

SESTRAN PARTNERSHIP BOARD MEETING

**Held Remotely via Microsoft Office Teams
2:00pm Friday 19th March 2021**

1. **ORDER OF BUSINESS**
2. **APOLOGIES**
3. **DECLARATIONS OF INTEREST**

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Gavin King
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12th March 2021

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

SEStran Partnership Board Minutes

10am, Friday 20 November 2020

Microsoft Teams

<u>Present</u>	<u>Name</u>	<u>Organisation Title</u>
	Cllr Gordon Edgar (Chair)	Scottish Borders Council
	Laura Alexander	Non-Councillor Member
	Cllr Colin Davidson	Fife Council
	Cllr Ian Ferguson	Fife Council
	Cllr Jim Fullarton	Scottish Borders Council
	Cllr Paul Garner (substituting for Councillor Collie)	Falkirk Council
	Vivienne Gray	Non-Councillor Member
	Cllr Jim Goodfellow (substituting for Councillor Norman Hampshire)	East Lothian Council
	Simon Hindshaw	Non-Councillor Member
	Cllr Chris Horne	West Lothian Council
	Cllr Craig Hoy	East Lothian Council
	Cllr Russell Imrie	Midlothian Council
	Richard Llewellyn	Non-Councillor Member
	Cllr Claire Miller	City of Edinburgh Council
	Cllr Cathy Muldoon	West Lothian Council
	Cllr Laura Murtagh	Falkirk Council
	Cllr Cameron Rose	City of Edinburgh Council
	Cllr Peter Smaill	Midlothian Council
	Dr Doreen Steele	Non-Councillor Member
	Catherine Thomson	Non-Councillor Member
	Barry Turner	Non-Councillor Member
	Cllr Mike Watson	Clackmannanshire Council
	Paul White	Non-Councillor Member

In Attendance

Kevin Collins	Falkirk Council
Angela Chambers	SEStran
Andrew Ferguson	SEStran
Keith Fisker	SEStran
Peter Forsyth	East Lothian Council
Jim Grieve	SEStran
Anna Herriman	SEStran
Peter Jackson	SEStran
Karen Jones	Azets
Graeme Johnstone	Scottish Borders Council
Dave Kenny	Midlothian Council
Gavin King	City of Edinburgh Council (Secretary)
Graeme Malcolm	West Lothian Council
Hannah Markley	SEStran
Martin Scott	City of Edinburgh Council
Iain Shaw	City of Edinburgh Council
Jim Stewart	SEStran
Julie Vinders	SEStran

Apologies for Absence

Cllr Fiona Collie	Falkirk Council
Cllr Dave Dempsey	Fife Council
Ken Gourley	Fife Council
Cllr Norman Hampshire	East Lothian Council
Callum Hay	Non-Councillor Member
Ewan Kennedy	City of Edinburgh Council

A1. Minutes

Decision

- 1) To agree the minute of the SEStran Partnership Board of 19 June 2020 as a correct record.
- 2) To agree the minute of the Performance and Audit Committee of 11 September 2020 as a correct record.
- 3) To agree the minute of the Performance and Audit Committee of 6 November 2020 as a correct record.

A2. External Audit Annual Report 2019/20

The Annual Audit Report summarised the findings arising from the Partnership's 2019/20 external audit.

Decision

- 1) To note the Annual Audit Report to members of South East of Scotland Transport Partnership and the Controller of Audit.
- 2) To note the Action Plan points and management responses at Appendix Two.
(Reference – report by the Treasurer, submitted)

A3(a). Audited Annual Accounts 2019/20

Approval was sought for the audited annual accounts for the year ended 31 March 2020.

Decision

- 1) To note the audited accounts and the Auditor's opinion in the audit certificate.
- 2) To authorise the Audited Annual Accounts for signature.

(References – SEStran Partnership Board 19 June 2020 (item A3); report by the Treasurer, submitted)

A3(b). Finance Officer's Report

The Board considered a report which provided a first update on financial performance of the Core and Projects budgets of the Partnership for 2020/21, in accordance with the Financial Regulations of the Partnership. An analysis of financial performance to the end of September 2020 was presented.

Decision

- 1) To note the forecast break-even position on the Core revenue budget
- 2) To note the forecast Projects net underspend of £18,000, reflecting project slippage in 2020/21.
- 3) To note the Partnership's reserves will be reviewed as part of the process to set a revenue budget for 2021/22.

(Reference – report by the Treasurer, submitted)

A3(c). Financial Planning 2021-2024

An update was provided on the financial planning being progressed for the Partnership for the 2021/22 revenue budget, together with indicative financial plans for 2022/23.

Decision

To note the update on the financial planning assumptions being progressed for the Partnership for the 2021/22 revenue budget and indicative financial plans for 2022/23.

(Reference – report by the Treasurer, submitted)

A3(d). Treasury Management – Mid-term Review

Details were provided of the investment activity undertaken on behalf of the Partnership during the first half of the 2020/21 Financial Year.

Decision

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

(Reference – report by the Treasurer, submitted)

A4. Draft Annual Report 2019/20

Details were provided of SEStran's draft Annual Report for the year 2019/20, and approval was sought for its publication.

Decision

- 1) To approve the draft Annual Report for 2019/20 and to approve that the Partnership Director be given authority to complete the suggested amendments made at the meeting and to then publish the report.
- 2) To note that young people still had to pay by cash on buses in order to receive a Young Scot Card reduction and that an update would be provided on this.

(Reference – report by the Partnership Director, submitted)

A5. Covid-19 Response Regional Transport Transition Planning Group

As part of its response to the pandemic, the Scottish Government had set up a number of Transport Transition Groups to co-ordinate the local authority, RTP and Government response to mitigate the effects of Covid19 on the country's transport network. These comprised a National Advisory Group and two Regional Groups for the Edinburgh and Glasgow regions.

An update was provided on the work of the South East Scotland Transport Transition Group, and SEStran's involvement in it.

Decision

- 1) To note SEStran's involvement in the South East Scotland Transport Transition Group.
- 2) To note that Catherine Thomson would share the Ways of Working presentation from her employer with the Partnership Director and this may be presented to the Board at a future meeting.

(Reference – report by the Partnership Consultant, submitted)

Declaration of interests

Paul White declared a financial interest as the Director of the Trade Association representing Bus and Coach companies in Scotland.

A6. Projects Performance Report

Information was provided on the current status and progress of the various projects SEStran was involved in. Where relevant any impacts on project progress arising from Covid-19, including those affecting progress or delivery by suppliers or partners were noted.

Decision

- 1) To note the progress in delivering on current projects, and that impacts or delays were recorded in relation to Covid-19.
- 2) The note that the Senior Partnership Manager would confirm with the Active Travel Officer why the cross-border link at A703 to the A702 into the south of Edinburgh via Morningside was not included as a cross-border link and confirm this with Dave Kenny.

(Reference – report by the Senior Partnership Manager, submitted)

A7. New Regional Transport Strategy (RTS): Update Report

At the meeting of the Partnership Board on 19 June 2020, it was agreed to note the requirement to review the RTS delivery programme to take account of the resource effects and consequences to transport services of COVID -19 and approval of a revised programme for delivery of the RTS was delegated to the Partnership Director. An update was provided on the new RTS.

Decision

- 1) To note the recommencement of work on STPR2 and the proposed two phases of delivery.
- 2) To note the review of the delivery programme (appendix 1), to take account of the resource effects and consequences to transport services of COVID -19 and the alignment with the revised delivery programme for STPR2.
- 3) To note the impact of this change in spending profile on the Projects-Indicative Activities for financial years 2020-21 and 2021-22 with an anticipated expenditure in 2020/21 of £50,000.

(References – SEStran Partnership Board 19 June 2020 (item A4); report by the Strategy and Projects Officer, submitted)

A8. Programme of Meetings 2021

The proposed calendar of SEStran Partnership Board meetings in 2021 along with the full schedule of SEStran meetings was submitted.

