Tripshare. SEStran

	will also be looking at introducing 'Mobihubs' (mobility hubs) to the SEStran region. **Timeframe**: ongoing until December 2021
REGIO-Mob	Sustrans provided SEStran with first Active Travel Audit. Moving forward, SEStran will be using reports prepared by CoMoUK to report on the health benefits of the GO e-Bike project. **Timeframe**: ongoing until March 2020
SURFLOGH	SEStran is working with Zedify to deliver the e-cargo bike pilot scheme. This pilot scheme will inform the development of a business case for first/last mile delivery solutions in sustainable urban freight logistics. **Timeframe**: ongoing until October 2020
BLING	SEStran will be working with various project partners, including the University of Edinburgh, to develop and implement a transport focused pilot that aims to deliver Blockchain in government. **Timeframe**: ongoing until December 2021
Hate Crime Charter	SEStran is developing a Hate Crime Charter aimed at reporting and preventing hate crime incidents. After a regional trial, SEStran hopes to roll out the Charter nationally. **Timeframe**: financial year 2019/20
Can Do & Thistle Card App	Can Do funding will be used to develop a intermodal journey planner and Thistle Card App **Timeframe**: financial year 2019/20

Equalities Update

1. INTRODUCTION

1.1 SEStran falls within the public bodies covered by the Equality Act 2010 ("the 2010 Act") and the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 ("the Regulations").

1.2 The purpose of this report is to inform the Board of some of the key statutory obligations and responsibilities upon SEStran and the relevant timescales.

1.3 The Board should note that SEStran Officers are consulting with the Partnership's Legal Advisers at Anderson Strathern LLP throughout this process.

1.4 We refer throughout this report to the general equality duty. This means SEStran's duty, set out in the 2010 Act, when exercising its functions, to have due regard to the following needs:

a. to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the 2010 Act;
b. to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
c. to foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

1.5 The protected characteristics under the 2010 Act are:
- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief
- sex
- sexual orientation

2. EQUALITIES MAINSTREAMING REPORT

2.1 The Regulations require a listed authority to publish a report on the progress it has made in making the general equality duty in the 2010 Act integral to the exercise of its functions. These reports are to be published at intervals of no more than two years.

2.2   SEStran last published a report in April 2017 - Mainstreaming Equality 2015-2017[1] and is due to publish a report for the period 2017-2019 by no later than 30 April 2019.

2.3   The Mainstreaming Report must include:
- An annual breakdown of the information that the public body has gathered about its employees in terms of their composition, recruitment, development and retention with reference to the protected characteristics in the 2010 Act. Due to the size of the organisation, and the fact that individuals would be very likely to be easily identifiable if we published the composition, recruitment, development and retention of our employees with reference to their protected characteristics, we are not required to publish this. Owing to changes in personnel at SEStran the approach to collection and retention of protected characteristic data about our employees during the last reporting period has been inconsistent. We are undertaking staff training to increase and improve our understanding and to make our equalities records management more robust going forward;
- Details of the progress that has been made in gathering and using that information to enable the public body to better perform the general equality duty in the 2010 Act; and
- The gender composition of members (or board of management) and information on the steps taken or intended to be taken towards ensuring diversity in relation to the protected characteristics of those members.

2.4   The Regulations set out that the Scottish Ministers are required from time to time, to gather information about members' protected characteristics and that the Ministers will forward those to the public bodies covered by the duties for inclusion in their mainstreaming reports.

2.5   At the time of writing this report, Officers' were awaiting confirmation from colleagues in Scottish Government as to when this information will be gathered and shared.

3.   EQUALITY OUTCOMES 2017 – 2021, progress report in April 2019

3.1   Under the 2010 Act and the Regulations SEStran has a requirement to publish a set of Equality Outcomes, which it considers will enable it to better perform the equality duty.

3.2   SEStran published a set of Equality Outcomes 2017-2021[2] in April 2017 and is required to publish a biennial progress report, by no later than 30 April 2019.

4   ASSESSING IMPACT AND STAFF TRAINING

4.1   The Regulations set out that SEStran must, where and to the extent required to fulfil the general equality duty, make an assessment of the

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[1] https://www.sestran.gov.uk/publications/equalities-mainstreaming-report-2015-2017/

[2] https://www.sestran.gov.uk/wp-content/uploads/2017/04/2017_04_27_Equality_Outcomes.pdf

impact of applying any proposed new or revised policy or practice against the needs that form part of the general equality duty.

4.2 The results of such assessments must be published. The Equality and Human Rights Commission are of the view that publication of the results of assessments will increase transparency and accountability. The Commission suggests that impact assessment results are published as soon as possible after any decision to implement a policy/procedure is reached.

4.3 In light of changes in personnel within SEStran, we are keen to ensure that our staff have comprehensive knowledge of our obligations under the equalities legislation. We are arranging for training to be provided to staff by our legal advisers before the 30 April 2019 reporting deadline described here and will report back when this has been undertaken.

5. BOARD MEMBER TRAINING

5.1 It is proposed that a training workshop on Unconscious Bias will be arranged for Members.

5.2 The workshop will run for approx. 3 hours and will be delivered by Equate Scotland[3]

5.3 The workshop will be scheduled to follow on from either the 21 June or 27 September Board meeting and Members are asked to confirm their preferred date.

5.4 Members should note that further training opportunities will be identified by the Succession Planning Committee and that a meeting of the SEStran Succession Planning Committee[4] will be arranged before summer recess to complement the organisation's commitment to achieving greater diversity and a report will be brought to a future Partnership Board meeting.

6. CONCLUSION

6.1 For the reports to be collated, the Partnership is asked to agree to provide Officers' with a mandate to finalise and publish the reports, in consultation with the Chair, by 30 April 2019.

7. RECOMMENDATIONS

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[3] https://equatescotland.org.uk/unconscious-bias-training/

[4] https://www.sestran.gov.uk/wp-content/uploads/2017/03/1487862617-1.pdf

The Board are asked to:

7.1 Approve a mandate for Officers to collate and publish Mainstreaming Equality 2017-2019 and Equalities Outcomes 2017-2021 Progress Report, and;

7.2 Agree a date of either 21 June or 27 September for Unconscious Bias training, and;

7.3 Note that information on members protected characteristics will be addressed once confirmation is received from Scottish Ministers.

7.4 Note that the Succession Planning Committee will meet before the summer recess and a report will be presented to a future Board meeting, and;

7.5 Note that equalities training will be provided to staff before the reporting deadline.

Angela Chambers
Business Manager
15 March 2019

Policy Implications	As outlined in the report
Financial Implications	Cost of training.
Equalities Implications	As outlined in the report
Climate Change Implications	None

Interim Director's Report

1. Introduction

1.1 This report informs the Board of progress on the review of the National Transport Strategy and the second Strategic Transport Projects review. It also covers the business of the most recent meeting of the Regional Transport Partnership Chairs and apprises the Board on Transport Scotland's desire to establish Regional Transport Working Groups.

2. National Transport Strategy Review (2)

2.1 While the work on policy development has been progressing at pace, the Review Board which met on 7 November agreed that the current timescales for consultation in early 2019 is too tight and does not allow for further dialogue with the stakeholders in advance of the wider consultation. It was, therefore, agreed that the wider consultation will now be delayed until mid 2019, with a period of further stakeholder engagement in spring 2019. It is anticipated that the final document will be produced in November / December 2019.

2.2 This extension to the timescale will allow for the regional testing of NTS policy proposals, to link into the proposed regional and national approach to the Strategic Transport Project Review and ensure that it is aligned with the National Planning Framework.

3. Strategic Transport Projects Review (STPR 2)

3.1 A contract to support the second Strategic Transports Projects Review (STPR2) has been awarded to a combined team of Jacobs and Aecom.

3.2 This is the second strategic review – the first was published in 2008. The new review will consider future investment in all transport modes including the strategic road and rail networks as well as active travel, island connectivity, ferries and buses.

3.3 As described above, work is underway on the review of the National Transport Strategy which will set out a shared vision for a future of Scotland's transport system and the second Strategic Transport Projects Review will build on that by identifying the infrastructure required to make it a reality.

3.4 The government has committed to a collaborative review that will consider the views of bodies such as transport authorities and stakeholders, businesses, community groups and special interest groups.

4.   RTP Chairs Forum

4.1   The RTP Joint Chairs last met on 6 March 2019 in Edinburgh.

5.   Regional Transport Working Groups

5.1   On 8 January 2019, Transport Scotland's Director for Transport Strategy & Analysis sent a letter to all local authorities and RTPs proposing that groups under the above heading be set up to provide input to Transport Scotland's work to progress "…. transport policy and strategic transport interventions for a 20 year horizon…." and further recommended that the South East Scotland region's group be based on the Edinburgh and South East Scotland City Deal (E&SESCD) configuration.

In respect of the above, it is worth pointing out that an integral part of the NTS 2 process was the establishment of a "Roles and Responsibilities Working Group" with a remit to review and make recommendations for future options in respect of regional transport governance. These recommendations are currently being assessed by Transport Scotland and the outcome of that assessment is awaited.

In the meantime, it is assumed that the aforementioned "Regional Transport Working Group", will focus on input to STPR 2.

5.2   In respect of further "city deals" being established nationally, Clackmannanshire and Stirling have joined together. Falkirk Council, SEStran's remaining Partner authority is not yet associated with a city deal.

Subsequently a Stirling-Clackmannanshire City Region Transport Working Group has been formed with Falkirk, Tactran, SEStran and Transport Scotland included.
The Group will look at the potential benefits, affordability and deliverability of strategic transport schemes as well as more local interventions.

Transport Scotland will work as part of the group to enable the regional engagement to inform national transport appraisal considerations including the on-going Strategic Transport Projects Review.

5.2.1 In more detail, the group will consider:

City Deal Priorities

Take forward work for which finances have been identified in the Stirling-Clackmannanshire City Region Deal Heads of Terms

Other Strategic Transport Priorities

Take forward work to identify the transport issues which affect the City Region Deal aspirations

Take forward any work packages to investigate and identify solutions to address the transport issues affecting the City Region Deal aspirations. This will include considering potential benefits, affordability and deliverability of the strategic transport schemes as well as the more local interventions that support the Stirling-Clackmannanshire City Region

Provide interface with Transport Scotland's Strategic Transport Projects Review (STPR2)

Provide transport input to Stirling and Clacks City Region Deal governance structure

Additionally, subject to the items being covered on any one agenda, invitations may be extended to relevant organisations (such as Network Rail, Local Lomond & the Trossachs National Park Authority, Scotrail, Stirling University & Forth Valley College, NHS Forth Valley and SNH). It is proposed that the group meets on a two-monthly basis.

6.   Recommendations

6.1   The Board notes the contents of the report.

Jim Grieve
Interim Partnership Director
14th February 2019

Policy Implications	There may be policy implications for the longer term but and it is anticipated that they will start to emerge later this year
Financial Implications	Depending, particularly, on decisions being taken on the output of the Roles & Responsibilities Working Group referred to in 5.1 there may be financial implications for future years.
Equalities Implications	None
Climate Change Implications	None

ECMA Update

1. Introduction

1.1 This report provides an update to the Partnership Board on recent discussions relative to the East Coast Main Line, based on an ECMA Officers' Group meeting which took place on 5 February and on a full Consortium meeting which took place on 27 February.

2. Budget

2.1 The budget for 2018/19 was £92831, which reflects the income received from the participating authorities' subscriptions for the current year.

Assuming that a further £12k (over and above the £12.5k referred to in 3.1 below) earmarked for additional research into the economic benefits of the line and that £35k assigned to advocacy and communications related to promoting the line will not be spent this year, a carry-over of approximately £47k to 19/20 is anticipated.

At this stage, the draft budget for 2019/20 assumes expenditure of £31k for the secretariat support, £35k for advocacy and communications and £20k for further research.

2.2 The Consortium agreed to keep subscription levels at the same level as the current year and seek to attract further contributions from authorities not yet paid up as fully participating members.

2.3 The advocacy and communications work which was planned for the current year was to be carried out by West Yorkshire Combined Authority (WYCA) but they were unable to provide a sufficient resource to carry out the work this year.

They have, however, committed to doing the work in 2019/20 and this is consistent with the budget proposed for 2019/20. (See paragraph 4.1 below).

3. Consultancy Work

3.1 A study entitled, "Investing for Economic Growth" was undertaken by JMP on behalf of ECMA, in 2016. SYSTRA have been appointed to refresh / update the 2016 study at a cost of £12.5k and the work is to be completed by the end of March 2019.

At the RTPs request, SYSTRA will be required to consult with the RTPs, to ensure that their refresh includes appropriate input in respect of the route through Scotland.

4. Work Programme 2019/20

4.1 A draft work programme for 2019/20 was approved but needs to be further developed to take account of anticipated events in Scotland, during the coming year.

5. Engagement with Both the UK Government and the Scottish Government

5.1 ECMA has written to both Chris Grayling, Secretary of State for Transport and Michael Matheson, Cabinet Secretary for Transport, Infrastructure & Connectivity, requesting meetings to discuss future investment in the ECML, north and south of the border. An approach to the Scottish Parliament's, Cross Party Rail Group to include a presentation form ECMA, on their aims, has been made and this is being discussed with the secretariat.

6. Williams Rail Review

6.1 A review to transform Britain's railways was launched on 20th September 2018 by Transport Secretary Chris Grayling. The review was described as "the most significant since privatisation" and it was promised that it would "consider ambitious recommendations for reform to ensure our vital rail system continues to benefit passengers and support a stronger, fairer economy".

It was further stated that the government's vision is for the UK to have a world class railway. The Rail Review has been established to recommend the most appropriate organisational and commercial frameworks to deliver the government's vision. It should be comprehensive in its scope and bold in its thinking; challenging received wisdom and looking to innovate. The review is led by independent chair Keith Williams.

A call for evidence was launched to support the review. Although responses were invited by 18th January 2019, it was stated that further opportunities will be available to contribute to the review up to the end of May.

ECMA will submit a response through the ECMA Chair.

7. General Items

7.1 LNER update

7.1.1 LNER are looking to rollout the new Azuma trains steadily and introduce at least one new train per week. It is anticipated that the first Azuma will be brought into service from mid-April.

7.2 Network Rail Update

7.2.1 A short update was provided by Network Rail.
Andrew Haines is the new Chief Executive and a 100-day review of the organisation is taking place and will be published soon.

Network Rail will continue to support ECMA in identifying improvements on the ECML.

Network Rail and LNER are currently working together to solve capacity issues at Harrowgate.

It was suggested that ECMA meetings could have a specific Network Rail agenda item in future. All ECMA officers in attendance agreed.