Decision

- 1) To approve the proposed programme of meetings for 2021.
- 2) To note that venues were still to be confirmed and would be agreed when guidance allowed.
- 3) To note that the decision to host some or all of a meeting on a physical, rather than virtual basis, would be dependent on the successful rollout of the

vaccination programme, and that Members could, if they so wished, share their current vaccination status with the Business Manager in advance of meetings, on a confidential basis.

(Reference – report by the Business Manager, submitted)

A9. Date of Next Meeting

Decision

To note that the next meeting would be held on Friday 19 March 2021 at 10am.

B1. Public Services Reform (Scotland) Act 2010 (PSRA)

The Regional Transport Partnerships were included in the schedule of the Public Services Reform (Scotland) Act 2010. This required annual publication of certain information and the report advised the Board of the information to be published.

Decision

To note the content of the material for publication under the Public Services Reform (Scotland) Act 2010 and detailed in appendix 1 of the report.

(Reference – report by the Business Support Officer, submitted)

B2. Climate Change Duties Report 2019/20

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.

(Reference – report by the Active Travel Officer, submitted)

B3. Risk Management Report

The biannual update on the risk register was presented as part of the Partnership's overall risk management framework.

The risk register had been submitted to the Performance and Audit Committee at its meeting on 6 November 2020 for comments and these were reflected in the final risk register.

Decision

To note the report.

(References – Performance and Audit Committee 6 November 2020 (item A7); report by the Senior Partnership Manager, submitted)

B4. NESTRANS RTS

The Board were advised on the consultation response to the draft Regional Transport Strategy for North East Scotland – Nestrans 2040.

Decision

To note the response to the consultation on the Nestrans draft Regional Transport Strategy as set out in Appendix 1.

(Reference – report by the Strategy and Projects Officer, submitted)

B5. Consultation Responses

B5.1 East Lothian Council ClimatEvolution Response

An update on the SEStran response to the ClimatEvolution consultation which closed in September 2020 was provided.

Decision

To note the terms of the consultation response.

(Reference – report by the Active Travel Officer, submitted)

B5.2 Response to Consultation on a Review of the Highway Code

The Board were advised on the UK Government's consultation on a review of the Highway Code, and the final response submitted, following consultation with Members.

Decision

To note the response to the UK Government's ongoing consultation on a review of the Highway Code set out at Appendix 2, submitted under delegated powers after consultation with the Members.

(Reference – report by the Partnership Consultant, submitted)

B6. Minutes

Decision

- 1) To note the minute of the Equalities and Access to Healthcare Forum of 3 June 2020.
- 2) To note the minute of the Equalities and Access to Healthcare Forum of 2 October 2020.
- 3) To note the minute of the Chief Officers Liaison Group Meeting of 19 August 2020
- 4) To note the minute of the Chief Officers Liaison Group Meeting of 21 October 2020.
- 5) To note the minute of the Integrated Mobility Forum of 8 October 2020.

PERFORMANCE & AUDIT COMMITTEE

**REMOTE MEETING VIA MS OFFICE TEAMS
ON FRIDAY 5 March 2021
2pm**

PRESENT:	<u>Name</u>	<u>Organisation Title</u>
	Councillor Imrie (Chair)	Midlothian Council
	Councillor Dempsey	Fife Council
	Councillor Fullarton	Scottish Borders Council
	Councillor Horne	West Lothian Council
	Councillor Hoy	East Lothian Council
	Councillor Rose	City of Edinburgh Council
	Callum Hay	Non-Councillor Member
	Simon Hindshaw	Non-Councillor Member
	Barry Turner	Non-Councillor Member
IN ATTENDANCE:	<u>Name</u>	<u>Organisation Title</u>
	Angela Chambers	SEStran
	Andrew Ferguson	SEStran
	Jim Grieve	SEStran
	Beth Harley-Jepson	SEStran
	Anna Herriman	SEStran
	Peter Jackson	SEStran
	Gavin King	City of Edinburgh Council
	Martin Scott	City of Edinburgh Council
	Iain Shaw	City of Edinburgh Council
	Karen Jones	Azets

Action by

A1. ORDER OF BUSINESS

It was confirmed that there was no change to the order of business.

A2. APOLOGIES

Apologies were received from Councillor Murtagh and Dr Doreen Steele

A3. DECLARATION OF INTERESTS

None.

A4. MINUTES

To approve the minute of the Performance and Audit Committee of 6

November 2021 as a correct record.

A5. EXTERNAL AUDIT PLAN 2020/21

A summary of the work plan for the 2020/21 external audit of the South East of Scotland Transport Partnership (“the Partnership”) was provided.

Decision

To note the External Audit Plan for 2020/21.

(Reference – report by the External Auditor, submitted)

A6. Finance Reports

(a) Revenue Budget 2021-22 to 2022-23

Details were provided of the revenue budget for 2021/21 and an indicative financial plan for 2022/23 to 2023/24 for review by the Committee.

Decision

- 1) To note the financial planning assumptions for the Partnership’s proposed revenue budget for 2021/22.
- 2) To note that financial planning for 2022/23 to 2023/24 will be developed throughout 2021 for consideration by the Partnership in December 2021.
- 3) To note that the proposed budget was subject to a number of risks. All income and expenditure of the Partnership would continue to be monitored closely with updates reported to each Partnership meeting.
- 4) To agree that there needed to be further detailed consideration of future resource requirements, particularly in relation to the issue of finance but more broadly as well and to request that the Partnership Board endorse this position.

(Reference – report by the Treasurer, submitted)

(b) Annual Treasury Management Strategy

Details were provided on the proposed Treasury Management Strategy for 2021/21.

Decision

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

(Reference – report by the Treasurer, submitted)

A7. DRAFT BUSINESS PLAN 2021-22 to 2022-23

Committee's views were sought on a proposed three-year Business Plan for SEStran for 2021/22 to 2022-23.

Decision

- 1) To note the terms of the report.
- 2) To recommend to the Board that it consider the initial draft Business Plan at the March Board, with a final version taking into account the budget outturn and other developments being brought back to this Committee for further scrutiny and onward transmission to the Board in June.

(Reference – report by the SEStran Consultant, submitted)

A8. PROJECTS PERFORMANCE REPORT

Information was provided on the current status and progress of the various projects SEStran was involved in. The report set out where effects of Covid-19 restrictions had an impact on delivery timescales.

Decision

- 1) To note progress on current projects outlined in the Projects Performance Report (appendix 1) including where impacts or delays have been recorded in relation to Covid-19.
- 2) To the arrangements in place for SEStran's membership within European Projects.
- 3) To agree to provide a details of initial expected completion dates and predicted completion dates of projects and to agree that details would be provided in terms of how far projects had been progressed.
- 4) To agree that the Senior Partnership Manager would ask the BLING project to ensure the issue of carbon emissions relating to blockchain technology is being considered before the project is concluded.

(Reference – report by the Senior Partnership Manager, submitted)

A9. GO e-Bike PROJECT IMPACT REPORT

In response to an action agreed at the Performance and Audit Committee in June 2020, an assessment of the overall impact and value of the ongoing GO e-Bike project that commenced in April 2018 was provided.

Decision

- 1) To note the positive value and impact in the region outlined in the GO e-Bike Impact Report and Go e-Bike Annual Report 2019/20.
- 2) To agree to provide details on the project's reach, information on the numbers that had their first e-bike experience through the project and any impact the project has had on changing behaviours.

(References – SEStran Performance and Audit Committee, 5 June 2020 (item A8); report by the Senior Partnership Manager, submitted)

A10. DATE OF NEXT MEETING

Friday 4 June 2021 at 10.00am

External Audit Plan 2020/21

1. PURPOSE OF REPORT

- 1.1 To present the External Audit Plan for 2020/21.

2. SESTRAN 2020/21 – ANNUAL AUDIT PLAN

- 2.1 Azets, as the appointed independent external auditor of the Partnership, have prepared an Annual Audit Plan for 2020/21. 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 2020/21 was considered and noted by Performance and Audit Committee at its meeting on 5 March 2020.

3 RECCOMENDATION

- 3.1 It is recommended that members review and note the External Audit Plan for 2019/20.

Karen Jones
External Auditor, Azets
12 March 2021

Appendix: External Audit Plan 2020-21



South East of Scotland Transport Partnership

External Audit Annual Plan 2020/21

February 2021



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Introduction



Introduction

1. This document summarises the work plan for our 2020/21 external audit of the South East of Scotland Transport Partnership (“the Partnership”).
2. The core elements of our work include audits of:
 - the 2020/21 annual accounts and related matters;
 - the Partnership’s arrangements for, where applicable, financial sustainability, financial management, governance and transparency 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 Azets as external auditor of the Partnership for the six year period

2016/17 to 2021/22¹. This document summarises the audit plan for 2020/21 and includes;

- the responsibilities of Azets 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 Azets and the audit management team.

Auditor 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 comply with the Financial Reporting Council’s (FRC) Ethical Standards. In our professional judgement, the audit process is independent and our objectivity is not been compromised in any way.
8. We set out in Appendix 2 our assessment and confirmation of independence.

Adding value through the audit

9. All of our clients 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

¹ In October 2020, the Accounts Commission extended our audit appointment for one year through to the audit of the 2021/22 financial year to provide

continuity and stability in the current challenging environment.

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

10. 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 any member of your audit team.

Openness and transparency

11. This report will be published on Audit Scotland's website www.audit-scotland.gov.uk.

Respective responsibilities of the auditor and the Partnership



Respective responsibilities of the auditor and the Partnership

Auditor responsibilities

Code of Audit Practice

12. The Code of Audit Practice 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

13. Auditor responsibilities are derived from statute, the Code of Audit Practice, International Standards on Auditing (UK) (ISAs (UK)), professional requirements and best practice. These are to:
 - undertake statutory duties, and comply with professional engagement and ethical standards;
 - provide an opinion on financial statements;
 - 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; and
 - demonstrate compliance with the wider scope of public audit.

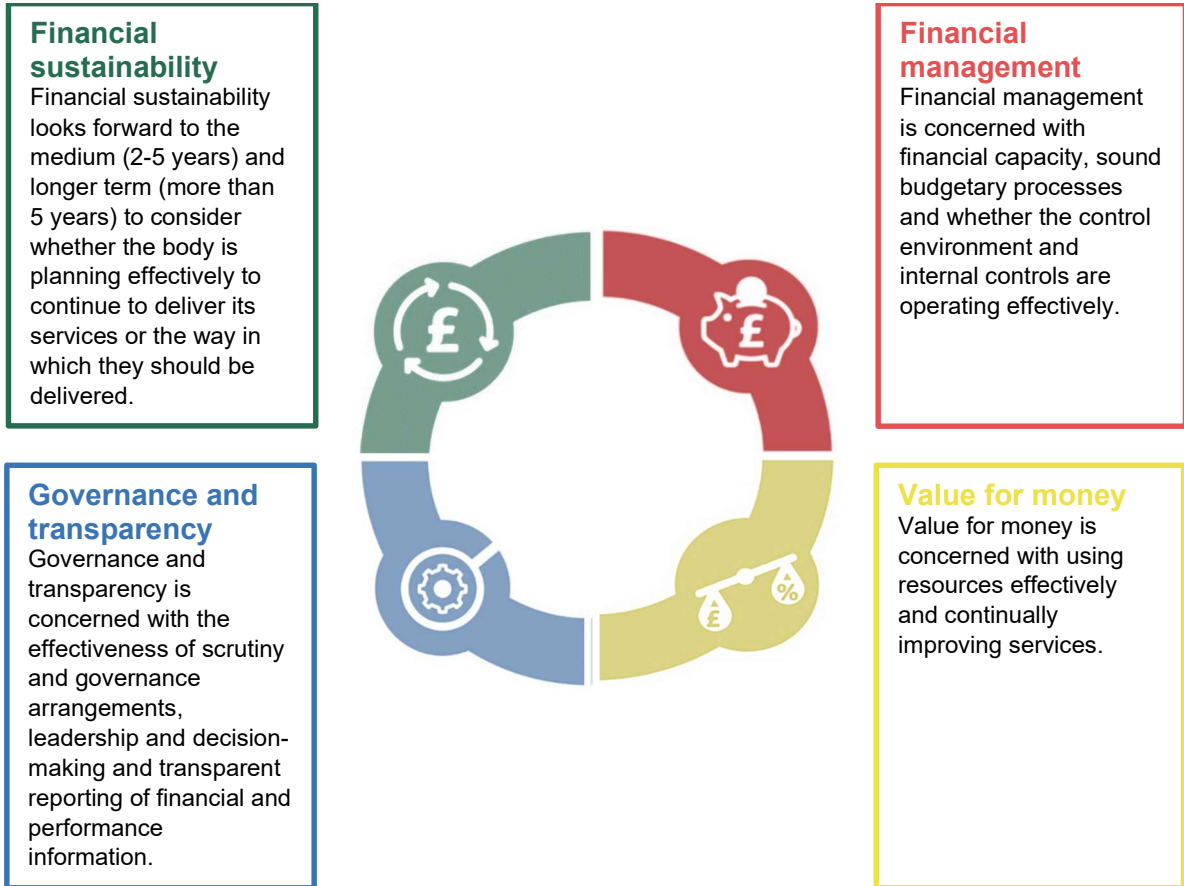
Wider scope audit work

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 undertaken from a wider perspective than in the private sector. This means providing assurance, not only on the financial statements, but 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.

Exhibit 1: Audit dimensions within the Code of Audit Practice



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 organisation. Taking these factors into consideration, we have concluded that application of the restricted wider scope is appropriate at the Partnership.
18. 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.

Best Value

- 19. Appointed auditors have a duty to be satisfied that local government bodies have made proper arrangements to secure best value.
- 20. 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 as set out in this plan.

Partnership responsibilities

- 21. 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 responsibilities

Area	Partnership responsibilities
<p>Financial statements: Annual accounts containing financial statements and other related reports should be prepared.</p>	<p>The Partnership has responsibility for:</p> <ul style="list-style-type: none"> • preparing financial statements which give a true and fair view of its financial position and its 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 its financial statements and related reports disclosures; • maintaining proper accounting records; and • 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 responsibilities
<p>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.</p>	<p>The Partnership is responsible for putting in place proper arrangements to ensure the financial position is soundly based having regard to:</p> <ul style="list-style-type: none">• 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;• 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.
<p>Financial management: Financial management is concerned with financial capacity, sound budgetary processes and whether the control environment and internal controls are operating effectively.</p>	<p>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, for communicating relevant information to users about the entity and its financial performance.</p> <p>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 its objectives and safeguard and secure value for money from the public funds at its disposal.</p> <p>The Partnership is responsible for establishing 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.</p>

Area	Partnership responsibilities
<p>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.</p>	<p>The Partnership is responsible for establishing arrangements to ensure the proper conduct of its affairs including the legality of activities and transactions, and for monitoring the adequacy and effectiveness of these arrangements.</p> <p>The Partnership is also responsible for establishing effective and appropriate internal audit and risk management functions.</p>
<p>Value for money: Value for money is concerned with the appropriate use of resources and ensuring continual improvement of services delivered.</p>	<p>The Partnership has a specific responsibility to ensure that arrangements have been made to secure best value. They are responsible for ensuring that these matters are given due priority and resources, and that proper procedures are established and operate satisfactorily.</p>