8. Recommendation

8.1 That the Board notes the content of the report.

Jim Grieve
Interim Partnership Director
11th March 2019

Policy Implications	The maintenance and improvement of the East Coast Main railway line is entirely consistent with the regional Transport Strategy
Financial Implications	The cost of ECMA continued membership can be contained within existing budgets.
Equalities Implications	None
Disability Equalities Implications	None

Cyber Essentials

1.   INTRODUCTION

1.1   This purpose of this report is to provide the Board with an update on the Cyber Resilience project.

2.   BACKGROUND

2.1   Reports were brought to previous meetings of the Performance & Audit Committee and Partnership Board detailing the requirements of the Scottish Government (SG) Cyber Security Public Sector Action Plan.

2.2   One of the key actions required was to carry out an initial pre-assessment to determine the cyber security posture of the Partnership by March 2018, and to carry out the remedial actions required to attain Cyber Essentials or Cyber Essentials PLUS accreditation.

3.   PROGRESS

3.1   Following pre-assessment last March, Cyber Essentials was awarded in January 2019. This was followed by an independent audit of SEStran's IT systems and the higher-level accreditation of Cyber Essentials PLUS was achieved February 2019.

3.2   This award demonstrates that SEStran has the appropriate controls in place and has adopted best practice in information security.

4.   RECOMMENDATIONS

4.1   The Board are asked to note the contents of this report.

Angela Chambers
Business Manager
March 2019

Policy Implications	None
Financial Implications	None
Equalities Implications	None
Climate Change Implications	None

<u>**HR Policy Review**</u>

1.   INTRODUCTION

1.1   The purpose of this report is to provide an update to the Partnership on the review of HR policies and procedures that commenced in November 2018. The review was carried out in conjunction with SEStran's HR Adviser and was concluded for this financial year.

1.2   The following policies/documents were identified as requiring revision and these have now been amended to ensure that SEStran meets employment legislation requirements and continues to apply best practice.

1.3   The policies were presented to the Performance and Audit Committee on 8th March 2019.

2.   CHANGES TO POLICIES AND PROCEDURES

2.1   The following is a summary of the changes made to policies:

2.1.1   <u>**Incident Reporting Policy (Appendix 1)**</u>

- The terms "accident" and "incident" were used inconsistently through the document and have been changed to "incident".
- Removed content from section on the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) and included a link to the HSE guidance document *INDG453(rev 1) – Reporting accidents and incidents at work.* Also included is a link to the online form for reporting incidents to the HSE.
- The policy originally required that incident forms were kept for 12 months or 24 months if the incident resulted in injury. Regulation 12 of RIDDOR requires that records of reportable injuries and any work-related injury that prevents a person carrying out their normal duties for more than three consecutive days is kept for three years. That would add a third retention criterion to the policy. (Not all reported incidents that prevent a person carrying out their normal duties for more than three days, or even seven for that matter, would necessarily be work related and so wouldn't be captured by Regulation 12.) As it may not be obvious which of the criteria would be applicable, to avoid any confusion, the three-year retention period has been applied to all incident reports.
- Appendix 1 has been removed. This was a copy of an HSE document which has since been revised and an updated version published. A link is now included to the online version in the main body of the policy.
- Some minor changes have been made to the accident form. Including updates made to sections 5 and 6 of the form to better reflect the requirements of RIDDOR.

- Additional paragraph under Section 9 – "Monitoring and Reviewing" to include a requirement to review incidents and identify any trends and areas for improvement.
- Removed repetition and simplified content.

2.1.2 **Statement of Particulars (Appendix 2)**
- Removal of retirement age.
- HR Adviser commented that notice period of 12 weeks for Partnership Director is very generous and suggests bringing in to line with notice period of staff.
- Inclusion of calculation to be used for holiday pay.

2.1.3 **Travel and Subsistence Policy (Appendix 3)**
- Inclusion of first-class rail travel, applicable in certain circumstances. These include rail card discounts and value for money, compared to standard class tickets.

3.   CONCLUSION

3.1   The Performance and Audit Committee at its meeting on 8th March; approved the Incident Reporting Policy and Travel and Subsistence Policy for immediate implementation; and

3.2   Agreed that further work should be undertaken on the Statement of Particulars. Templates to be provided to Officers to progress and report back to the next meeting of Performance and Audit Committee.

4.   RECOMMENDATIONS

4.1   It is recommended that the Board notes the content of this report.

Angela Chambers
Business Manager
15 March 2019

Appendix 1 Incident Reporting Policy
Appendix 2 Statement of Particulars
Appendix 3 Travel and Subsistence Policy

Policy Implications	As outlined in the report
Financial Implications	None
Equalities Implications	As outlined in the report
Climate Change Implications	None

INCIDENT REPORTING POLICY

DOCUMENT VERSION CONTROL

Date	Author	Version	Status	Reason for Change
Sept 2015	**SEStran**	1.1	FINAL	Updated RIDDOR
Oct 2017	SEStran	1.2	FINAL	Adoption of version control
March 2019	SEStran	1.3	FINAL	Changes to retention, RIDDOR and language.

1. POLICY STATEMENT

SEStran are committed to the safety of employees, and anyone who could be affected by our activities, by minimising the risks from all work-related incidents. We aim to provide a safe and healthy working environment for all employees. Incident reporting and investigation will help by identifying where we can improve our processes.

We will investigate and record all incidents including near misses and other events. SEStran operates a "no-blame" approach to incident reporting. Incidents are valuable learning events and should be treated as such. Identifying improvements in processes and operational controls will be the focus of any investigation.

1.1. DEFINITION

For the purpose of this policy an incident is any unplanned or unwanted event arising from work activities which has resulted in or had a potential to cause:

- personal injury
- ill-health
- damage to property, plant or equipment
- any loss in productivity

This includes any acts of violence to employees as described in the Violence at Work Policy and harassment of any employee by a third party as defined by the Dignity at Work Policy.

2. INTRODUCTION

SEStran will take all reasonable steps to ensure that the work environment is safe.

We will design working practises to ensure any risks are minimised. Any potential hazards will be subject to risk assessments and these will be regularly reviewed. We recognise that even with the operational controls in place unplanned or unwanted events can still occur. The investigation of work-related incidents is an important step in effectively managing the risks associated with our work activities. It provides an opportunity to learn from what has happened and take action to help prevent it from happening again.

3. SCOPE

This policy applies to all employees of SEStran and covers all activities arising out of company business. It complements the Violence at Work Policy and the Dignity at Work Policy.

4. **REPORTING OF INCIDENTS**

All incidents involving employees, consultants and clients that arise from our activities must be reported using the Incident Reporting Form (Appendix 1). This includes near miss incidents in which no person was injured but where a dangerous situation was identified. Near misses commonly go unreported but are just as important to report as they can highlight potential problems that, under slightly different circumstances, could have caused harm.

Incidents must be immediately reported by the affected person(s) to their line manager. The line manager will investigate the incident and complete the Incident Reporting Form. Where the line manager is unavailable the incident must be reported to another manager.

Fatalities must also be immediately reported to the Partnership Director.

Where appropriate, Section 4(a) of the Incident Report Form should be completed if the affected person has any time off work or attends hospital for treatment.

The form can be completed by hand or electronically. Additional documents may be added to the report together with relevant photographs. Once complete, the original copy(s) should be sent electronically to the Partnership Director (jim.grieve@sestran.gov.uk). The manager should retain the original form and additional information for a period of 3 years.

Completed Incident Report Forms and the information they contain must be treated as confidential at all times. Forms should not be circulated beyond those directly involved. Where the line manager or Partnership Director is required to share any general information about the incident any identifying details should be removed.

5. **INVESTIGATION**

Once the area has been made safe every effort should be made to preserve the scene of the incident. The line manager must investigate the incident as soon as possible after being notified.

Where the incident is serious, or could have been more serious, a more detailed investigation must be considered; for example, multiple or life changing injuries or significant damage to property. The line manager should consult with the Partnership Director to determine the extent of the investigation that may be required; including whether to request assistance from the Scottish Government's Occupational Health and Safety Team.

If the incident has resulted from a building defect or failure of a building operational control then the relevant premises manager should also be notified so they have the opportunity to conduct their own investigation.

Guidance on conducting an investigation is included in the HSE publication *HSG24 – Investigating accidents and incidents* which is available at:

http://www.hse.gov.uk/pubns/hsg245.pdf

Any additional investigation notes and observations not covered in the form should be added to the report as required.

6. RIDDOR

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) requires that certain injuries or diseases arising from work activities are notified to the HSE. Guidance on which injuries or diseases are reportable is included in the HSE publication *INDG453(rev 1) – Reporting accidents and incidents at work* which is available at:

http://www.hse.gov.uk/pubns/indg453.pdf

RIDDOR reports should be submitted to the HSE using one of the online forms available at:

http://www.hse.gov.uk/riddor/report.htm

Occupational diseases must be reported to the HSE as soon as is practical. While occupational diseases may be diagnosed by an employee's GP in the first instance all such cases should be referred to Occupational Health. The line manager should also immediately inform Falkirk Council's Health, Safety and Care Team at:

health.safety@falkirk.gov.uk

The Health, Safety and Care Team will provide guidance to the line manager on investigating the cause of the occupational disease and assist in preparing the report.

7. RISK ASSESSMENT

The Partnership Director will ensure that any relevant risk assessments are reviewed to take account of any incident or near miss and the findings of the subsequent investigation.

8. RESPONSIBILITIES

8.1. PARTNERSHIP DIRECTOR

The Partnership Director is responsible for the effective operation of the policy across SEStran as a whole and for ensuring that relevant procedures are implemented. They are also responsible for ensuring that

adequate resources are made available to implement appropriate protective measures, where these have been identified as a result of risk assessment or incident investigation.

8.2. MANAGERS

Managers are responsible for implementation of the SEStran Incident reporting procedures. They are also responsible for ensuring that an Incident Reporting Form is completed fully on each occasion.

In all cases Managers are responsible for conducting an investigation to identify how the incident occurred and for identifying and implementing any appropriate measures to prevent re-occurrence.

The Manager will report the incident to the Partnership Director and, if required under RIDDOR, to HSE.

8.3. EMPLOYEES

Employees are responsible for reporting all incidents to their manager immediately or as soon as possible following the incident. They will give a full and accurate account of details leading to the incident and of the incident itself.

The employee will cooperate with the Manager's investigation into the incident including provision of written witness testimony where appropriate.

9. MONITORING AND REVIEWING

The Partnership Director will provide relevant information on incidents to the Performance and Audit Committee at appropriate intervals. The Performance and Audit Committee will consider information provided on incidents to identify trends and possible improvements to systems of work and risk assessments.

The Partnership Director will review this policy annually, in conjunction with the Performance and Audit Committee, taking into consideration legislative amendments and best practice advice.

Appendix 1: Incident Report Form

INCIDENT REPORT FORM

SECTION 1 DEPARTMENT/SECTION:	PREMISES/LOCATION OF ACCIDENT/INCIDENT:

SECTION 2
EMPLOYEE ☐ - (go to Section 2a)
OTHER - (tick relevant box & go to section 2b)
 SERVICE USER ☐ MEMBER OF PUBLIC ☐ CONTRACTOR ☐

SECTION 2a NAME: D.O.B	SECTION 2b NAME: D.O.B
Employee No. Telephone No JOB TITLE PLACE OF WORK	HOME ADDRESS Telephone No.

SECTION 3- DATE & TIME OF ACCIDENT:

TYPE OF ACCIDENT:
Please tick below as appropriate
ACCIDENT ☐ **INCIDENT** ☐ **NEAR MISS** ☐ **DANGEROUS OCCURRENCE** ☐
VIOLENCE:- ☐
Physical ☐ i.e. throwing object ☐ use of weapon ☐
Verbal ☐ i.e. posturing ☐ harassment : sexual ☐ racial ☐ disability ☐ religion ☐
Both ☐ **Other** ☐ please specify ………………………………………………………

SECTION 3a - DESCRIPTION OF ACCIDENT/INCIDENT

Were there any witnesses?   Yes/No- if yes see Section 8

DESCRIPTION OF INJURY:
(If appropriate)

DETAILS OF NAME OF FIRST AIDER AND ANY FIRST AID TREATMENT OR ADVICE/SUPPORT GIVEN:
(If appropriate)

SECTION 3b – *to be completed by person involved in Accident/Incident.*
SEStran will process this data for recording and monitoring purposes in relation to the Health & Safety Policy and Procedures. In order to comply with relevant legislation SEStran may have to disclose details of this incident to the HSE. I confirm that the details on this form are correct and that I am the person/guardian/parent of the person involved in the accident/incident as described. *Please circle as appropriate*

Printed Name: ………..…………….……….. Signed …………….………………..…….   Date ……………

Section 4 - MANAGER'S INVESTIGATION DETAILS (Note: *Line Manager to complete this section-* **Please attach copies of sketches, photographs and/or relevant documents to support your investigation. Witness statement(s) should also be included if applicable – see Section 8 – separate copies to be completed for each witness.**
EXACT LOCATION OF ACCIDENT/ INCIDENT

CAUSE OF ACCIDENT/ INCIDENT

IMMEDIATE ACTION TAKEN TO PREVENT RECURRENCE OF ACCIDENT/INCIDENT (If appropriate)

WAS DEBRIEFING RECEIVED? YES ☐ NO ☐ IF YES WAS IT: EMPLOYEE ☐ SERVICE USER ☐ BOTH ☐ GIVE DETAILS

PROPOSED FURTHER ACTION TO PREVENT RECURRENCE OF INCIDENT (If appropriate)

Printed Name: ………..………………….... Signed ………………………………..…….Line/Unit Manager   Date …………….

SERIOUS INCIDENT – PARTNERSHIP DIRECTOR COMMENTS

Printed Name: ………..………………….... Signed ………………………………..…….Partnership Director   Date …………….

SECTION 5 – ABSENCE DETAILS AS A RESULT OF INCIDENT

WAS TIME TAKEN OFF WORK?   YES   ☐   NO   ☐

WAS TIME TAKEN OFF* MORE THAN 7 DAYS? YES   ☐   NO   ☐ If YES go to Section 6

* This includes any work related injury that prevents an employee being unable to perform their normal duties for more than seven days (not counting the day of the accident) whether absent or not,..