Audit strategy

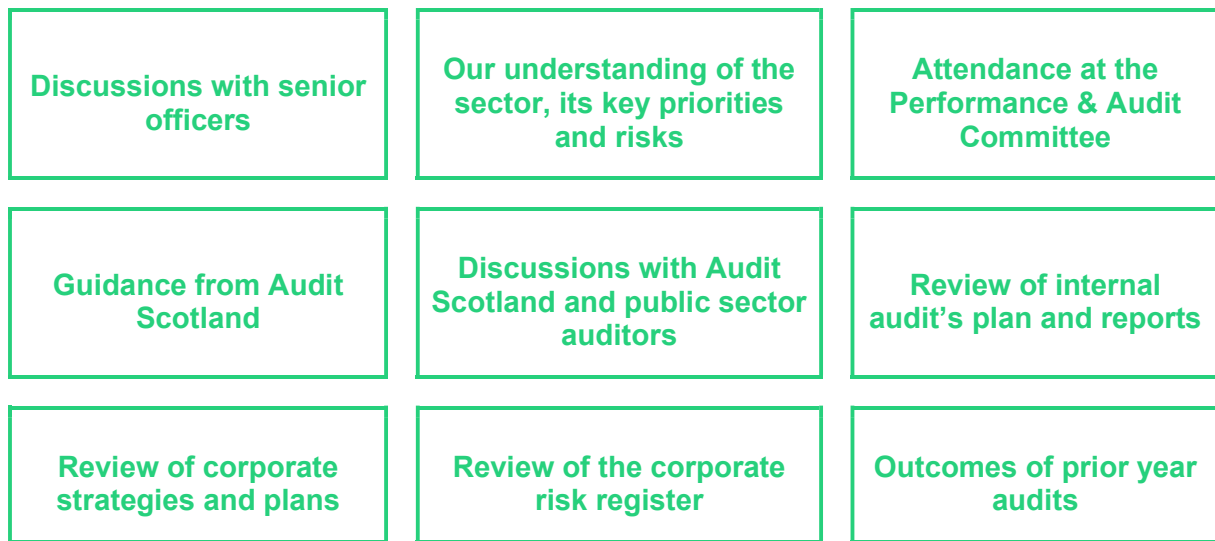


Audit strategy

Risk-based audit approach

22. 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:



23. 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.

Communication with those charged with governance

24. 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 & Audit Committee.

Professional standards and guidance

25. 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

26. We 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 with the public sector.

Audit Scotland

27. Although we are independent of Audit Scotland and are responsible for forming our own views and opinion, we do work closely with Audit Scotland 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 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.
28. Audit Scotland undertakes national performance audits on issues affecting the public sector. We review the Partnership's arrangements for taking action on any issues reported in the national performance reports which may have a local impact. We also consider the extent to which the Partnership uses the national performance reports as a means to help improve performance at the local level.

Internal Audit

29. We will consider the findings of the work of internal audit within our audit process and look to minimise duplication of effort, to ensure the total audit resource to the Partnership is used efficiently and effectively.

Service organisations

30. A number of the constituent local authorities provide services to the

Partnership including financial ledger, payroll and human resources services. Where those services (and associated systems) have a material impact on the annual accounts we will work with those authorities to understand the controls in place over the systems used in delivering these services.

COVID-19 – impact on our 2020/21 audit strategy

31. The COVID-19 pandemic has had, and continues to have, a significant and profound effect on every aspect of Scottish society.
32. We appreciate that different organisations have been impacted differently by COVID-19, as have finance teams, and some organisations are better set up for remote working. We also know that plans can change quickly and it only takes the absence of one key member of staff from a finance team to have a big impact. Equally our own teams may also be impacted by the pandemic. The wellbeing of our clients and our staff is paramount. Maintaining a pragmatic and flexible approach will enable change at short notice as new issues emerge, or current risks change in significance.

Remote working

33. As we do not know when the current restrictions will end, we are planning to carry out our 2020/21 audit remotely. As for 2019/20 we have the following arrangements in place:
 - All of our people have the equipment, technology and systems to allow them to work remotely, including secure access to all necessary data and information.

- All of our staff are fully contactable by email, phone call and video-conferencing.
- All meetings are now held over Skype, Microsoft Teams or by telephone.
- We are keeping all of our staff fully up to date with the latest government guidance in order to keep everyone as safe as possible.

34. If resourcing levels in any part of our business are compromised due to illness or inability to work, we will refocus our teams as necessary to deliver to deadlines. Our teams are holding regular catch ups to allow us to re-prioritise workloads as necessary.

Secure sharing of information

35. We use a cloud-based file sharing service that enables users to easily and securely exchange documents.

Audit evidence

36. Working remotely, does unfortunately result in the audit team requesting audit evidence which we would have previously obtained through other means, for example, face to face meetings or access to systems and client premises.
37. Where required we will consider other ways in which we can obtain audit evidence or carry out alternative audit procedures.
38. We will employ greater use of technology to examine evidence, but only where we have assessed both the sufficiency and appropriateness of the audit evidence produced.

Regular contact

39. During the 'fieldwork' phase of our audit, we will look to agree regular catch-ups with key personnel to discuss the progress of the audit. The frequency of these meetings will be discussed and agreed with management.

Audit reporting

40. It may be likely that the current circumstances lead to more modified opinions in auditor's reports, than would typically have been the case in previous years.
41. Where necessary, we will engage with the Performance & Audit Committee to explain the implications of our proposed report and consider whether there are other procedures that could be undertaken, at a future point yet to be determined which could mitigate any modification either fully or in part.
42. Sufficient time should be set aside by the Performance & Audit Committee to allow for comprehensive, complete and informed communication with the auditor. This will need to take account of the potential for extended communication to explain any modified audit reports, or to report any higher than expected deficiencies or misstatements, that may result from the current circumstances.
43. Audit Scotland uses a system for electronic signatures (DocuSign) that it recommends all bodies use for signing annual accounts.
44. Electronic signatures simplify the process of signing the accounts. Accounts can be signed using any device from any location. There is no longer a need for duplicate copies to be signed, thus reducing the risk of missing a signature and all signatories

have immediate access to a high
quality PDF version of the accounts.

45. We propose using DocuSign in
2020/21 (as was used in 2019/20).

Annual accounts



Annual accounts

Introduction

46. 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

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

Risk-based audit planning

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

Accounting systems and internal controls

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

50. 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.

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

52. Since the start of the pandemic, the risk of fraud and error has increased as the control environment and internal controls change. Potential areas of risk include:

- Public sector staff working under extreme pressure leading to some internal controls suspended or relaxed;
- Procurement fraud or, normal controls being relaxed to allow bodies to buy goods or services which are required urgently, possibly from new suppliers;
- Weakened governance arrangements;
- Admin and finance staff being redeployed to operational areas; and
- Staff working remotely may pose potential security risks e.g. when using personal devices and/or using removable devices to download data.

53. We will update the risk assessment following our evaluation of systems and controls, considering the impact pandemic has had on the Partnership's accounting systems and controls. This will ensure that we continue to focus attention on the areas of highest risk.

54. This work is not for the purpose of expressing an opinion on the effectiveness of internal controls. We will report to the Partnership significant deficiencies in internal controls that we identify during the audit. These matters will be limited to those which we conclude are of

sufficient importance to merit being reported to the Partnership. The scope of our work is not designed to be an extensive review of all internal controls.

Prevention and detection of fraud or error

55. We plan our audit in such a way to obtain reasonable assurance of detecting material misstatements in the annual accounts resulting from fraud or error.
56. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the annual accounts.
57. We will assess the susceptibility of the Partnership's annual accounts to material misstatement, including obtaining an understanding of how fraud might occur, by:
- making enquiries of management as to where they considered there is susceptibility to fraud, their knowledge of actual, suspected and alleged fraud; and
 - considering the internal controls in place to mitigate risks of fraud and non-compliance with laws and regulations.
58. Our work as auditor is not intended to identify any instances of fraud of a non-material nature and should not be relied upon for this purpose. Material misstatements that arise due to fraud

can be harder to detect than those that arise from error as they may involve deliberate concealment or collusion.

Laws and regulations

59. We plan and perform our audit recognising that non-compliance with statute or regulations may materially impact the annual accounts. Our audit procedures include the following:
- Identification of the laws and regulations applicable to the Partnership through enquiries with management, and from our knowledge and experience of the Partnership and the sector;
 - A focus on specific laws and regulations which we consider may have a direct material effect on the annual accounts or the operations of the Partnership;
 - Reviewing minutes of relevant meetings;
 - Enquiring of management and the Partnership's legal representatives the position in relation to litigation, claims and assessments; and
 - Performing detailed testing of transactions and balances.
60. There are however inherent limitations in our audit procedures described above. The more removed that laws and regulations are from financial transactions, the less likely it is that we would become aware of non-compliance.

A final audit of the annual accounts

61. 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.
62. 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 2020/21 (the Code).

Independent auditor’s report

63. 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.
64. We also provide an opinion on the audited part of the remuneration report, annual governance statement and management commentary.

Materiality

65. 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 review our assessment of materiality throughout our audit.
66. Performance materiality is the working level of materiality used throughout the audit. We use performance materiality to determine the nature, timing and extent of audit procedures carried out. We perform audit procedures on all transactions, or group 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.

67. Performance materiality set at a value 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 overall materiality.
68. Our initial assessment of materiality and performance materiality is set out in the table below:

	Materiality £
Overall materiality: Our initial assessment is based on approximately 1.5% of the Partnership’s 2019/20 gross expenditure. We consider this to the principal consideration for the users of the annual accounts when assessing the performance of the Partnership.	31,500
Performance materiality: using our professional judgement we have calculated performance materiality at approximately 75% of overall materiality.	23,625

69. We will report any misstatements identified through our audit that fall into one of the following categories:
- All material corrected misstatements;
 - Uncorrected misstatement with a value in excess of 5% of the overall materiality figure; and

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

Key audit risks in the annual accounts

70. Auditing standards require that we inform the Performance & 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 & Audit Committee if our assessment changes significantly during the audit.

Exhibit 3 – Key audit risks in the annual accounts

Management override

In any organisation, there exists a risk that management have 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*.

71. 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 are valid and accounted for correctly. We will adopt data analytics techniques to review and test aspects of this significant risk. We will assess whether judgements and assumptions made in determining accounting estimates as set out in the annual accounts are indicative of potential bias.

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 income and expenditure transactions in such a way as to lead to a material misstatement in the reported financial position.

72. In respect of the Partnership's funding received as requisition from the constituent local authorities and Scottish Government grant funding, we do not consider the risk of revenue recognition to be significant due to a lack of incentive and opportunity to manipulate transactions of this nature. However, the risk of fraud in relation to revenue recognition is present in all non-government or requisition revenue streams. We will evaluate each material revenue stream, including the controls over revenue accounting. We will conduct substantive testing on all material revenue streams to confirm revenue has been recognised appropriately and in line with accounting policies.

Risk of fraud in the recognition of expenditure

As most public sector bodies are net expenditure bodies, the risk of fraud is more likely to occur in expenditure. There is a risk that expenditure may be misstated resulting in a material misstatement in the financial statements.

73. In response to this risk we will evaluate the significant non-pay expenditure streams and review the controls in place over accounting for expenditure. (Payroll is subject to separate tailored testing). 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. We will review accruals around the year end to consider if there is any indication of understatement of balances held through consideration of accounting estimates.

Pension assumptions (significant accounting estimate)

An actuarial estimate of the pension fund asset/liability 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 date 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. There is a risk that the assumptions used are not appropriate.

74. 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.

Other risk factors

Impact of COVID-19 on the annual accounts

75. Further to the identification of significant audit risks, we also continue to monitor the impact COVID-19 could have on the annual accounts. COVID-19 continues to present unprecedented challenges to the operation, financial management and governance of organisations, including public sector bodies. It is uncertain how long these challenges will persist.
76. We continue to monitor government and relevant announcements as they pertain to the audit and will adapt our audit approach as required.

accounting periods beginning on or after 15 December 2019 places increased regulatory requirements on the auditor in respect of the auditing of significant estimates at the planning and completion stages of the audit.

78. As part of the planning stages of the audit we identify all accounting estimates made by management and determine which of those are significant to the overall annual accounts. Consideration was given to asset valuations, pension assumptions, provisions, depreciation and accruals. Other than pension assumptions we have not determined the accounting estimates to be significant. We will however revisit our assessment during the fieldwork and completion stages of our audit.

Accounting estimates

77. Changes to ISA (UK) 540 - *Auditing Accounting Estimates and Related Disclosures* which is applicable for

Wider scope audit



Wider scope audit

Introduction

79. As described in section 2, the Code of Audit Practice frames a significant part of our wider scope responsibilities. 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 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.
80. Our planned audit work against these two areas is risk based and proportionate. Our initial assessment builds upon the understanding of the Partnership's key priorities and risks which we developed from previous years, along with discussions with management and review of committee minutes and key strategy documents.
81. The risk profile of public bodies for the 2020/21 audits is significantly affected by the COVID-19 pandemic. The pandemic has highlighted the importance of many long-standing issues facing public sector bodies such as the need for good governance, openness and transparency, and effective longer-term planning to deliver better outcomes. The risks and challenges associated with these issues have become greater due to the pandemic.
82. In 2020/21, Audit Scotland has requested that external auditors focus on risks relating to governance and transparency, financial sustainability and counter-fraud arrangements in light of the impact of COVID-19. We will consider these risk areas in the context of our wider scope audit work and include commentary in our annual audit report as appropriate.
83. 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 however is a continuous process and we will report all identified significant risks in our annual audit report.

Exhibit 4 – Wider scope significant risk

Financial sustainability

The Partnership developed a three year financial plan in 2019/20, covering the period 2020/21 to 2022/23. In November 2020, the Partnership approved an updated financial plan detailing the draft 2021/22 budget and an indicative financial plan for 2022/23. Management are currently reviewing and revising these plans to reflect the Local Government Finance Settlement for 2021/22 and to consider indicative plans beyond 2022/23.

The COVID-19 pandemic has presented unprecedented challenges to the operation and financial management of SEStran, primarily through slippage of ongoing projects. SEStran is forecasting an underspend for 2020/21, much of which is earmarked for delivery of projects in 2021/22, and budgets for subsequent years have been reprofiled to reflect the expected level of slippage. This includes a number European Union funded projects which have been extended to 2023.

The Partnership approved a Reserves Policy in 2019/20 and agreed to work towards establishing an unallocated general fund reserve of £29,000, to mitigate core revenue budget risks and provide contingency to cushion the impact of unexpected financial events. The Partnership however sets a balanced budget at the start of each year and therefore will only achieve the target unallocated general fund reserve position through reported underspends in the year. We recommended in our 2019/20 Annual Audit Report that the Partnership should develop a strategy as part of its annual budgeting process, setting out how the unallocated general fund reserve is built up and maintained.

Whilst the financial plan presents a balanced budget for 2021/22 and 2022/23, the achievement of financial targets will depend on continuing tight control and monitoring of income and expenditure. The impacts of COVID-19 on the transport sector are expected to be significant, with uncertainty over how regional transport strategic planning, delivery and operations will need to respond.

84. During our audit we will continue to review whether the Partnership has appropriate arrangements in place to manage its financial position. Our work will include an assessment of progress made in developing financially sustainable plans which reflect the medium and longer term impact of COVID-19 and that continue to support the delivery of the Partnership's statutory functions and strategic objectives.

Audit outputs, timetables and fees



Audit outputs, timetable and fee

Audit outputs

The Local Authority (Capital Finance and Accounting) (Scotland) (Coronavirus) Amendment Regulations 2021 (currently in draft) amend dates set in the Local Authority Accounts (Scotland) Regulations 2014. The amended dates apply to the accounts for the financial year 2020/21 and state that the annual accounts should aim to be approved by 31 October 2021. Audit Scotland has also proposed 31 October for 2020/21 as the provisional submission deadline.

We have set out below target months which align to the Partnership’s schedule of Performance & Audit Committee and Partnership meetings. We will aim to meet these scheduled meetings however this will be monitored during the audit process and may require to be revised to reflect emerging issues as a result of the pandemic.