SECTION 6 - REPORT TO HSE

The following must be reported to the HSE:

Specified Injury	Includes any fracture (other than fingers, thumbs or toes), amputation, dislocation, permanent loss or reduction of sight, serious burns, scalpings requiring hospital treatment, unconsciousness caused by head injury or injuries from working in enclosed space.
	Any work related injury that prevents an employee being unable to perform their normal duties for more than seven days.
Member of Public or Visitor	Work related injury to a member of the public which requires them to be taken from the place of the incident to a hospital for treatment
Occupational Disease	Specified conditions due to physical agents or demands of work, exposure to substances or infections due to biological agents.
Dangerous Occurrence	There are 27 categories of dangerous occurrences that are relevant to many workplaces. For more information refer to Schedule 2 of RIDDOR available at: http://www.legislation.gov.uk/uksi/2013/1471/schedule/2/made

A printed copy of the RIDDOR report should be attached to this form.

SECTION 7
COSTS ASSOCIATED WITH ACCIDENT/INCIDENT
DIRECT COSTS   GRADE
INJURED PERSON   Lost Time =   (hours)
                                              Days Lost =   (days)
ANCILLARY PERSONS
FIRST AIDER   Lost Time =   (hours)
WITNESSS   Lost Time =   (hours)
SUPERVISOR   Lost Time =   (hours) (hours)
MANAGER   Lost Time =   (hours)
OTHERS (please specify)   Lost Time =

DAMAGED EQUIPMENT   (Repair costs or replacement costs)   £

                                              e.g. damaged clothes, replacement staff etc.   £

                                                                                                                £

INDIRECT COSTS

TOTAL COSTS

Section 8 - WITNESS STATEMENT(S) – WITNESS REPORT OF ACCIDENT/INCIDENT

N.B. If more than one witness statement, please photocopy this page and attach it to the form.

DID YOU WITNESS THE ACTUAL ACCIDENT/INCIDENT TAKING PLACE?   YES ☐   NO ☐
DID YOU ATTEND THE SCENE AFTER THE ACCIDENT/INCIDENT TOOK PLACE?   YES ☐   NO ☐
ARE YOU AN EMPLOYEE?   YES ☐   NO ☐
NAME OF WITNESSS   Address/ or place of work

Telephone number:

WITNESS STATEMENT:

Witness:
Printed Name: ………..………..………….....   Signed ………………………..……..…….   Date ……………

Section 9 – Ethnicity of person/s involved in accident/incident
Please note: This section should be fully completed by the individual involved in the accident/incident in order to satisfy the requirements of SEStran to report on statistics in connection with the Race Relations (Amendment) Act 2000 and all information will be treated as strictly confidential

A. WHITE

☐ Scottish

☐ English

☐ Welsh

☐ Irish

☐ Northern Irish

☐ Any other

White background, please write in ……………

B. MIXED

☐ Any Mixed background, please write in ………………………………………

C. ASIAN, ASIAN SCOTTISH, ASIAN ENGLISH,   ASIAN WELSH OR OTHER ASIAN BRITISH

☐ Indian

☐ Pakistani

☐ Bangladeshi

☐ Chinese

☐ **Any other Asian background, please write in ………………………………………………**

D. BLACK, BLACK SCOTTISH, BLACK ENGLISH, BLACK WELSH OR OTHER BLACK BRITISH

☐ Caribbean

☐ African

☐ Any other Black background, please write in ………………………………….

E   OTHER ETHNIC BACKGROUND

Any other background, please write in …………………………………………

STATEMENT OF CONDITIONS OF EMPLOYMENT - PARTNERSHIP DIRECTOR

From: SESTRAN (the Employer)

To: **NAME** (the Employee)

This Statement sets out the particulars of the terms and conditions of your employment as at **DATE**, which are required to be given to you under the Employment Rights Act 1996.

1. Service dates

   1.1   Your period of continuous service for statutory employment rights dates from **DATE** (SESTRAN start date).

   1.2   Your period of continuous service for the purpose of calculating entitlement to redundancy payments and conditions of service (such as annual leave, sickness entitlement and notice) dates from **DATE** (which recognises previous local authority continuous service).

2. Job Title and Duties

   You will be employed as **Partnership Director.**

   Your duties shall be those usually inferred from the above job title, as summarised by the job description for the post, and/or such other duties as SESTRAN may from time to time reasonably require in order to meet the needs of its business. Because of the evolving nature and changing demands of our business, you must understand that any job description will serve only as a guide to the duties you will be expected to undertake and will be subject to review in consultation with you.

3. Place of Work

   Your employment will be based at SESTRAN's premises situated at: Area 3D (Bridge), Victoria Quay, EDINBURGH EH6 6QQ, and such other place or places within the United Kingdom as SESTRAN may require to meet the needs of its business.

4. Remuneration

   4.1   You will be paid salary of £**SALARY** per annum by direct credit monthly in arrears to your nominated bank account. Annual inflationary increases will be based on those agreed by the Scottish Joint Council for Local Government Employees.

   4.2   SESTRAN has the right to deduct from your salary any sums which you may owe SESTRAN including, without limitation, any overpayments or loans made to you by SESTRAN.

5   Expenses

SESTRAN shall reimburse to you the full amounts of all travel, accommodation and other expenses which you reasonably and properly incur on the business of SESTRAN, subject to your complying with such procedures for prior approval of expenses and vouching of receipts as SESTRAN may lay down from time to time.

6   Normal Hours of Work

The basic working week is 37 hours per week, however you will be required to work the hours required to fulfil the duties and responsibilities attached to the position.

7   Annual Leave/Public Holidays

7.1   The following public holidays are recognised:

New Year's day
Public Holiday after New Year's day
Christmas Day
Boxing Day

The entitlement to the public holidays, as expressed above, applies to five full day working patterns. For alternative working patterns pro rata leave entitlements will be calculated as follows:

Number of days leave for employees working fixed hours each day =

Full-time public holiday entitlement in days x $\dfrac{\text{number of days working per week}}{5}$

Number of hours leave for employees working variable working hours per day =

Full-time public holiday entitlement (days) x $\dfrac{\text{full-time PH entitlement (days) x full-time hours in days}}{\text{hours worked by full-time employee per week}}$

7.2   The Annual Leave Year runs from 1 January to 31 December in each year. Annual leave entitlement may only be taken in the leave year in respect of which it is due, except with SESTRAN's consent.

7.3   Annual leave entitlement is based on completed years of service with SESTRAN at the beginning of the leave year as detailed below (continuous local authority service will be taken into account in calculation of annual leave):

Continuous Service	Annual Leave
Less than 5 years	30

More than 5 years	35

The entitlement to the public holidays, as expressed above, applies to five full day working patterns. For alternative working patterns pro rata leave entitlements will be calculated as noted above.

The Partnership Director has the discretion to close the office for operational reasons, for example, between Christmas and New Year, in which case you will be required to take annual leave for the days in question.

7.4   Your annual paid holiday entitlement is **XXX days,** or a proportionately smaller number of days for any annual leave year when you are not employed by SESTRAN for the full year.

7.47.5 The calculation of a day's holiday pay is annual salary/260. This will give you a daily rate for annual leave.

7.57.6 Holidays are to be taken at times which are convenient to SESTRAN and which have been previously agreed.

7.67.7 Upon termination of your employment you will be required to repay to SESTRAN salary received for holidays taken in excess of your entitlement and be entitled to salary in lieu of any unused holiday entitlement.

8   Sickness

8.1   Sickness entitlement is based on completed years of service with SESTRAN as detailed below (continuous local authority service will be taken into account in calculation of sickness entitlement):

Continuous Service at Commencement of absence from duty	Full Allowance for a maximum period of:	Half Allowance or a further maximum period of:
Less than 1 year	5 weeks	5 weeks
1 year but less than 2 years	9 weeks	9 weeks
2 years but less than 3 years	18 weeks	18 weeks
3 years but less than 5 years	22 weeks	22 weeks
5 years and over	26 weeks	26 weeks

The above limits apply in respect both of the amount of sick pay to which you are entitled in any one year (1 January to 31 December) and also the amount of sick pay to which you are entitled for any one absence.

8.2   During all sickness absences the following procedure must be followed:

8.2.1 On the first day of sickness you must inform the Business Manager by telephone of the reason for your absence and your anticipated return date.

8.2.2 If the absence continues keep the Business Manager informed, for example, if you suggested you might be off for 2 days, and on the third day you are still unfit then you should call.

8.2.3 If the sickness continues for more than three days you must phone in on the fourth day.

8.2.4 A self-certification form will be issued to you on the fourth day of absence which should be completed and returned as quickly as possible.

8.2.5 If the absence is for eight working days or more you must provide SESTRAN with a medical certificate for all days absent from then onwards. You must also maintain contact with your line manager during your absence.

SESTRAN may investigate your illness and may require you to attend a medical examination by SESTRAN's doctors or to produce evidence of your condition. Failure to comply with such requests may be considered as a disciplinary matter.

9   Collective Agreements

Your terms and conditions are not governed by any collective agreements.

10   Pension Benefits

10.1   SEStran employees are eligible for membership of the Local Government Pension Scheme, as administered by the Lothian Pension Fund. The Scheme is a Career Average Salary Scheme, which provides high quality inflation proofed benefits. It is fully approved by the Inland Revenue and further information on the Lothian Pension Fund can be obtained at: http://www.lpf.org.uk/

Under the rules of the Scheme, you will become a member automatically, unless you complete an opt out form or write to Lothian Pension Fund, Atria One, 144 Morrison Street, Edinburgh, EH3 8EX, confirming that you do not wish to join the Scheme.

11   Notice of Termination

11.1   Notice from Employer - The period of notice to which you are entitled from SESTRAN to terminate your employment is **12 weeks**.

The minimum period of notice to be given by the SESTRAN to an employee to terminate employment is:

Commented [j1]: Would it be business manager for this post?

Commented [j2]: This is very generous, you could amend to the para below but it is a change to t&c

Continuous Service	Period of notice
Up to 1 month	Nil
1 month but less than 2 years	1 week
2 years or more	1 week for every year of employment up to a maximum of 12 weeks

SESTRAN reserves the right to pay salary (at the rate payable under Clause 4.1 above) in lieu of notice.

11.2   Notice from Employee - **12 weeks** notice of termination of employment is required.

12   Disciplinary Procedure

A copy of the Disciplinary Procedure can be obtained from the SESTRAN Business Manager. This details the disciplinary procedures applicable to your employment, including the process for appealing if you are dissatisfied with the outcome of any disciplinary decision relating to you.

13   Grievance

If you have a grievance regarding your employment at any time, you should bring this to the attention of your line manager. If this approach does not resolve the matter, further stages, including appeal, are detailed in SESTRAN's Grievance Policy & Procedures which can be obtained from the SESTRAN Business Manager.

Commented [JG3]: Needs to be referred to the Chair in the first instance

14   Equal Opportunities/Dignity at Work

SESTRAN is committed to providing equality of opportunity in employment and to avoiding unlawful discrimination in employment and against customers. There is a commitment to creating a work environment free of harassment and bullying, where everyone is treated with dignity and respect. You are expected to comply with SESTRAN's Equal Opportunities-Dignity at Work Policy at all times. A copy of the policy is available from the SESTRAN Business Manager.

15   Other Employment

You will not engage in any other business or private practice or any other appointment or commission (whether within or outwith normal working hours) without SESTRAN's prior written consent.

16   Maternity, Adoption, Parental and Carer's Leave

You are entitled to the statutory rights in respect of maternity leave, adoption leave, parental leave and time off to care for dependants, in accordance with current employment legislation.

17   Confidentiality

17.1   You may not disclose any trade secrets or other information of a confidential nature relating to SESTRAN or their business, or in respect of which SESTRAN owes an obligation of confidence to any third party, during or after your employment except in the proper course of your employment or as required by law.

17.2   With regard to any documents, tangible items or re-usable material which belong to SESTRAN of which contain any confidential information

17.2.1 you must not remove any or all of them from SESTRAN's premises at any time without advance authorisation;

17.2.2 you must return any or all of them which are in your possession or under your control to SESTRAN upon request and, in any event, upon the termination of your employment; and

17.2.3 if requested by SESTRAN, you must destroy or delete any or all of them which are in your possession or under your control.

18   Normal Retirement Age

SESTRAN's normal retirement age is 65 years. You can make a request to work beyond this age by writing to the Chair.

19   Changes to Your Terms of Employment

SESTRAN reserves the right to make reasonable changes to any of these terms and conditions of employment. You will be advised of new policies and procedures developed which impact on these conditions.

20   Data Protection Statement

In relation to the Data Protection Act 2018 and General Data Protection Regulations (GDPR), you agree to the processing of personal data by SESTRAN for the purposes of calculating your remuneration and maintaining records on attendance, health, discipline and grievances such as are necessary for the performance of your contract. A copy of SEStran's Privacy Notice can be viewed here: https://www.sestran.gov.uk/wp-content/uploads/2018/05/2018-SEStran-GDPR-Privacy-Notice-v1.0.pdf You would want to refer to your privacy notice here.

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21 <u>Acceptance</u>

Please sign and return the attached copy statement to indicate your acceptance of its terms. If you have any questions about the meaning of any clause, please do not hesitate to ask your line manager.

Signed by:

CHAIR

(for and on behalf of the SESTRAN)

Accepted and agreed by:

Employee   **Date:**

STATEMENT OF CONDITIONS OF EMPLOYMENT - EMPLOYEES OTHER THAN PARTNERSHIP DIRECTOR

From: SESTRAN (the Employer)

To: **NAME**   (the Employee)

This Statement sets out the particulars of the terms and conditions of your employment as at **DATE**, which are required to be given to you under the Employment Rights Act 1996.

1. Service dates

    1.1   Your period of continuous service for statutory employment rights dates from **DATE** (SESTRAN start date).

    1.2   Your period of continuous service for the purpose of calculating entitlement to redundancy payments and conditions of service (such as annual leave, sickness entitlement and notice) dates from **DATE** (which recognises previous local authority continuous service).

    1.3   *** This is a temporary appointment which ends on DATE**

            (*delete if permanent post)

2. Job Title and Duties

    You will be employed as **JOB TITLE.**

    Your duties shall be those usually inferred from the above job title, as summarised by the job description for the post, and/or such other duties as SESTRAN may from time to time reasonably require in order to meet the needs of its business. Because of the evolving nature and changing demands of our business, you must understand that any job description will serve only as a guide to the duties you will be expected to undertake and will be subject to review in consultation with you.

3. Place of Work

    Your employment will be based at SESTRAN's premises situated at: Area 3D (Bridge), Victoria Quay, EDINBURGH EH6 6QQ, and such other place or places within the United Kingdom as SESTRAN may require to meet the needs of its business.

4. Remuneration

    4.1   You will be paid salary of £**SALARY** per annum by direct credit monthly in arrears to your nominated bank account. Annual inflationary increases will be based on those agreed by the Scottish Joint Council for Local Government Employees.