Audit output	Description	Target month	Deadline for submission to Audit Scotland
External audit plan	This report sets out the scope of our audit for 2020/21.	March 2021	30 April 2021
Independent Auditor’s 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 2021	31 October 2021
Annual Report to the Partnership and the Controller of Audit	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 2021	31 October 2021

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

86. 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

87. Audit Scotland sets an expected fee 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.
88. As auditors we negotiate a fee with the Partnership during the planning process. The fee may be varied above the expected fee level to reflect the circumstances and local risks within the body.
89. For 2020/21 we proposed setting the audit fee at the expected fee level.

	2020/21	2019/20
Auditor remuneration	£8,900	£8,640
Pooled costs	£850	£850
Audit support costs	£490	£520
Total fee	£10,240	£10,010

90. 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

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

FEB 21	●	Planning meeting to inform the 2020/21 audit
MAR 21	●	Presentation of External Audit Plan to the Performance and Audit Committee
JUN 21	●	Unaudited annual accounts presented to those charged with governance
JUL 21	●	Final audit commences
SEP 21	●	Presentation of our Annual Audit Report to the Performance and Audit Committee

Appendices



Appendix 1: Azets

On 7 September 2020, the CogitalGroup of companies (Scott-Moncrieff, Campbell Dallas, Baldwins and Wilkins Kennedy) came together as Azets. Whilst it is a new name, we still deliver the same personal approach to accounting, tax, audit, advisory and business services, digitally and locally.

With over 6,500 advisers and specialists across our office network, we help people and organisations of all shapes and sizes save time, work smarter and achieve their goals. Our job is to give you the support you need so you can focus on what you do best.

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.

Your audit management team



Karen Jones

Director

karen.jones@azets.co.uk

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



Nicola MacKenzie

Manager

nicola.mackenzie@azets.co.uk

Nicola has over 6 years' public sector external audit experience, working with a range of bodies across local government, central government, health and further education sector.

Nicola 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.

In particular, FRC's Ethical Standards stipulate that where an auditor undertakes non audit work, appropriate safeguards must be applied to reduce or eliminate any threats to independence. Azets has not been appointed by the Partnership to provide any non-audit services during the year.

We confirm that we comply with FRC's Ethical Standards. 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 Azets, 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 Azets.

Annual 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 in advance of our final audit visit which sets out our expectations in terms of audit deliverables. This document helps to ensure we can work together effectively to deliver an efficient and effective audit.

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.

Representations

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 annual accounts. 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. In particular we require to be notified of all frauds which:

- Involve the misappropriation of theft of assets or cash which are facilitated by weaknesses in internal control
- Are over £5,000

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.

Anti-money laundering

The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 impose an obligation on the Auditor General to inform the National Crime Agency (NCA) if he knows or suspects that any person has engaged in money laundering or terrorist financing. Audit Scotland has extended this responsibility to the Accounts Commission in respect of local government.

We require the Partnership to notify us on a timely basis of any suspected instances of money laundering so that we can inform Audit Scotland who will determine the necessary course of action.

Ethics

We are bound by the ethical guidelines of our professional body, the Institute of Chartered Accountants in England and Wales.

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 in England and Wales.

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 & 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.

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Revenue Budget 2021/22 and Indicative Financial Plan 2022/23 to 2023/24

1. Introduction

- 1.1 This report presents a revenue budget for 2021/22 and an indicative financial plan for 2022/23 to 2023/24, for approval.

2. Main Report

Scottish Government Budget 2021-22

- 2.1 A one-year Scottish Budget was approved by the Scottish Parliament on 9 March 2021.
- 2.2 Transport Scotland has advised revenue grant funding of £782,000 for 2021/22. This is subject to final confirmation following approval by Parliament of the Scottish Budget. This level of funding represents no change to the current year's grant.

Proposed Revenue Budget 2021/22

- 2.3 Section 3 of the Transport (Scotland) Act 2005, as amended by the Section 122 of the Transport (Scotland) Act 2019 requires the constituent councils of a Regional Transport Partnership to meet the estimated net expenses of the Partnership.
- 2.4 A financial planning report was considered by the Partnership on 20th November 2020. The Partnership noted the financial planning assumptions being progressed for 2021/22 to 2022/23. These assumptions included no change from 2020/21 funding levels for constituent council requisitions and Scottish Government grant.
- 2.5 At the Partnership Board meeting, it was noted the COVID-19 pandemic was presenting unprecedented challenges to the operation, financial management and governance of organisations, including public sector bodies. Core areas of service delivery have been suspended or substantially reduced, systems and processes have been amended to support remote working, arrangements for governance, decision making and performance management have been adapted, and many organisations are forecasting large operating deficits due to loss of income and/or additional cost pressures. Uncertainty remains as to how long these challenges will remain.
- 2.6 Revenue budget development has been progressed, recognising these challenges. The planning assumptions presented to the Partnership on 20th November 2020 have been updated, where required.
- 2.7 A revenue budget with a standstill council requisition of £190,000 has been prepared in consultation with officers of the Partnership and with the Partnership's

Chief Officers Group. Revenue budget lines have been updated to take account of known cost commitments and savings. Planning assumptions have been updated for:

- 2.7.1 estimated staff recharges to projects – these are forecast to be £119,000, a decrease of £32,000 from 2020/21;
- 2.7.2 pay award uplift revised from 3% to 2% (£11,363) and pay increment provision (£5,503);
- 2.7.3 an employer Pension Fund contribution rate of 33.1%, with the fixed contribution sum removed, following confirmation of the outcome of the 2020 Actuarial Valuation;
- 2.7.4 other budget planning assumptions required to reflect current activity.
- 2.8 An analysis of the proposed core budget for 2021/22 and indicative financial plans for 2022/23 to 2023/24 is shown in Appendix 1.
- 2.9 Proposed Projects activity for 2021/22 is shown in Appendix 2(a). Indicative Projects activity for 2022/23 to 2023/24 is shown in Appendices 2(b) and 2(c). The indicative plan presents expenditure and income balanced for each financial year.
- 2.10 Appendix 3 shows all budgeted expenditure and income since 2016/17. Scottish Government grant funding has remained fixed at £782,000 since 2011/12. Council requisitions reduced by 5% in 2017/18 from £200,000 to £190,000.
- 2.11 For 2021/22, external income of £500,000 is anticipated to fund 33% of expenditure.
- 2.12 The 2021/22 Council requisitions, based on the proposed budget are shown in the table below:

Council	Requisition
Clackmannanshire	£6,116
East Lothian	£12,589
Edinburgh	£61,700
Falkirk	£19,080
Fife	£44,255
Midlothian	£10,869
Scottish Borders	£13,717
West Lothian	£21,674
Total	£190,000

- 2.13 In accordance with the provisions of the Transport Scotland (2019) Act, the Partnership has agreed a Reserves Policy. The Partnership is progressing towards establishing an unallocated General Fund reserve of £29,000, based on 5% of the core revenue budget for 2020/21. Following closure of the Annual Accounts 2019/20, an unallocated reserves balance of £12,000 was established. An underspend in the core budget is forecast for 2020/21 and it is anticipated that

this will contribute to meeting the remainder of the unallocated reserves balance. An update is provided in the Finance Officer report, which is included with the papers presented to this meeting.

- 2.14** An earmarked balance of £176,000 has been established to meet slippage on project delivery from 2019/20 to 2020/21.
- 2.15** A risk assessment for 2021/22 is included at Appendix 4.
- 2.16** The Partnership's Performance and Audit Committee reviewed the proposed Core and Projects budget at its meeting on 5th March 2021. For future years financial planning, the Performance and Audit Committee agreed that further consideration be given to the future resource requirement of the Partnership and recommended the Partnership Board endorse this position.

3 Next Steps

- 3.1** Following approval of the proposed budget by the Partnership, requisitions will be issued by the Treasurer to constituent councils.
- 3.2** An update of the Projects budget to reflect any project slippage will be provided to the Partnership, following confirmation of the final outturn for 2020/21 and after conclusion of the Annual Audit.