4.2   SESTRAN has the right to deduct from your salary any sums which you may owe SESTRAN including, without limitation, any overpayments or loans made to you by SESTRAN.

5   <u>Expenses</u>

SESTRAN shall reimburse to you the full amounts of all travel, accommodation and other expenses which you reasonably and properly incur on the business of SESTRAN, subject to your complying with such procedures for prior approval of expenses and vouching of receipts as SESTRAN may lay down from time to time.

6   <u>Normal Hours of Work</u>

Your normal hours of work are 37 hours per week to be worked between the standard office hours of 7am to 8~~7~~pm, subject to the exigencies of the service, with such breaks as agreed and as required to meet the needs of SESTRAN's business.

7   <u>Annual Leave/Public Holidays</u>

7.1   The following public holidays are recognised:

New Year's day
Public Holiday after New Year's day
Christmas Day
Boxing Day

The entitlement to the public holidays, as expressed above, applies to five full day working patterns. For alternative working patterns pro rata leave entitlements will be calculated as follows:

Number of days leave for employees working fixed hours each day =

Full-time public holiday entitlement in days x number of days working per week
$$\overline{5}$$

Number of hours leave for employees working variable working hours per day =

Full-time public holiday entitlement (days) x <u>full-time PH entitlement (days) x full-time hours in days</u>
hours worked by full-time employee per week

7.2   The Annual Leave Year runs from 1 January to 31 December in each year. Annual leave entitlement may only be taken in the leave year in respect of which it is due, except with SESTRAN's consent.

7.3   Annual leave entitlement is based on completed years of service with SESTRAN at the beginning of the leave year as detailed below (continuous local authority service will be taken into account in calculation of annual leave):

Continuous Service	Annual Leave
Less than 5 years	30
More than 5 years	35

The entitlement to the public holidays, as expressed above, applies to five full day working patterns. For alternative working patterns pro rata leave entitlements will be calculated as noted above.

The Partnership Director has the discretion to close the office for operational reasons, for example, between Christmas and New Year, in which case you will be required to take annual leave for the days in question.

7.4   Your annual paid holiday entitlement is **XXX days,** or a proportionately smaller number of days for any annual leave year when you are not employed by SESTRAN for the full year.

7.47.5 The calculation of a day's holiday pay is annual salary/260. This will give you a daily rate for annual leave.

7.57.6 Holidays are to be taken at times which are convenient to SESTRAN and which have been previously agreed.

7.7   Upon termination of your employment you will be required to repay to SESTRAN salary received for holidays taken in excess of your entitlement and be entitled to salary in lieu of any unused holiday entitlement.
7.6

8   Sickness

8.1   Sickness entitlement is based on completed years of service with SESTRAN as detailed below (continuous local authority service will be taken into account in calculation of sickness entitlement):

Continuous Service at Commencement of absence from duty	Full Allowance for a maximum period of:	Half Allowance or a further maximum period of:
Less than 1 year	5 weeks	5 weeks
1 year but less than 2 years	9 weeks	9 weeks
2 years but less than 3 years	18 weeks	18 weeks
3 years but less than 5 years	22 weeks	22 weeks
5 years and over	26 weeks	26 weeks

The above limits apply in respect both of the amount of sick pay to which you are entitled in any one year (1 January to 31 December) and also the amount of sick pay to which you are entitled for any one absence.

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8.2   During all sickness absences the following procedure must be followed:

8.2.1   On the first day of sickness you must inform your line manager, or in their absence the ~~PA/Office~~Business Manager, by telephone of the reason for your absence and your anticipated return date.

8.2.2   If the absence continues keep your line manager informed, for example, if you suggested you might be off for 2 days, and on the third day you are still unfit then you should call.

8.2.3   If the sickness continues for more than three days you must phone in on the fourth day.

8.2.4   A self-certification form will be issued to you on the fourth day of absence which should be completed and returned as quickly as possible.

8.2.5   If the absence is for eight working days or more you must provide SESTRAN with a medical certificate for all days absent from then onwards. You must also maintain contact with your line manager during your absence.

SESTRAN may investigate your illness and may require you to attend a medical examination by SESTRAN's doctors or to produce evidence of your condition. Failure to comply with such requests may be considered as a disciplinary matter.

9   Collective Agreements

Your terms and conditions are not governed by any collective agreements.

10   Pension Benefits

10.1   SEStran employees are eligible for membership of the Local Government Pension Scheme, as administered by the Lothian Pension Fund. The Scheme is a Career Average Salary Scheme, which provides high quality inflation proofed benefits. It is fully approved by the Inland Revenue and further information on the Lothian Pension Fund can be obtained at: http://www.lpf.org.uk/

Under the rules of the Scheme, you will become a member automatically, unless you complete an opt out form or write to Lothian Pension Fund, Atria One, 144 Morrison Street, Edinburgh, EH3 8EX, confirming that you do not wish to join the Scheme.

11   Notice of Termination

11.1   Notice from Employer - The period of notice to which you are entitled from SESTRAN to terminate your employment is based on your length of continuous service is summarised as follows:

Service

Less than one month   nil

Less than four years (but at least one month)   4 week's notice

At least four years   one week for each completed year of service, to a maximum of 12 weeks

SESTRAN reserves the right to pay salary (at the rate payable under Clause 4.1 above) in lieu of notice.

11.2   * Notice from employee - ~~Programme Officer/Strategy Officer s~~Salary grade 1~~or above~~: You will be required to give 8 weeks notice on termination of employment.

**   * All other employees: You will be required to give 4 weeks notice on termination of employment.**

**   (*Amend as appropriate)**

12   Disciplinary Procedure

A copy of the Disciplinary Procedure can be obtained from the SESTRAN ~~PA/Office~~Business Manager or from your line manager. This details the disciplinary procedures applicable to your employment, including the process for appealing if you are dissatisfied with the outcome of any disciplinary decision relating to you.

13   Grievance

If you have a grievance regarding your employment at any time, you should bring this to the attention of your line manager. If this approach does not resolve the matter, further stages, including appeal, are detailed in SESTRAN's Grievance Policy & Procedures which can be obtained from the SESTRAN ~~PA/Office~~Business Manager or from your line manager.

14   Equal Opportunities/Dignity at Work

SESTRAN is committed to providing equality of opportunity in employment and to avoiding unlawful discrimination in employment and against customers. There is a commitment to creating a work environment free of harassment and bullying, where everyone is treated with dignity and respect. You are expected to comply with SESTRAN's Equal Opportunities-Dignity at Work Policy at all times. A copy of the policy is available from the SESTRAN ~~PA/Office~~Business Manager or from your line manager.

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15   Other Employment

You will not engage in any other business or private practice or any other appointment or commission (whether within or outwith normal working hours) without SESTRAN's prior written consent.

16   Maternity, Adoption, Parental and Carer's Leave

You are entitled to the statutory rights in respect of maternity leave, adoption leave, parental leave and time off to care for dependants, in accordance with current employment legislation.

16 Confidentiality

16.1   You may not disclose any trade secrets or other information of a confidential nature relating to SESTRAN or their business, or in respect of which SESTRAN owes an obligation of confidence to any third party, during or after your employment except in the proper course of your employment or as required by law.

16.2   With regard to any documents, tangible items or re-usable material which belong to SESTRAN of which contain any confidential information

16.2.1 you must not remove any or all of them from SESTRAN's premises at any time without advance authorisation;

16.2.2 you must return any or all of them which are in your possession or under your control to SESTRAN upon request and, in any event, upon the termination of your employment; and

16.2.3 if requested by SESTRAN, you must destroy or delete any or all of them which are in your possession or under your control.

17   Normal Retirement Age

SESTRAN's normal retirement age is 65 years. You can make a request to work beyond this age by writing to the Partnership Director.

1817   Changes to Your Terms of Employment

SESTRAN reserves the right to make reasonable changes to any of these terms and conditions of employment. You will be advised of new policies and procedures developed which impact on these conditions.

1918   Data Protection Statement

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In relation to the Data Protection Act ~~1992~~2018 and General Data Protection Regulations (GDPR), you agree to the processing of personal data by SESTRAN for the purposes of calculating your remuneration and maintaining records on attendance, health, discipline and grievances such as are necessary for the performance of your contract. A copy of SEStran's Privacy Notice can be found here: https://www.sestran.gov.uk/wp-content/uploads/2018/05/2018-SEStran-GDPR-Privacy-Notice-v1.0.pdf

Commented [j1]: Add reference to privacy notice.

20   Acceptance

Please sign and return the attached copy statement to indicate your acceptance of its terms. If you have any questions about the meaning of any clause, please do not hesitate to ask your line manager.

Signed by:

Partnership Director

(for and on behalf of the SESTRAN)

Accepted and agreed by:

Employee   **Date:**

TRAVEL & SUBSISTENCE POLICY

DOCUMENT VERSION CONTROL

Date	Author	Version	Status	Reason for Change
	SEStran	1.0	FINAL	Policy Adopted
Oct 2017	SEStran	1.1	FINAL	Adoption of version control
March 2019	SEStran	1.2	FINAL	Minor Amendment to rail travel options

POLICY STATEMENT

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

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

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

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

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

SCOPE

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

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

RESPONSIBILITIES

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

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

Line Managers

- Ensure that only essential travel is undertaken and that alternative options and forward planning are used to achieve best value
- Ensure that all subsistence claim forms are completed in accordance with the guidance outlined within this document before providing authorisation.

BUSINESS TRAVEL HIERARCHY

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

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

TRAVEL PLANNING

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

Rail

Rail travel should be restricted to specific train times to allow staff to purchase lower cost 'advance' tickets. Flexible tickets should only be purchased when those travelling cannot be sure of when their meeting/event will end. First class travel may be permitted when a staff member has a discounted rail card and/or is travelling long distance, or the overall cost of the first-class ticket represents value for money when factoring cost of subsistence. Authorisation of the Partnership Director will be required.

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

<u>Personal Vehicle</u>

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

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

<u>Air Travel</u>

This method of transport may be more efficient in terms of cost and travel time however it does result in the highest CO_2 emissions and this should be taken in to consideration when arranging travel. All fares booked will be the lowest cost economy class ticket that satisfies travel requirements. Availability of lower cost air fares is generally greater when reservations are made significantly in advance of travel, although the optimal advance booking time will vary for each destination. Employees and Members should therefore request travel bookings as far in advance as possible.

SUBSISTENCE

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

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

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

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

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

Only three 'rates' can be claimed in a 24-hour period. A meal is defined as a combination of food and drink. Exceptions to the above rates may be pre-agreed with the Partnership Director when employees/Members are travelling outwith the SEStran area e.g. attending a conference in London/Europe.

COMPLETING THE TRAVEL & SUBSISTENCE EXPENSES CLAIM FORM

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

STAFF PURCHASE CARDS

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

REVIEW

This policy is designed to encourage a change in employee and Member business travel modes to be more financially efficient and to reduce the organisations CO2 emissions. This will be monitored through the following provisions:

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

This document will be reviewed annually by SEStran.

Scottish Law Commission – Automated Vehicle Consultation

Response by SEStran, February 2019

Link to Consultation Paper:
https://www.scotlawcom.gov.uk/files/8315/4166/7851/Joint_Consultation_Paper_on_Automated_Vehicles_DP_No_166.PDF

CHAPTER 3: HUMAN FACTORS

A new role in driving automation: the "user-in-charge"

Consultation Question 1 (Paragraphs 3.24 - 3.43)**:**
Do you agree that:
(1) All vehicles which "drive themselves" within the meaning of the Automated and Electric Vehicles Act 2018 should have a user-in-charge in a position to operate the controls, unless the vehicle is specifically authorised as able to function safely without one?
(2) (2) The user-in-charge:
   a. must be qualified and fit to drive;
   b. would not be a driver for purposes of civil and criminal law while the automated driving system is engaged; but
   c. would assume the responsibilities of a driver after confirming that they are taking over the controls, subject to the exception in (3) below?
(3) If the user-in-charge takes control to mitigate a risk of accident caused by the automated driving system, the vehicle should still be considered to be driving itself if the user-in-charge fails to prevent the accident.

(1) SEStran agrees that all vehicles which drive themselves within the meaning of the Automated and Electric Vehicles Act 2018 should have a user-in-charge in a position to operate the controls, unless the vehicle is specifically authorised as able to function safely without one. In addition, it is essential that clear rules are set out for the authorisation of vehicles that can safely function without a user-in-charge. The threshold for such authorisation would need to be sufficiently high to protect road safety. It is SEStran's view that it is better to err on the side of caution than to potentially compromise road and passenger safety.

(2) SEStran agrees that the user-in-charge must be qualified and fit to drive to safely take back control as a drive when required to do so. The user-in-charge would not be a driver for the purposes of civil and criminal law while the automated driving system is engaged, but will assume responsibilities of a driver after confirming that they are taking over the controls. It is necessary to have this clear distinction to avoid the lines of responsibility becoming blurry.

(3) SEStran agrees that in such a situation, the vehicle should still be considered to be driving itself if the user-in-charge fails to prevent the accident, because the responsibility of driving lies with the vehicle using the automated driving system.

Consultation Question 2 (Paragraph 3.45)**:**
We seek views on whether the label "user-in-charge" conveys its intended meaning.

SEStran believes that the label 'user-in-charge' properly conveys its intended meaning of describing the person who is responsible for taking over the control of the vehicle when the automated driving system stops. The label reflects the appropriate level of responsibility as being 'user-in-charge' reflects a higher level of responsibility than being a mere 'user' of the automated vehicle. At the same time,

however, the 'user-in-charge' should not be considered as the 'driver' for the purposes of civil and criminal law while the automated driving system is engaged. The term 'user-in-charge' therefore best reflects the role of the person who will be in charge to take over from the automated driving system when required to do so.

Consultation Question 3 (Paragraphs 3.47 - 3.57)**:**
We seek views on whether it should be a criminal offence for a user-in-charge who is subjectively aware of a risk of serious injury to fail to take reasonable steps to avert that risk.

It would be desirable for it to be a criminal offence for a user-in-charge who is subjectively aware of a risk of serious injury to fail to take responsible steps to avert that risk. However, it would likely be extremely hard to establish whether someone was indeed subjectively aware of a risk of serious injury. It raises the question of whether someone could and should have known of a potential risk, and whether it had a duty or responsibility to act. It blurs the lines between driver who is responsible in civil and criminal law and user-in-charge, and manufacturer who is responsible for vehicle and automated driving system. For that reason, it would seem necessary to strictly distinguish responsibilities between the driver, the user-in-charge, and the manufacturer who is responsible for the well-functioning of the automated driving system. Again, high standards should be put in place for the authorisation of vehicles that are able to safely function without a user-in-charge. While it is desirable that the user-in-charge interferes when he becomes aware of a risk of serious injury, it is the automated driving system as the 'driver' that holds the responsibility of averting such a risk.

When would a user-in-charge not be necessary?
Consultation Question 4 (Paragraphs 3.59 - 3.77)**:**
We seek views on how automated driving systems can operate safely and effectively in the absence of a user-in-charge.

No comment.

Consultation Question 5 (Paragraphs 3.59 - 3.77)**:**
Do you agree that powers should be made available to approve automated vehicles as able to operate without a user-in-charge?

SEStran agrees that powers should be made available to approve automated vehicles as able to operate without a user-in-charge. While today's technology might not allow for the safe operation of an automated vehicle without a user-in-charge, it is important that regulation is sufficiently flexible to accommodate for technological improvements that could lead to the safe operation of automated vehicles without a user-in-charge. If regulation is too strict and does not allow for automated vehicles to operate without a user-in-charge unless the regulation is amended, it might stifle technological development. This essentially comes back to the challenge of regulating new technologies and finding the right balance between under-regulation, which might compromise safety standards, and over-regulation which could stifle innovation.

When should secondary activities be permitted?

Consultation Question 6 (Paragraphs 3.80 - 3.96)**:**
Under what circumstances should a driver be permitted to undertake secondary activities when an automated driving system is engaged?

When an automated driving system is engaged, the driver becomes the user-in-charge and the responsibility for the dynamic driving task shifts onto the automated driving system. The user-in-

charge would only have the responsibility to take over from the automated driving system, and would not have any direct responsibilities in relation to the driving itself. The user-in-charge should be allowed to engage in secondary activities to the extend that he/she is able to promptly and adequately respond to a request to take over driving responsibilities from the automated driving system when requested to do so.

Consultation Question 7 (Paragraphs 3.80 - 3.96)**:**
Conditionally automated driving systems require a human driver to act as a fallback when the automated driving system is engaged. If such systems are authorised at an international level:
 (1) should the fallback be permitted to undertake other activities?
 (2) if so, what should those activities be?

With a conditionally automated driving system, the human driver is required and expected to respond when the automated driving system fails or requests the human driver to take over. This means that the human driver would still carry the responsibility of driving and should not be permitted to undertake secondary activities. It is recognised, however, that it can be challenging for someone to remain engaged in the driving when he/she is not actively performing the dynamic driving task.

CHAPTER 4: REGULATING VEHICLE STANDARDS PRE-PLACEMENT
A new safety assurance scheme

Consultation Question 8 (Paragraphs 4.102 - 4.104)**:**
Do you agree that:
 (1) a new safety assurance scheme should be established to authorise automated driving systems which are installed:
   a. as modifications to registered vehicles; or
   b. in vehicles manufactured in limited numbers (a "small series")?
 (2) unauthorised automated driving systems should be prohibited?
 (3) the safety assurance agency should also have powers to make special vehicle orders for highly automated vehicles, so as to authorise design changes which would otherwise breach construction and use regulations?

SEStran agrees that for the general purpose of road safety, a new safety assurance scheme should be established for the authorisation of automated driving systems which are installed as modifications to registered vehicles or in vehicles manufactured in limited numbers. SEStran also agrees that unauthorised automated driving systems should be prohibited by law.

Consultation Question 9 (Paragraphs 4.107 - 4.109)**:**
Do you agree that every automated driving system (ADS) should be backed by an entity (ADSE) which takes responsibility for the safety of the system?

SEStran agrees that every automated driving system should be backed by an entity (ADSE) which takes responsibility for the safety of the system. It would seem to be the most effective way of protecting the safety standards of automated vehicles and seems to be best practice across various countries.

Consultation Question 10 (Paragraphs 4.112 - 4.117)**:**
We seek views on how far a new safety assurance system should be based on accrediting the developers' own systems, and how far should it involve third party testing.

For the general purpose of protecting road safety, independent third-party testing would seem preferable. This seems to be the most transparent manner of scrutinising the automated driving

system. Alternatively, self-certification would be appropriate if the safety standards a manufacturer should meet are sufficiently high and appropriately controlled.

Consultation Question 11 (Paragraphs 4.118 - 4.122)**:**
We seek views on how the safety assurance scheme could best work with local agencies to ensure that is sensitive to local conditions.

In this context, it would again seem most appropriate to have third-party testing in order to protect road safety. That would allow local or regional agencies to establish region-specific standards which an automated driving system should meet, and take into account local conditions.

CHAPTER 5: REGULATING SAFETY ON THE ROADS
A new organisational structure?

Consultation Question 12 (Paragraphs 5.30 - 5.32)**:**
If there is to be a new safety assurance scheme to authorise automated driving systems before they are allowed onto the roads, should the agency also have responsibilities for safety of these systems following deployment?
If so, should the organisation have responsibilities for:
    (1) regulating consumer and marketing materials?
    (2) market surveillance?
    (3) roadworthiness tests?
We seek views on whether the agency's responsibilities in these three areas should extend to advanced driver assistance systems.

SEStran believes that it needs to be established from the outset what the scope of responsibilities is of such a new safety assurance scheme. If it is to cover all aspects of automated vehicles, the scheme should indeed extend to regulating consumer and marketing materials, market surveillance and roadworthiness tests. It is acknowledged that such a specialised body is most likely to be best suited to regulate all aspects of automated vehicles.

Driver training

Consultation Question 13 (Paragraphs 5.54 - 5.55)**:**
Is there a need to provide drivers with additional training on advanced driver assistance systems?
If so, can this be met on a voluntary basis, through incentives offered by insurers?

It is pertinent that human drivers know what their responsibilities are while using an automated vehicle. Given the fact that there are many different types of automation, training would seem necessary to appropriately inform drivers of their responsibility before using any particular type of automated vehicle. The responsibility of driving safely does not only refer to the safety of the driver itself and potential passengers, but extends to other road users. It would seem necessary for the purpose of general road safety that drivers are appropriately made aware of their responsibilities when driving an automated vehicle, meaning that additional training on a merely voluntary basis would not be sufficient.

Accident investigation

Consultation Question 14 (Paragraphs 5.58 - 5.71)**:**
We seek views on how accidents involving driving automation should be investigated.

We seek views on whether an Accident Investigation Branch should investigate high profile accidents involving automated vehicles? Alternatively, should specialist expertise be provided to police forces.

No comment.

Setting and monitoring a safety standard

Consultation Question 15 (Paragraphs 5.78 - 5.85)**:**
    (1) Do you agree that the new safety agency should monitor the accident rate of highly automated vehicles which drive themselves, compared with human drivers?
    (2) We seek views on whether there is also a need to monitor the accident rates of advanced driver assistance systems.

SEStran agrees that the accident rate of highly automated vehicles which drive themselves compared to human drivers should be monitored for the purpose of protecting road safety and continuous improvement of the technology.

The technical challenges of monitoring accident rates

Consultation Question 16 (Paragraphs 5.86 - 5.97)**:**
    (1) What are the challenges of comparing the accident rates of automated driving systems with that of human drivers?
    (2) Are existing sources of data sufficient to allow meaningful comparisons? Alternatively, are new obligations to report accidents needed?

No comment.

CHAPTER 6: CIVIL LIABILITY
Is there a need for further review?

Consultation Question 17 (Paragraphs 6.13 - 6.59)**:**
We seek views on whether there is a need for further guidance or clarification on Part 1 of Automated and Electric Vehicles Act 2018 in the following areas:
    (1) Are sections 3(1) and 6(3) on contributory negligence sufficiently clear?
    (2) Do you agree that the issue of causation can be left to the courts, or is there a need for guidance on the meaning of causation in section 2?
    (3) Do any potential problems arise from the need to retain data to deal with insurance claims? If so:
        a. to make a claim against an automated vehicle's insurer, should the injured person be required to notify the police or the insurer about the alleged incident within a set period, so that data can be preserved?
        b. how long should that period be?

No comment.

Civil liability of manufacturers and retailers: Implications

Consultation Question 18 (Paragraphs 6.61 - 6.116)**:**

Is there a need to review the way in which product liability under the Consumer Protection Act 1987 applies to defective software installed into automated vehicles?

No comment.

Consultation Question 19 (Paragraphs 6.61 - 6.116)**:**
Do any other issues concerned with the law of product or retailer liability need to be addressed to ensure the safe deployment of driving automation?

No comment.

CHAPTER 7: CRIMINAL LIABILITY

Offences incompatible with automated driving

Consultation Question 20 (Paragraphs 7.5 - 7.11)**:**
We seek views on whether regulation 107 of the Road Vehicles (Construction and Use) Regulations 1986 should be amended, to exempt vehicles which are controlled by an authorised automated driving system.

No comment.

Consultation Question 21 (Paragraphs 7.5 - 7.11)**:**
Do other offences need amendment because they are incompatible with automated driving?

No comment.

Offences relating to the way a vehicle is driven

Consultation Question 22 (Paragraphs 7.14 - 7.19)**:**
Do you agree that where a vehicle is:
  (1) listed as capable of driving itself under section 1 of the Automated and Electric Vehicles Act 2018; and
  (2) has its automated driving system correctly engaged;
the law should provide that the human user is not a driver for the purposes of criminal offences arising from the dynamic driving task?

SEStran agrees that the law should provide that the human user is not a driver for the purpose of criminal offences arising from the dynamic driving task where a vehicle is listed as capable of driving itself and the automated driving system is correctly engaged. The user-in-charge would have the responsibility to respond to request to take over dynamic driving task when requested to do so while the automated vehicle should be able to return to a safe stop.

Consultation Question 23 (Paragraph 7.21)**:**
Do you agree that, rather than being considered to be a driver, a user-in-charge should be subject to specific criminal offences? (These offences might include, for example, the requirement to take reasonable steps to avoid an accident, where the user-in-charge is subjectively aware of the risk of serious injury (as discussed in paragraphs 3.47 to 3.57)).

As mentioned in question 3, SEStran believes it would be desirable for a user-in-charge to be required to take reasonable to avoid an accident. However, this would significantly blur the lines of responsibility between the automated vehicle and the user-in-charge. It would be extremely difficult

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to establish whether someone was aware of a risk and could have avoided an accident, given the fact that the user-in-charge would not be considered a driver for the purpose of civil and criminal law. If a user-in-charge is permitted to engage in secondary activities to the extent that he/she is able to respond to a request to take over controls of the vehicle, he might not be in the position to take reasonable steps to avoid an accident.

Consultation Question 24 (Paragraphs 7.23 - 7.35)**:**
Do you agree that:
    (1) a registered keeper who receives a notice of intended prosecution should be required to state if the vehicle was driving itself at the time and (if so) to authorise data to be provided to the police?
    (2) where the problem appears to lie with the automated driving system (ADS) the police should refer the matter to the regulatory authority for investigation?
    (3) where the ADS has acted in a way which would be a criminal offence if done by a human driver, the regulatory authority should be able to apply a range of regulatory sanctions to the entity behind the ADS?
    (4) the regulatory sanctions should include improvement notices, fines and suspension or withdrawal of ADS approval?

SEStran agrees with the points above. No further comment.

Responsibilities of "users-in-charge"

Consultation Question 25 (Paragraphs 7.37 - 7.45)**:**
Do you agree that where a vehicle is listed as only safe to drive itself with a user-in-charge, it should be a criminal offence for the person able to operate the controls ("the user-in-charge"):
    (1) not to hold a driving licence for the vehicle;
    (2) to be disqualified from driving;
    (3) to have eyesight which fails to comply with the prescribed requirements for driving;
    (4) to hold a licence where the application included a declaration regarding a disability which the user knew to be false;
    (5) to be unfit to drive through drink or drugs; or
    (6) to have alcohol levels over the prescribed limits?

SEStran agrees with the points above. The user-in-charge must be qualified and fit to drive, like any other driver, because the user-in-charge must be able to assume full responsibilities of a driver when requested to take over the dynamic driving task from the automated vehicle.

Consultation Question 26 (Paragraphs 7.37 - 7.45)**:**
Where a vehicle is listed as only safe to drive itself with a user-in-charge, should it be a criminal offence to be carried in the vehicle if there is no person able to operate the controls.

SEStran believes that it should be a criminal offence to be carried in a vehicle if there is no person able to operate the controls when the vehicle is listed as only safe to drive itself with a user-in-charge.

Responsibilities for other offences

Consultation Question 27 (Paragraphs 7.48 - 7.65)**:**
Do you agree that legislation should be amended to clarify that users-in-charge:
    (1) Are "users" for the purposes of insurance and roadworthiness offences; and

(2) Are responsible for removing vehicles that are stopped in prohibited places, and would commit a criminal offence if they fail to do so?

SEStran agrees with the above comments. In addition, users-in-charge should only be considered users for the time that the automated driving system is engaged. When it is not or no longer engaged, the user-in-charge assumes responsibilities of a driver. When the automated vehicle stops in a prohibited place, the user-in-charge would assume responsibilities of a driver and have an obligation to remove the vehicle.

Consultation Question 28 (Paragraphs 7.59 - 7.61)**:**
We seek views on whether the offences of driving in a prohibited place should be extended to those who set the controls and thus require an automated vehicle to undertake the route.

No comment.

Obligations that pose challenges for automated driving systems

Consultation Question 29 (Paragraphs 7.71 - 7.88)**:**
Do you agree that legislation should be amended to state that the user-in-charge is responsible for:
  (1) duties following an accident;
  (2) complying with the directions of a police or traffic officer; and
  (3) ensuring that children wear appropriate restraints?

It should be considered that the automated driving system stops following an accident. The user-in-charge should take over responsibilities of a driver following the accident, while the accident may have happened when the automated vehicle was carrying the responsibilities of a driver.

The automated vehicle is only considered 'driver' in relation to the performance of the dynamic driving task. The user-in-charge is not only 'user' of the automated vehicle, but is also 'in charge' of the safe use of the automated vehicle and is therefore responsible for all other duties related to the use of the automated vehicle, such as duties following an accident, ensuring that children wear appropriate restraints.

As for complying with the directions of a police or traffic officer, this relates to the performance of the dynamic driving task and should be the responsibility of the automated vehicle while the automated driving system is engaged.

Consultation Question 30 (Paragraphs 7.71 - 7.88)**:**
In the absence of a user-in-charge, we welcome views on how the following duties might be complied with:
  (1) duties following an accident;
  (2) complying with the directions of a police or traffic officer; and
  (3) ensuring that children wear appropriate restraints.

No comment.

Consultation Question 31 (Paragraphs 7.71 - 7.88)**:**
We seek views on whether there is a need to reform the law in these areas as part of this review.

No comment.