4 Recommendation

- 4.1** It is recommended that the Partnership:
 - 4.1.1** approves the proposed Core budget for 2021/22, as detailed at Appendix 1;
 - 4.1.2** approves the proposed Projects budget for 2021/22, as detailed at Appendix 2(a);
 - 4.1.3** notes that financial planning for 2022/23 to 2023/24 will be developed throughout 2021 for review by the Partnership in December 2021;
 - 4.1.4** agreed the recommendation of the Performance and Audit Committee that, for future years financial planning, further consideration be given to the future resource requirement of the Partnership;
 - 4.1.5** note that the proposed budget is subject to a number of risks. 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

- 5.1** [Financial Planning 2021/22 to 2022/23 - report to Partnership Board 20th November 2020](#)

Hugh Dunn
Treasurer
19th March 2021

Appendix Appendix 1 – Core Budget 2021/22 and Indicative Budget 2022/23 to 2023/24

Appendix 2(a) – Projects – 2021/22

Appendix 2(b) - Projects - Indicative Activity 2022/23

Appendix 2(c) – Projects – Indicative Activity 2023/24

Appendix 3 - SEStran Budget 2016/17 – 2023/24

Appendix 4 - Risk Assessment 2021/22

Contact 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 equality implications arising as a result of this report.
Climate Change Implications	There are no climate change implications arising as a result of this report.

**Proposed Core Budget 2021/22 and Indicative Budget
2022/23 to 2023/24**

Appendix 1

	Approved Budget 2020/21	Proposed Budget 2021/22	Indicative Budget 2022/23	Indicative Budget 2023/24
	£000	£000	£000	£000
Employee Costs				
Salaries	386	400	414	428
National Insurance	42	44	46	48
Pension Fund	101	131	135	140
Recharges	(151)	(119)	(55)	(55)
Training & Conferences	10	10	10	10
Interviews & Advertising	2	2	2	2
	390	468	552	573
Premises Costs	16	17	17	17
Transport	9	8	8	8
Supplies and Services				
Communications & Computing	48	48	48	48
Hosted ICT – Novus FX	42	44	44	44
Printing, Stationery & General Office Supplies	6	7	7	7
Insurance	4	6	6	6
Equipment, Furniture & Materials	1	1	1	1
Miscellaneous Expenses	4	3	3	3
	105	109	109	109
Support Services				
Finance	30	30	30	30
Legal Services / HR	7	7	7	7
	37	37	37	37
Corporate & Democratic				
Clerks Fees	12	12	12	12
External Audit Fees	11	11	11	11
Members Allowances and Expenses	1	1	1	1
	24	24	24	24
Interest	0	0	0	0
Total Gross Expenditure	581	663	747	768
Funding				
Scottish Government Grant	(391)	(473)	(557)	(578)
Council Requisitions	(190)	(190)	(190)	(190)
Total Funding	(581)	(663)	(747)	(768)

Projects - Proposed Activity 2021-22
Appendix 2(a)

	2020/21	2021-22			
Service	Approved Budget £'000	Gross Expenditure £'000	Income £'000	Net Expenditure £'000	Activity
Sustainable Travel	40	69	0	69	
Urban Cycle Network	0	100	(100)	0	100% funded by Sustrans.
Urban Cycling Officer	32	34	0	34	Cycling Scotland representation
Active Travel Fund	0	200	(200)	0	
RTS Development	141	80	0	80	Re-draft of Regional Transport Strategy – external expertise
GO e-BIKE	38	20	0	20	
Thistle Assistance	0	30	(24)	6	
Consultancy support -COVID-19	0	25	0	25	
Equalities Action Forum	0	3	0	3	
EU – Funded Projects					
Share North	23	0	0	0	Ends December 2021
Surflogh	25	50	(25)	25	Ends April 2022
Bling	19	26	(13)	13	Ends December 2022
Primaas	9	60	(51)	9	Phase 1 ends January 2022 (main activities)
Connect	24	34	(17)	17	Ends February 2023
Local Rail Development Fund					
Leith Docks	0	55	(55)	0	
Real-Time Passenger Information System (RTPI)					
Maintenance	50	23	0	23	Reduction in cost, following contract re-procurement
Income	(10)	0	(15)	(15)	Bus Operators income
Total	391	809	(500)	309	

Projects - Indicative Activity 2022-23

Appendix 2(b)

	2021/22	2022-23			
Service	Indicative Budget £'000	Gross Expenditure £'000	Income £'000	Net Expenditure £'000	Activity
Sustainable Travel	69	109	0	109	
Urban Cycle Network	0	100	(100)	0	100% funded by Sustrans.
Urban Cycling Officer	34	35	0	35	Cycling Scotland representation
Active Travel Fund	0	200	(200)	0	
RTS Development	80	18	0	18	Re-draft of Regional Transport Strategy – external expertise
GO e-BIKE	20	10	0	10	
Thistle Assistance	6	30	(24)	6	
Consultancy support -COVID-19	25	0	0	0	
Equalities Action Forum	3	10	0	10	
EU – Funded Projects					
Surflogh	25	2	(1)	1	Ends April 2022
Bling	13	26	(13)	13	Ends December 2022
Primaas	9	10	(8)	2	Phase 1 ends January 2022 (main activities)
Connect	17	32	(16)	16	Ends February 2023
Local Rail Development Fund					
Leith Docks	0	0	0	0	
Real-Time Passenger Information System (RTPI)					
Maintenance	23	25	0	25	
Income – screens	(15)	0	(20)	(20)	Bus Operators income
Total	309	607	(382)	225	

Projects - Indicative Activity 2023-24

Appendix 2(c)

	2022/23	2023-24			
Service	Indicative Budget £'000	Gross Expenditure £'000	Income £'000	Net Expenditure £'000	Activity
Sustainable Travel	109	100	0	100	
Urban Cycle Network	0	100	(100)	0	100% funded by Sustrans.
Urban Cycling Officer	35	35	0	35	Cycling Scotland representation
Active Travel Fund	0	200	(200)	0	
RTS Development	18	18	0	18	Re-draft of Regional Transport Strategy – external expertise
GO e-BIKE	10	10	0	10	
Thistle Assistance	6	30	(24)	6	
Consultancy support -COVID-19	0	0	0	0	
Equalities Action Forum	10	10	0	10	
EU – Funded Projects					
Surflogh	1	0	0	0	Ends April 2022
Bling	13	0	0	0	Ends December 2022
Primaas	2	0	0	0	Phase 1 ends January 2022 (main activities)
Connect	16	0	0	0	Ends February 2023
Local Rail Development Fund					
Leith Docks	0	0	0	0	
Real-Time Passenger Information System (RTPI)					
Maintenance	25	25	0	25	
Income – screens	(20)	0	0	0	
Total	225	528	(324)	204	

SEStran Budget 2016/17 – 2023/24

	16/17	17/18	18/19	19/20	20/21	21/22	22/23	23/24
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Core	551	478	531	584	581	663	747	768
Projects	725	510	614	590	1,030	786	582	503
RTPI	344	339	108	100	50	23	25	25
Total Budget	1,620	1,327	1,253	1,274	1,661	1,472	1,354	1,296
External Funding								
EU Grants	152	95	139	82	142	106	38	0
Other income	486	260	142	220	547	394	344	324
Total External Funding	638	355	281	302	689	500	382	324
Scottish Government	782	782	782	782	782	782	782	782
Council Requisition	200	190	190	190	190	190	190	190
Total Funding	1,620	1,327	1,253	1,274	1,661	1,472	1,354	1,296