Aggravated offences

Consultation Question 32 (Paragraphs 7.92 - 7.123)**:**
We seek views on whether there should be a new offence of causing death or serious injury by wrongful interference with vehicles, roads or traffic equipment, contrary to section 22A of the Road Traffic Act 1988, where the chain of causation involves an automated vehicle.

No comment.

Consultation Question 33 (Paragraphs 7.113 - 7.123)**:**
We seek views on whether the Law Commissions should review the possibility of one or more new corporate offences, where wrongs by a developer of automated driving systems result in death or serious injury.

No comment.

CHAPTER 8: INTERFERING WITH AUTOMATED VEHICLES

Consultation Question 34 (Paragraphs 8.1 - 8.58)**:**
We seek views on whether the criminal law is adequate to deter interference with automated vehicles. In particular:
   (1) Are any new criminal offences required to cover interference with automated vehicles?
   (2) Even if behaviours are already criminal, are there any advantages to re-enacting the law, so as to clearly label offences of interfering with automated vehicles?

SEStran believes that it should be a criminal offence to interfere with automated vehicles and 'hack' the automated driving system. SEStran has no further comment as to whether this would fall within the scope of existing criminal offences or whether there is a need for a new offence.

Tampering with vehicles

Consultation Question 35 (Paragraphs 8.28 - 8.31)**:**
Under section 25 of the Road Traffic Act 1988, it is an offence to tamper with a vehicle's brakes "or other mechanism" without lawful authority or reasonable cause. Is it necessary to clarify that "other mechanism" includes sensors?

No comment.

Unauthorised vehicle taking

Consultation Question 36 (Paragraphs 8.32 - 8.39)**:**
In England and Wales, section 12 of the Theft Act 1968 covers "joyriding" or taking a conveyance without authority, but does not apply to vehicles which cannot carry a person. This contrasts with the law in Scotland, where the offence of taking and driving away without consent applies to any motor vehicle. Should section 12 of the Theft Act 1968 be extended to any motor vehicle, even those without driving seats?

No comment.

Causing danger to road users

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Consultation Question 37 (Paragraphs 8.6 - 8.12)**:**
In England and Wales, section 22A(1) of the Road Traffic Act 1988 covers a broad range of interference with vehicles or traffic signs in a way which is obviously dangerous. In Scotland, section 100 of the Roads (Scotland) Act 1984 covers depositing anything a road, or inscribing or affixing something on a traffic sign. However, it does not cover interfering with other vehicles or moving traffic signs, even if this would raise safety concerns. Should section 22A of the Road Traffic Act 1988 be extended to Scotland?

No comment.

CHAPTER 9: "MACHINE FACTORS" – ADAPTING ROAD RULES FOR ARTIFICIAL INTELLIGENCE DECISION-MAKING

Rules and standards

Consultation Question 38 (Paragraphs 9.6 - 9.27)**:**
We seek views on how regulators can best collaborate with developers to create road rules which are sufficiently determinate to be formulated in digital code.

No comment.

Should automated vehicles ever mount the pavement?

Consultation Question 39 (Paragraphs 9.6 - 9.37)**:**
We seek views on whether a highly automated vehicle should be programmed so as to allow it to mount the pavement if necessary:
  (1) to avoid collisions;
  (2) to allow emergency vehicles to pass;
  (3) to enable traffic flow;
  (4) in any other circumstances?

SEStran believes that it is necessary to programme highly automated vehicles in such a manner that it mounts the pavement when necessary, for example to avoid collisions, to allow emergency vehicles to pass, and to enable traffic flow. Nevertheless, the automated vehicle should only be allowed to do so when mounting the pavement is safe to do so and does not create a risk of injury to other road users, such as cyclists, and pedestrians.

Consultation Question 40 (Paragraphs 9.6 - 9.37)**:**
We seek views on whether it would be acceptable for a highly automated vehicle to be programmed never to mount the pavement.

SEStran believes that there can always be certain traffic situations in which a highly automated vehicle would be required to mount the pavement for the general purpose of road safety. Therefore, it would not be acceptable for a highly automated vehicle to be programmed to never mount the pavement.

Should highly automated vehicles ever exceed speed limits?

Consultation Question 41 (Paragraphs 9.40 - 9.47)**:**
We seek views on whether there are any circumstances in which an automated driving system should be permitted to exceed the speed limit within current accepted tolerances.

SEStran believes that automated vehicles should be allowed to exceed the speed limit (within reason) if it is to protect road safety, for example to quickly overtake a vehicle to avoid collision. The automated vehicle should in principle be able to anticipate speed limit changes but some tolerance might be necessary to prevent overly sharp breaking which could compromise road and passenger safety.

Edging through pedestrians

Consultation Question 42 (Paragraphs 9.49 - 9.55)**:**
We seek views on whether it would ever be acceptable for a highly automated vehicle to be programmed to "edge through" pedestrians, so that a pedestrian who does not move faces some chance of being injured. If so, what could be done to ensure that this is done only in appropriate circumstances?

SEStran believes that a highly automated vehicle should only be allowed to edge through pedestrians if the vehicle is able to detect whether or not a pedestrian is actually moving. It is possible that a child, (or anyone for that matter) fails to move. An automated vehicle should only be allowed to edge through pedestrians to the extent that it can identify whether someone has not moved and is able to come to a stop in time to avoid a risk of serious injury.

Avoiding bias in the behaviour of automated driving systems

Consultation Question 43 (Paragraphs 9.68 - 9.74)**:**
To reduce the risk of bias in the behaviours of automated driving systems, should there be audits of datasets used to train automated driving systems?

SEStran believes that there should be audits of datasets used to train automated driving systems to reduce the risk of bias in their behaviours. While it is acknowledged that it might be extremely challenging to avoid any bias in algorithmic decision making and machine learning, audits of the datasets will be able to identify areas of bias which can help inform further research and development.

Transparency

Consultation Question 44 (Paragraphs 9.76 - 9.88)**:**
We seek views on whether there should be a requirement for developers to publish their ethics policies (including any value allocated to human lives)?

SEStran believes that there should be a requirement for developers to publish their ethics policies for the purpose of transparency. This opens the general debate about Artificial Intelligence and the ethical challenges associated with it. This debate can again inform the further development of the technology and the ethics policies as these evolve overtime.

Consultation Question 45 (Paragraphs 9.76 - 9.88)**:**
What other information should be made available?

No comment.

Future work and next steps

Consultation Question 46 (Paragraphs 9.91 - 9.93)**:**

Is there any other issue within our terms of reference which we should be considering in the course of this review?

No comment.

George Street and First New Town Design Project – Consultation Response

Response by SEStran, January 2019

Link to consultation document:
https://consultationhub.edinburgh.gov.uk/sfc/george-street-and-first-new-town-design-project/

'World Class' Street Setting

The concept design aims to enhance the environmental and heritage quality of the streets in the First New Town.

Views down George Street are enhanced through the removal of street clutter and central parking. The setting around the First New Town statues is designed to make their presence in the streets more prominent. Changes to the layout at junctions aim to make it easier to enjoy key views from the area back to the Old Town and over the Second New Town (north, towards the Firth of Forth).

4. To what extent do you agree with including the following elements of the concept design:

- Creating 'plaza' areas in the middle of each block of George Street to reinforce the views of key buildings and allow for informal crossing of the street mid-block.

  Neither agree nor disagree.

- Changes to the layout of junctions to enhance the setting of statues within the First New Town.

  Strongly agree.

- Changes to the layout at junctions to improve key views from the First New Town area

  Strongly agree.

5. Is there anything that you wish us to consider, regarding the street setting of the area? Please comment in the box below.

While SEStran supports the idea of creating places to reinforce views of key buildings and allow for informal crossing of the street, SEStran would prefer to see that George Street is completely pedestrianised along with dedicated cycle provision. That way, public space is truly given back to the people, views of key buildings are reinforced, and pedestrians will be able to stroll around at their leisure. The creation of merely informal crossings means that cars will still have priority over pedestrians. If George Street is pedestrianised, however, buses would have to be diverted off George Street and (most likely) onto Hanover Street, Frederick Street, Princes Street and Queen Street, to keep the impact of such a diversion to a minimum. Regarding blue badge and resident parking, this could be provided on Hanover Street and Frederick Street, keeping easy access onto a pedestrianised George Street in place for those who need it most. There are numerous examples across the UK and beyond where pedestrianisation has worked and has boosted the economy. See for example Living Streets (2018) 'The Pedestrian Pound: The business case for better streets and places' available at https://www.livingstreets.org.uk/media/3890/pedestrian-pound-2018.pdf. See also Future Place Leadership (2015) 'The effect of pedestrianisation and bicycles on local business: Case studies for the

Tallinn High Street Project' available at https://futureplaceleadership.com/wp-content/uploads/2017/05/Tallinn-High-Street-Case-studies-Future-Place-Leadership.pdf.

New Seating Areas With Small Scale Planting

Currently there is one public street bench in George Street, and feedback from prior consultation has suggested people would like more places to relax within the street. One of the new elements proposed in the concept design is the introduction of seating areas, set within small scale planted borders and hedges. These 'dwell zones' could also include some informal 'play' elements. These are designed to allow people to sit, rest, relax in the street.

6. To what extent do you agree with including the following elements of the concept design:

- Providing significantly more outdoor seating for people of all ages and abilities to use

    Strongly agree.

- Using small scale planting (greenery) to create attractive, sheltered and human-scale setting for seating spaces

    Strongly agree.

7. If you disagree, or would like us to consider anything further, please write in the box below.

    N/a.

Street Trees

Prior consultation has shown support for greening within George Street. There are currently over 150 individual, uncoordinated elements of street greening in planters from flowers and shrubs to small trees on George Street. The draft concept design aims to bring more continuity to the approach to greenery on the street, and proposes the introduction of trees of an appropriate scale, species and density. This is important, so as not to detract from the heritage of the street or hide the historic skyline. It is proposed that the final choice of tree would be small, with small leaves and require minimum maintenance.

8. To what extent do you support the inclusion of some tree planting on George Street?

    Strongly agree.

9. If you disagree, or would like us to consider anything further regarding trees, please write in the box below.

    N/a.

Walking

The concept design aims to prioritise the movement of pedestrians. Wider, unobstructed footways are introduced, to make it much easier to walk in and through the First New Town. The design for the junctions of Charlotte and St Andrew Square, and Castle, Frederick, Hanover Streets with George Street aim to make pedestrian crossing safer, more direct, and easier.

The plaza spaces on George Street are also designed in a way that aims to support informal crossing in the middle section of blocks.

10. To what extent do you agree with including the following elements of the concept design:

- Proposed increases in pavement widths

    Neither agree nor disagree.

- Significantly improved crossing facilities for pedestrians at junctions

    Strongly agree.

Access by Bicycle

George Street and the First New Town area is a key destination for cycle trips. It is also a crucial 'connector' in Edinburgh's developing network of cycle routes.

National Cycle Route 1 runs along most of George Street. George Street also forms the central connection in the City Centre West East Cycle Link route, which connects Roseburn and the northern/western cycle network to Leith Walk and routes to Portobello and the east of the city. It also forms the end point of the developing Meadows to George Street project, connecting to the south of the city.

The concept design aims to provide safe and attractive cycling space that enhances the area's connecting role for cycling in the city, in a way that also enhances the overall environmental quality of the streets.

11. To what extent do you feel that the following elements of the concept design can improve the experience of accessing the area by bike?

- Dedicated, bi-directional cycleway on the south side of George Street adequately meets the needs of people on bicycles

    Strongly agree.

- Continuing the defined cycleway space through junction areas will support safe interaction between all road users.

    Strongly agree.

12. If there are other ideas, or things we should consider regarding accessing the area by bike, please tell us in the box below.

It is noted that the cycleway will be separated from the pedestrian zone by tactile paving. SEStran strongly welcomes the provision of segregated cycle paths. However, the delineation between the cycleway and pedestrian zone should be made extremely obvious to allow for safe and pleasant cycling, as well as to minimise the risk of accidents between cyclists and pedestrians. Tactile paving on its own is not enough to distinguish a cycle path from a footpath. A kerb would be the most effective way to delineate between the cycle path and the pedestrian zone. However, if tactile pavement is used instead of a kerb, this should be accompanied with other street elements, such as a different colour for the cycle path and logically placed street furniture and trees, to appropriately distinguish the cycle path from the pedestrian zone.

Access, Parking and Servicing

The concept design proposal focusses on ensuring the area remains accessible for those who need it most.

Servicing and access requirements for customers and businesses has been maintained as much as possible.

Bus stops throughout the First New Town have been retained in or close to their current locations, preserving public transport access within the streets.

Prioritised blue badge parking and shared loading and taxi bays at appropriate times of day allows for the provision and use of these spaces to be maximised, with a priority on blue badge parking on George Street and resident parking in side streets.

13. To what extent do you feel that the following elements of the concept design can improve the experience of accessing the area?

- The principle of prioritising blue badge parking on George Street, with resident and pay and display parking located in side streets.

    Neither agree nor disagree.

- Removing central parking on George Street, to allocate more space for pedestrians within the street.

    Strongly agree.

- Creating dedicated delivery and servicing areas on the north side of the street to retain an overall level of space that supports business activities

    Neither agree nor disagree.

14. If there are other ideas, or things we should consider to balance access requirements, please tell us in the box below.

SEStran believes all cars should be removed from George Street. Blue badge parking and resident parking could be provided in side streets. Having dedicated parking bays for residents and blue badge holders on the side streets of George Street removes the need for road access through George Street itself. At the same time, residents and blue badge holders will still have easy and guaranteed access onto George Street. While loading services for businesses should still be allowed at appropriate times of the day, this can be provided without the need for a designated route for motor vehicles through George Street. The bottom section of Castle Street in Edinburgh (on the side of Princes Street) is a perfect example of a pedestrianised street where loading services are still allowed at certain times or where this is provided from side streets such as Rose Street South Lane.

15. What impacts on fairness and equality, if any, might result from introducing any of the ideas discussed previously?

SEStran believes the impact of pedestrianising George Street can be kept to a minimum by moving bus routes onto Princess Street, Queen Street, Hanover Street, and Frederick Street. Blue badge parking can be provided on the side streets of George Street, allowing for appropriate access to these pedestrianised areas by those who need it most. The maximum displacement for pedestrians would be limited to one block, such as from George Street to Hanover Street, which is a maximum walking

distance of around 300 metres. This is still within the recommended distance between bus stops of 400 metres.

16. Please use this space below for any other comments you would like us to consider.

George Street offers a great opportunity to follow the trend in other towns and cities worldwide of giving back public space to the people and disincentivising car use in urban areas. Pedestrianisation encourages active travel, such as walking and cycling, and promotes use of the public transport system. On top of that, there is plenty of research that shows the positive effects of pedestrianisation on businesses (see the reports referred to in question 5). Section 6.1 of the Regional Transport Strategy[1] (RTS) for the SEStran region also emphasises that "Good urban design can encourage more walking and cycling by creating a more favourable environment for these forms of travel and reducing the need to use cars in urban areas to access all types of activity. This complements specific policies for and provision of walking and cycling infrastructure, reflected in the policies and actions set out elsewhere in this RTS." SEStran would therefore like to see more ambitious commitments to realising the key design objectives of the George Street and First New Town Design Project, such as suggested in this response.

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[1] https://www.sestran.gov.uk/wp-content/uploads/2017/01/SEStran_Regional_Transport_Strategy_Refresh_2015_as_published.pdf

Consultation Response to Transportation Noise Action Plan (TNAP) 2019-2023

Response by SEStran, January 2019

Link to Transportation Noise Action Plan (TNAP) 2019-2023:
https://www.transport.gov.scot/media/43657/transportation-noise-action-plan-2019-2023-december-2018.pdf

Link to consultation document: https://www.transport.gov.scot/media/43665/consultation-transportation-noise-action-plan-2019-2023-december-2018.pdf

Question 1

The overall approach of the TNAP is as follows:

- Firstly to continue to ensure noise management is incorporated into all transport-related activities, across the spectrum of design, construction, maintenance, policy, and point-to-point transportation activities.
- Secondly, to further seek to manage noise levels where necessary and practicable at Noise Management Areas (NMAs), and aim to preserve environmental noise quality where it is good.

What are your views on this overall approach?

SEStran supports the overall approach to the incorporation of noise management into all transport-related activities and the management of noise levels where this is necessary. However, it would need to be established who is responsible for this work and what the role is of relevant stakeholders in this regard.

Question 2

The TNAP prioritisation process, including the Building Prioritisation Score (BPS), Source Prioritisation Score (SPS), and Candidate Noise Management Areas (CNMAs), is defined in Section 4 of the TNAP.

What are your views on the prioritisation process?

SEStran supports the prioritisation process as defined in section 4 of the TNAP. In addition, it is recommended that more clarity is given regarding the type of actions that are available and the criteria against which these actions will be prioritised. Examples would be proportionality and effectiveness of proposed intervention or measure, and availability of resources.

Question 3

The TNAP has 4 key objectives, with a series of actions (16 in total) ascribed to these.

What is your view on the TNAP Key Objectives and actions?

The TNAP objectives and actions could be better aligned with existing transport strategies and should recognise that certain transport interventions will have an impact on transport-related noise. The prioritisation of active and sustainable travel, for example, will have a positive impact on noise reduction. Also, the implementation of Low Emission Zones and the promotion of electric vehicles will help reduce noise in NMAs, and should therefore be incorporated in action plans.

Question 4

The options for managing noise within the TNAP were developed using the source, pathway, receptor model.

Do you consider there has been anything left out of the action plan using this approach? If so, what do you consider has been omitted?

SEStran supports this approach.

Question 5

Action 1D of the TNAP is committed to establishing and operating a Noise Inspection Panel (NISP) to assess issues on Transport Noise from a source, transmission, receptor perspective to support delivery of the TNAP, and report yearly on progress.

What are the key issues you consider should be discussed at the Noise Inspection Panel?

The key issues for the Noise Inspection Panel to consider are whether the actions described in the TNAP are being carried out and to what extent the objectives of the TNAP are being achieved. It is also for the Panel to ensure that all relevant stakeholders are represented and involved in the delivery of the TNAP. The Panel should play an active role in reviewing and updating the prioritisation process to ensure appropriate action is taken and the objectives of the TNAP can be achieved as best as possible.

Question 6

There are no Quiet Areas within the TNAP, however the actions within the TNAP will take account of any defined Quiet Areas and related actions.

Do you consider enough is being done to protect Quiet Areas?

While the TNAP recognises the importance of identifying and preserving Quiet Areas in line with the Environmental Noise Directive (END), more clarity should be given regarding the extent to which these Quiet Areas are guaranteed protection, and what approaches/measures will be taken to protect these areas.

Question 7

Our approach in TNAP delivery will be to work collaboratively in partnership with others.

How can other stakeholders play their part in supporting delivery of the TNAP?

It is important that relevant stakeholders work collaboratively to incorporate and promote the TNAP in their work. It is recommended that Transport Scotland clarifies who is responsible for the implementation of the TNAP, and what role Transport Scotland will play in bringing all relevant stakeholders together in working towards the objectives set out in the TNAP.

SUBMITTING EVIDENCE TO A SCOTTISH PARLIAMENT COMMITTEE

DATA PROTECTION FORM

Name:	Beth Harley-Jepson
Date:	28/01/2019
Organisation: (if required)	South East of Scotland Transport Partnership (SEStran)
Topic of submission:	RESTRICTED ROADS (20 MPH SPEED LIMIT) (SCOTLAND) BILL

☒ **I have read and understood the privacy notice about submitting evidence to a Committee.**

☒ **I am happy for my name, or that of my organisation, to be on the submission, for it to be published on the Scottish Parliament website, mentioned in any Committee report and form part of the public record.**

☒ **I understand I will be added to the contact list to receive updates from the Committee on this and other pieces of work. I understand I can unsubscribe at any time.**

Non-standard submissions

Occasionally, the Committee may agree to accept submissions in a non-standard format. Tick the box below if you would like someone from the clerking team to get in touch with you about submitting anonymously or for your submission to be considered but not published. It is for the Committee to take the final decision on whether you can submit in this way.

☐ I would like to request that my submission be processed in a non-standard way.

RURAL ECONOMY AND CONNECTIVITY COMMITTEE

RESTRICTED ROADS (20 MPH SPEED LIMIT) (SCOTLAND) BILL

SUBMISSION FROM <mark>SEStran</mark>

Is reducing the speed limit to 20mph the best way of achieving the aims of the bill?

In line with SEStran's objectives laid out in our Regional Transport Strategy (RTS)[1], SEStran believes that the available evidence demonstrates that a change to the default speed limit to 20mph on restricted roads will improve safety for road and transport users and as such achieve the aims of the bill.

The aims of the bill align strongly with SEStran's key objectives relating to safety and health for the South East of Scotland including:

- Improve safety
- Reduce accidents
- Increase trips by walk/cycle
- Improve air quality
- Reduce transport noise

As outlined in our submission to the initial consultation on this bill, the reduction in the speed limit to 20mph could help to meet the above objectives and equally the aims of the bill. In summary:

- the Royal Society for the Prevention of Accidents' Road Safety Factsheet[2] demonstrates a fatality risk of 1.5% at 20mph versus 8% at 30mph. Clearly, a link exists between average speed limits and the number and severity of collisions. It is therefore likely that changing the default speed limit from 30mph to 20mph on restricted roads will reduce accidents and improve safety.

- SEStran encourages active travel as a mode of transport. From the 2014 Steer Davies Gleave Report 'Research into the impacts of 20mph speed limits and zones'[3], it is noted that 20mph schemes may encourage walking and cycling by positively affecting safety and perceptions of safety.

- A 2018 Department for Transport report[4] found that 20mph limits result in small increases in the number of people reporting travelling on foot or by bike. The proposed Bill would improve the perception of active travel as a safe and healthy

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[1] http://www.sestran.gov.uk/wp-content/uploads/2017/01/Regional-Transport-Strategy.pdf
[2] https://www.rospa.com/rospaweb/docs/advice-services/road-safety/drivers/20-mph-zone-factsheet.pdf
[3] http://www.roadsafetyknowledgecentre.org.uk/downloads/20mph-reportv1.0-FINAL.pdf
[4] https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/757307/20mph-headlinereport.pdf

alternative to the private car. SEStran fully supports measures which increase levels of active travel within our Region.

- The City of Edinburgh Council reported from their South Edinburgh 20mph pilot that reducing the speed limit to 20mph calms traffic noise and improves the environment for local communities. There is also evidence from a City of London report[5] that particulate emissions through tyre and brake wear are lower with a 20mph limit.

Further to the benefits arising from the reduction to 20mph outlined above, a national approach as opposed to an area by area approach will support a clearer message for the public toward expected speeds in urban areas. A national approach could also address inequalities in casualties from road accidents between deprived and non-deprived areas that could arise through an area-based approach.

SEStran supports lowering the speed limit to 20mph on restricted roads however we also recognise that this change would pose a cost for local authorities. The ease with which Local Authorities can implement proposals, along with the need for monitoring and enforcement of the speed limit are likely to be key characteristics for success. Proper consideration should be given to the resource implications and practicality of delivery for Local Authorities.

It is proposed that a national awareness campaign is required to introduce a 20mph speed limit. Do you agree with this? And if so – what shape should any campaign take?

SEStran agrees that a national awareness campaign is required to introduce a 20mph speed limit. A national awareness campaign should focus on creating a change in social and cultural attitudes towards road safety as outlined in the aims of the bill. Such a change will require a strong campaign with targeted delivery to both local and national audiences. The wider societal benefits outlined in response to the previous question should be central to the campaign. There was a largely supportive response to the initial consultation, which suggests that the public will be receptive to the implementation of a 20mph speed limit on restricted roads.

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[5] https://www.cityoflondon.gov.uk/business/environmental-health/environmental-protection/air-quality/Documents/speed-restriction-air-quality-report-2013-for-web.pdf

SESTRAN BUS STAKEHOLDERS' CONGRESS
10:00AM FRIDAY 8TH FEBRUARY 2019

Present:

Cllr Russell Imrie	SEStran Board Member
Cllr Gordon Edgar	Chair of SEStran
Cllr Laura Murtagh	SEStran Board Member
Cllr Karen Doran	SEStran Board Member
Laura Alexander	SEStran Non-Councillor Board Member
Simon Hindshaw	SEStran Non-Councillor Board Member
Vivienne Gray	SEStran Non-Councillor Board Member
Callum Hay	SEStran Non-Councillor Board Member
Paul White	SEStran Non-Councillor Board Member
Barry Turner	SEStran Non-Councillor Board Member
Jim Grieve	SEStran
Elizabeth Forbes	SEStran
Peter Jackson	SEStran
Julie Vinders	SEStran
Harry Barker	Rural East Lothian Bus Group, Bus Users UK
Jon Oakey	Stagecoach
Douglas Robertson	Stagecoach East Scotland
Alan Dean	City of Edinburgh Council
Graeme Macfarlan	First Bus Scotland
Chris Day	Edinburgh Bus Users Group
Richard Hall	Lothian Buses
Graeme Malcolm	West Lothian Council
Rebecca Chan	City of Edinburgh Council
Andrew Stevenson	Transport Scotland
Dr Jonathan Cowie	Napier University
Stuart McNeil	Traveline Scotland
Gordon Grant	Scottish Borders Council
Jeremy Tinsley	CPT
Ross Martin	Connectivity Commission
Andrew Mclellan	East Lothian Council
Mark Craske	NHS Forth Valley
Tim Parker	TCC
Jennifer Marlbourgh	LHNCC

Ref.		Actions
1.	**Welcome by Russell Imrie (Chair) – A Regional View**	
1.1	The Chair welcomed the attendees and highlighted the importance of bringing together relevant stakeholders to discuss and try to find a way forward, with the issue of decreased bus patronage in the SEStran Region.	
1.2	The Chair also highlighted the aims of the meeting; to have relevant discussions, to develop effective strategies at a regional level and to	

1

	strengthen communications and strategic planning.	
2.	**Summary of SEStran's Board paper on bus issues, June 2018 – Jim Grieve**	
2.1	Jim Grieve gave a brief description on the origin of the meeting as follows: Following numerous bus consultations in 2017, highlighting the National trend in declining bus patronage, it was deemed that a Board discussion was both relevant and necessary. SEStran brought a paper to the Board in June 2018 titled 'Bus Travel Discussion Paper', however, it was agreed that more time needed to be spent on the item, so the paper was updated and brought to the Board for a follow-up in September 2018, along with a report from Barry Turner, SEStran Non- Councillor Member. It was agreed that SEStran would organise an event to gather together relevant stakeholders to further discuss the points raised in the paper and to determine future action by SEStran.	
2.2	Jim then provided a summary of the findings from the paper, highlighting the following subject areas: • Open Data • Smart Ticketing/RTPI • Tackling Rising Congestion • Formal Regional Engagement with Bus Operators • Equality of Access to Bus Services • Young People Jim also advised that these headings would be the subjects for discussion in the workshop element of the meeting.	
3	**Introductions**	
3.1	The Chair introduced the presenters; Dr Jonathan Cowie, Richard Hall and Ross Martin and welcomed Dr Jonathan Cowie to start the proceedings.	
4.	**The Transport Bill**	
4.1	• Bus Aspects – Presentation by Dr Jonathan Cowie, Napier TRI https://www.sestran.gov.uk/meeting/bus-stakeholders-congress/?preview=true	
5.	**Connectivity & Impacts of Congestion**	
5.1	• Bus Operators' Perspective – Presentation by Richard Hall, Lothian Buses **(add link)**	

5.2	• Glasgow's Connectivity Commission – Presentation by Ross Martin, member of Connectivity Commission The key points of Ross Martin's presentation were as follows: • Connectivity contradictions – Glasgow has the UK's best suburban rail network outside London, where passenger numbers have grown exponentially over the last decade, creating a crisis of growth as even strong levels of national investment struggle to keep pace with relentlessly rising demand. On the other hand, its bus network, responsible for carrying a far greater number of passengers, has experienced the steepest decline of any other UK city over the same decade. • Behavioural change – how can we improve the public's perception of public transport; through engagement, customer service, affordability and reliability? • Connectivity – the life blood of any socio-economic system; carrying goods, services and people around the places where we live, work and play. • Transport hierarchy – Recommendations for Glasgow City Council to adopt and adhere to the recognised transport hierarchy for street space prioritising the movement of people, cyclists, public transport use and private vehicles, in that order.	
5.3	Following the presentations, the attendees were invited to participate in a Q+A/discussion. The following points were raised: • Subsidised/concessionary travel – it was highlighted that young people should be offered subsidised fares/concessionary travel as a means of encouraging patronage. This then led to discussion about the importance of improving young peoples' perceptions/experiences of public transport through; good customer service, concessionary travel, attractive/clean vehicles, USB sockets and reliable Wi-Fi. • Reliability of public transport – it was highlighted that there should be more focus on the improvement of current transport measures, regarding congestion, instead of focusing on new transport infrastructure. • Integration – it was highlighted that Economic Partnerships, Transport Partnerships and Planners should be working collaboratively on a regional level, to ensure effective strategic planning/project delivery. • Communication – 'How do we make communication work on a local level regarding market growth and connectivity?' • City of Edinburgh's Low Emission Zone – concerns were raised about this initiative, with fears that the disbenefits will affect the outskirts of the city, e.g. The Edinburgh City Bypass.	
6.	**Round table discussions**	
6.1	Jim Grieve advised the attendees that each of the 6 tables displayed a list	

	of discussion topics (as previously mentioned in Item 2.2) with specific headings in bold to indicate which should be focused on. The tables were asked for volunteers to take notes/feed back to the room following the discussions. Each table was assigned 25 minutes for discussions and 20 minutes for feedback.	
7.	**Feed-back from discussions**	
7.1	**Table 1**	
	Table 1 had the discussion heading 'Young People' and fed back the following points raised during their discussions: • Engagement – how do we effectively engage with young people? • Planning – Problems with connectivity that can make young people less confident when using public transport as they may need to use multiple modes/routes etc. • Reliability of journey - Young people are more likely to be on fixed working hours, so need to be able to rely on accurate service times. • Behavioural change – How can we encourage families to use the bus?	
7.2	**Table 2**	
	Table 2 had the discussion heading 'Formal Regional Engagement with Bus Operators' and fed back the following points raised during their discussions: • Local authority officers have good engagement with operators and regional stakeholders. • City Region groups – short time scales and limited engagement/input • Disconnect of CD outputs with public transport provision, meaning more money spent • Policy level dissemination may not always be fed to PTOs • Supplier and customer strategy needed • Declining services could be due to cross boundary issues.	
7.3	**Table 3**	
	Table 3 had the discussion heading 'Tackling rising Congestion' and fed back the following points raised during their discussions: • Changing people's perceptions • Better pricing • Making public transport quicker than car use • Improving bus information/reliability • Social inclusion and smart ticketing • 20 mph speed limit – not encouraging public transport use • Better communication about road works/maintenance which could cause delays to routes	

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	• Passenger real time information	
7.4	**Table 4**	
	Table 4 had the discussion heading 'Open Data' and fed back the following points that were raised during their discussions: • Open data – a viable/required resource • Information provision to the customer; what services are available, how they plan their journey, purchase their ticket. • Evidence – if you're making a case for why Scottish Government or Local Authorities should invest in a specific measure you can use open data as a backing resource • Issues – Open Data can be an expensive endeavour • Is Traveline the right portal for handling open data? • What are the implications for smaller operators?	181
7.5	**Table 5**	
	Table 5 had the discussion heading 'Equality of Access to Bus Services' and fed back the following points raised during their discussions: • Confidence building – CPC could be adapted with more focuss on disability training. • Infrastructure – where stops are located is important, all stops need to be accessible to people with mobility issues • Public awareness campaigns to encourage better understanding publicly	
7.6	**Table 6**	
	Table 6 had the discussion heading 'Smart ticketing' but instead talked about 'Tackling Rising Congestion' and fed back the following points raised during their discussions: • City of Edinburgh Council looking at initiatives for short term measures; signal optimisation etc • Bus lane operate hours – to improve consistency • Bus lane enforcement cameras • Collaborating with operators • Park and ride expansions and locations – how can they be effectively utilised?	
7.7	The Chair then asked if the attendees had any further points to raise following the discussions. The following additional points were raised: • Where is the powerhouse for change? • Transport Bill – illustrates disconnect between Government policy and reality • Government needs to put support mechanisms in place to make required changes	

5

	• National debate on bus polarised by the issue of ownership • Bus operators, politicians and decision makers should establish a transport hierarchy to prioritise bus travel • Regional conversations to make the necessary changes to improve bus patronage	
8.	**Conclusion/Actions**	
8.1	The Chair thanked the attendees for their input and advised that the next stages would include; circulation of the minutes, which will be brought to the Board for discussion. Following Board endorsement, a follow-up meeting will be scheduled for further engagement and planning.	**EF/SEStran**

Elizabeth Forbes
Business Support Officer
Thursday 14th February 2019

CHIEF OFFICER LIAISON GROUP MEETING
14:00PM WEDNESDAY 20TH FEBRUARY 2019

Present:

Jim Grieve (Chair)	SEStran
Elizabeth Forbes (EF)	SEStran
Keith Fisken (KF)	SEStran
Julie Vinders (JV)	SEStran
Peter Jackson (PJ)	SEStran
Iain Shaw (IS)	CEC
Ken Gourlay (KG)	Fife Council
Lindsay Haddow (LH)	Midlothian Council
Peter Forsyth (PF)	East Lothian Council
Kevin Collins (KC)	Falkirk Council
Ewan Kennedy (EK)	CEC

Apologies:

Lesley Deans	Clackmannanshire Council
Graeme Malcolm	West Lothian Council
Nicola Gill	West Lothian Council
Graeme Johnstone	Scottish Borders Council

Ref.		Actions
1.	**Welcome and Apologies for Absence**	

1.1 The Chair welcomed the Officers to the meeting and apologies were noted as above.

2.	**Minutes**	

2(a) **Chief Officers Liaison Group (6th November 2018)**
Agreed as a correct record

EF advised that there was a discrepancy in the minutes under Item 10.2, as the sentence should refer to a "Main Issues Report". EF advised that she would amend the minutes to reflect this. **EF**

During the review of the minutes, KF advised the Officers that SEStran had withdrawn from hosting an ECOMM event following Brexit/budget discussions. The event will be replaced with a European conference based around the SURFLOGH project that SEStran is involved in. This conference will also link up with SEStran's Logistics & Freight Forum. The event is scheduled to take place on the 29th May 2019. A save the date will be issued to the Board and Chief Officers shortly. **KF**

2(b) **Partnership Board (7th December 2018)**

Agreed as a correct record

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3   Financial Reports

3(a)   Financial Planning 2019-20

IS advised that the March Board will be asked to approve the budget report for 2019/20.

The Officers were advised that the proposal remains as a flat cash requisition, with the same level of requisition from Councils as in the previous financial year.

The report also makes the assumption that Government funding will be the same as in previous years.

It was indicated that amendments have been made to the report to reflect The Lothian Pension Fund's removal of a *Contribution Stability Mechanism*. In response to this change, the Partnership will be increasing its contributions to the fund.

3(b)   Finance Officer's Report

IS advised that the current year monitoring forecast is on budget with a small potential underspend.

4.   Draft Business Plan 2019/20

4.1   JV advised Officers that SEStran is currently working on next year's Business Plan for (2019/20).

4.2   JV gave a brief description of the structural changes and advised Officers that a final draft will be taken to the Performance and Audit Committee and Partnership Board in March.

4.3   The Chair advised the Officers that a draft would be circulated shortly.   **JV**

5.   Internal Audit Update

5.1   The Chair gave a verbal update on the findings from SEStran's recent internal audit. The key points of his update were as follows:

- The audit focused on SEStran's GDPR compliance
- SEStran now holds a Cyber Essentials certificate and are working towards a Cyber Essentials Plus certificate
- 4 observations were highlighted involving process mapping and confidential email security
- SEStran will be taking forward any recommendations

5.2   The Chair advised that an external audit is soon to be underway. This audit is expected to focus on SEStran's contracts.

2

6.1 JV provided a breakdown of SEStran's project outputs as follows:

6.1.1 Real-Time Passenger Information

In the short term, SEStran is exploring options with INEO to keep the service going until the agreement comes to an end. It is hoped that the new operating system will be in place early in the new financial year. Bustracker SEStran will be integrated with the new CMS.

Timeframe: financial year 2019/20

6.1.2 Regional Cycle Network Grant Scheme (RCNGS)

3 feasibility studies are being undertaken by Aecom work £90,248.93 using 100% funding from Community Links.

Timeframe: spring 2019

6.1.3 Regional Active Travel Development Fund

SEStran has awarded funding to Arup to carry out feasibility study for the A701 corridor.

Timeframe: financial year 2019/20

EK advised that CEC are involved in a Bus Stakeholders cross border bus priority working group with East Lothian, West Lothian and Midlothian Council. EK requested that Arup communicate details with the working group. PJ advised that Arup will be in contact with CEC teams to discuss future plans.

6.1.4 GO e-Bike

2 new GO e-Bike hubs will be launched early spring at Social Bite Village in Edinburgh and Tweeddale Youth Action in Innerleithen.

Timeframe: ongoing until summer 2019

KF also advised that procurement will soon be underway to develop a further 4 hubs across East Lothian and Midlothian.

LH indicated that she will be engaging with planners to discuss relevant   **LH**
planning permission for a potential hub at Jarnac Court, in Dalkeith.

6.1.5 Cycle Training & Development – Cycling Scotland

As part of trialling a new model for delivering Bikeability Scotland training

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in schools, several pilots are being developed within the SEStran region.

Timeframe: ongoing until summer 2019

6.1.6 Smarter Choices Smarter Places

SEStran was awarded £13,650 as a 50% match for a project looking at travel behaviour in and around Edinburgh. SEStran is working with Trivector Traffic AB to conduct data collection through a mobile app which tracks how people travel, how far, how fast, why and by what mode.

Timeframe: March 2019

6.1.7 SHARE-North

With the project extension being approved by the EU North Sea Region Programme Secretariat, SEStran will be working with project partners to promote Tripshare and replicate the carpool addict label. SEStran will also be looking at introducing 'Mobihubs' (mobility hubs) to the SEStran region.

Timeframe: ongoing until December 2021

EK indicated that he would provide JV with a CEC contact involved with a similar project for Edinburgh who might be a useful/relevant contact. **EK**

6.1.8 REGIO-Mob

Sustrans provided SEStran with its first Active Travel Audit. Moving forward, SEStran will be using reports prepared by CoMoUK to report on the health benefits of the GO e-Bike project.

Timeframe: ongoing until March 2020

6.1.9 SURFLOGH

SEStran will be working with Zedify to deliver the e-cargo bike pilot scheme. This pilot scheme will inform the development of a business case for first/last mile delivery solutions in sustainable urban freight logistics.

Timeframe: ongoing until December 2020

KF invited the Officers to attend a *Switched-on Scotland* event at Dynamic Earth on the 13th March.

6.1.10 BLING

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SEStran will be working with various project partners, including the University of Edinburgh, to develop and implement a transport focused pilot that aims to deliver Blockchain in Government.

Timeframe: ongoing until December 2021

6.1.11 Hate Crime Charter

SEStran is developing a Hate Crime Charter aimed at reporting and preventing hate crime incidents. After a regional trial, SEStran hopes to roll out the Charter nationally.

Timeframe: financial year 2019/20

6.1.12 Can Do & Thistle Card App

Can Do funding will be used to develop an intermodal journey planner and Thistle Card App, aimed at those with disabilities.

Timeframe: financial year 2019/20

6.1.13 Electric Vehicle Strategy

JV advised Officers that an Electric Vehicle Strategy meeting took place on the 11th February with several Officers in attendance.

JV indicated that the findings of this meeting suggested that a *Regional Electric Vehicle Strategy* would be a useful tool for local authorities.

JV finalised the discussion by confirming that she is in the process of drafting the document and will be circulating a final draft to local authorities for input at a later date. **JV**

7. Emergency and Planned Lorry Parking

7.1 KF informed the Officers that SEStran are working with the Scottish Business Resilience Centre to investigate emergency and planned lorry parking measures, in line with future severe weather planning. These communications have resulted from discussions at SEStran's Logistics & Freight Forum in 2018.

7.2 KF advised that SEStran have previously produced both a *Freight Action Plan* and *Freight Parking Map* but are hoping to develop a R*egional Emergency Parking Strategy* to reflect appropriate measures in extreme weather circumstances.

7.3 KF finalised discussions by suggesting that it might be useful to collate information from the regional authorities to establish what facilities might be available to support relevant measures. KF advised that he would be in contact with the Officers by email to request relevant data to assist in **KF**

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the formulating of an *Emergency Parking Strategy*.

8. Cycle Scheme Issues

8.1 PJ presented the report which acknowledged the ongoing challenges local authorities are facing to find match funding for walking/cycling projects, with an emerging risk of limited resources to add new routes to existing maintenance schedules.

8.2 PJ advised that he attended an *Active Travel Working Group* hosted by SCOTS in January 2019, with Sustrans and Transport Scotland in attendance.

The meeting produced the following outcomes:

- Transport Scotland is seeking to rationalise funding streams, having identified 21 available streams.
- Transport Scotland acknowledged that there have been delays in refreshing Cycling by Design, with no date on publication.
- Sustrans agreed to produce a design guide to update the previous guidance from 2014.
- From April 2019 onwards, three Sustrans funds will be combined (Community Links, Community Links Plus and Safer Routes to School) which will increase competition, for funding.

8.3 The Officers then engaged in a discussion regarding the challenges raised in PJ's report.

9. Regional Working Groups

9.1 The Chair discussed the letter received by Alison Irvine at Transport Scotland regarding regional working groups. The Chair indicated that the letter suggested that Regional Transport Working Groups are formed, based on the current City Deal configurations.

The Chair indicated that he had responded to Alison to advise that SEStran would be happy to comply with her suggestions, but also suggested that the focus of the regional transport working groups be relevant to STPR and must be aligned to the *Regional Transport Strategies* of all 7 Regional Transport Partnerships.

9.2 The Chair also highlighted that the NTS2 is accepting that a regional view of transport makes good sense, especially including economic development/planning. He also advised that these working groups may merge with Regional Economic Partnerships, although, he is unsure how or when this will occur.

9.3 The Chair also highlighted that the existing geographical configurations need to be considered for review by the working group.

9.4   EK advised Officers that the next meeting of the City Region Deal Joint Committee is taking place on the 1st March, with a terms of agreement paper for approval.

9.5   The Chair finalised the discussion by raising SEStran's interest in pursuing a Model 2 or 3 RTP status. He advised that a Model 2 status, which would allow SEStran sharing powers, might be a more palatable solution. He also advised that SEStran would be looking to bring in a consultant to establish what we can be done, in more detail, at a regional level.

10.	Consultation Responses

10(a)   Scottish Law Commission – Automated Vehicles

10(b)   George Street and First New Town

10(c)   Transportation Noise Action Plan (TNAP) 2019 -2023

10(d)   Restricted Roads (20mph Speed Limit) (Scotland) Bill

11.	AOCB

11.1   There was no *any other confirmed business* raised at this meeting.

12.	Date of Next Meeting

12.1   The date of the next meeting is scheduled for **2:00pm on Wednesday 22nd May 2019, Room 3D-34, Victoria Quay, Edinburgh, EH6 6QQ**.

Elizabeth Forbes
Business Support Officer
Thursday 28th February 2019