Risk Description	Existing Controls
<p>Pay awards The indicative budget makes provision for a pay award of up to 2% in 2021/22. An uplift of 1% in pay award equates to an increase of £5,681.</p>	<p>Alignment with Scottish Local Government pay award.</p>
<p>Staff recharges – Projects The indicative budget assumes that £119,000 of staff time can be recharged to Projects. There is a risk this may not be achievable.</p>	<p>Any shortfall in employee cost recharges will be offset by a corresponding reduction in Projects Budget expenditure.</p>
<p>Inflation There is a risk that the indicative budget does not adequately cover price inflation and increasing demand for services.</p>	<p>Allowance made for specific price inflation. Budgets adjusted in line with current cost forecasts.</p>
<p>Delays in payment of grant by the EU - results in additional short-term borrowing costs.</p>	<p>SEStran grant claims for EU funded projects are submitted in compliance with requirements of EU processes to ensure minimal delay in payment. Ongoing monitoring of cash flow will be undertaken to manage exposure to additional short-term borrowing costs.</p>
<p>Pension Fund Contributions The deficit on the staff pension fund could lead to increases in the employer's pension contribution.</p>	<p>Following Lothian Pension Fund's Triennial Actuarial Review in 2020, Partnership employer pension fund contribution rates are now confirmed at 33.1% until 31 March 2024. This rate is included in the proposed budget for 2021/22.</p>
<p>Funding Reductions Reduction in funding from Scottish Government and/or council requisitions.</p> <p>There is a risk that current levels of staffing cannot be maintained due to funding constraints and that the Partnership will incur staff release costs.</p>	<p>Continue to seek to source external funding.</p> <p>Recruitment control and additional sources of external funding for activities aligned to the Partnership's objectives to supplement resources.</p>

Finance Officer's Report

1. Introduction

- 1.1** This report presents the second update on financial performance of the Core and Projects budgets of the Partnership for 2020/21, in accordance with the Financial Regulations of the Partnership. This report presents an analysis of financial performance to the end of January 2021.
- 1.2** The Partnership's budget for 2020/21 was approved in March 2020, using the authority delegated by paragraph 40 "Items of Urgency" of the Board's Standing Orders. This followed cancellation of the Board meeting of 20th March 2020, due to the COVID-19 pandemic.

2. Core Budget

- 2.1** The Core budget provides for the day-to-day running costs of the Partnership and includes employee costs, premises costs and supplies and services. The approved Core budget is £581,000. Details of the Core budget is provided in Appendix 1.
- 2.2** Cumulative expenditure for the ten months to 31st January 2021 was £456,000. This is within the Core budget resources available for the period.
- 2.3** Estimates have been updated to reflect current expenditure commitments. At the end of January 2021, it is projected that expenditure for the year will be £27,000 less than budget, mainly due to underspends on ICT equipment, staff travel, conference and training budgets.

Projects Budget

- 2.4** The approved Projects budget is detailed in Appendix 2.
- 2.5** Following conclusion of the 2019/20 external audit, the Partnership carried forward an earmarked balance of £0.176m, reflecting expenditure slippage on projects in 2019/20.
- 2.6** Net expenditure to 31st January 2021 was £447,000.
- 2.7** Net expenditure on projects in 2020/21 is forecast to be £89,000 less than budget, when account is taken of the earmarked balance brought forward due to project slippage in 2019/20. Project slippage of £95,000 is forecast on development of the Regional Transport Strategy for 2020/21.

Cash Flow

- 2.8** As previously noted at Partnership 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 and 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	Balance due to SEStran(+ve) /due by SEStran (-ve)
	£
30 April 2020	-£250,907
31 May 2020	+£365,848
30 June 2020	-£490,382
31 July 2020	+£307,968
31 August 2020	+£356,087
30 September 2020	+£339,361
31 October 2020	+£329,078
30 November 2020	+£240,805
31 December 2020	+£184,884
31 January 2021	+£131,604

- 2.9** Interest is charged/paid on the month end net indebtedness balances between the Council and the Partnership. Interest will be calculated in March 2021.
- 2.10** The positive cash flow is attributable to funding received from Scottish Government grant and Council requisitions.

Reserves

- 2.11** In March 2020, a Reserves Policy was approved under delegated authority per paragraph 40 "Items of Urgency" of the Board's Standing Orders.
- 2.12** The Policy recommends establishment of an unallocated General Reserve of £29,000, based on 5% of the Partnership's core revenue budget. £12,000 of this balance was established following confirmation of the 2019/20 outturn
- 2.13** Following confirmation of the final outturn for 2020/21 and after conclusion of the Annual Audit, it is recommended that the core budget outturn underspend be used as a further contribution towards establishment of the full level of unallocated General Fund reserve of £29,000. Based on the current forecast, the unallocated General Reserve balance of £29,000 would be achieved.

2.14 The Reserves Policy recommends that where slippage occurs on approved revenue projects, the balance of slippage is retained as an earmarked balance.

2.15 The current forecast underspend of £89,000 on the Projects budget principally reflects slippage on development of the Regional Transport Strategy. Subject to confirmation of the final outturn for 2020/21 and after conclusion of the Annual Audit, it is anticipated this slippage will be carried forward to 2021/22.

3 Recommendations

It is recommended that the Partnership notes:

3.1 the forecast underspend on the Core revenue budget of £27,000;

3.2 subject to confirmation of the final outturn for 2020/21 and after conclusion of the Annual Audit, it is anticipated the core budget underspend will be applied as a further contribution towards establishment of an unallocated General Fund reserve of £29,000;

3.3 the forecast underspend of £89,000 on the Projects budget which principally reflects slippage on development of the Regional Transport Strategy;

3.4 subject to confirmation of the final outturn for 2020/21 and after conclusion of the Annual Audit, it is anticipated slippage on the Projects budget will be carried forward to 2021/22.

Hugh Dunn

Treasurer

19st March 2021

Appendix Appendix 1 – Core Budget Statement at 31st January 2021
Appendix 2 – Projects Budget as at 31st January 2021

Contact iain.shaw@edinburgh.gov.uk

Policy Implications	There are no policy implications arising as a result of this report.
Financial Implications	There are no financial implications arising as a result of this report.
Equalities Implications	There are no equality implications arising as a result of this report.
Climate Change Implications	There are no climate change implications arising as a result of this report.

Core Budget 2020/21 – as at 31st January 2021

Appendix 1

	Annual Budget £'000	Period Budget £'000	Period Actual £'000	Annual Forecast £'000	Forecast Variance £'000
Employee Costs					
Salaries	386	321	327	391	5
National Insurance	42	35	35	42	0
Pension Fund	101	84	99	117	16
Recharges – Projects	(151)	(99)	(114)	(169)	(18)
Training & Conferences	10	8	0	1	(9)
Interviews & Advertising	2	2	0	0	(2)
	390	351	347	382	(8)
Premises Costs					
Office Accommodation	16	16	17	17	1
Transport					
Staff Travel	9	8	0	1	(8)
Supplies and Services					
Communications & Computing	48	40	25	38	(10)
Hosted Service - Novus FX	42	42	44	44	2
Printing, Stationery & General Office Supplies	6	5	8	9	3
Insurance	4	4	6	6	2
Equipment, Furniture & Materials	1	1	0	1	0
Miscellaneous Expenses	4	3	2	2	(2)
	105	95	85	100	(5)
Support Services					
Finance	30	0	0	30	0
Legal Services / HR	7	3	3	7	0
	37	3	3	37	0
Corporate & Democratic					
Clerks Fees	12	0	0	12	0
External Audit Fees	11	0	4	11	0
Members Allowances and Expenses	1	1	0	0	(1)
	24	1	4	23	(1)
Total Expenditure	581	474	456	560	(21)
Funding:					
Scottish Government Grant	(391)	(338)	(338)	(391)	0
Council Requisitions	(190)	(190)	(190)	(190)	0
Other	0	0	(6)	(6)	(6)
Total Funding	(581)	(528)	(534)	(587)	(6)
Net Expenditure/ (Income)	0	(54)	(78)	(27)	(27)

Projects Budget 2020/21 - as at 31st January 2021

Appendix 2

	Approved Budget	Balance from 19/20	EU /Other Grant	Net Expenditure Budget	Period Actual	Annual Forecast	Forecast Variance
	£'000		£'000	£'000	£'000	£'000	£'000
EU Projects							
Share-north	46	11	(23)	34	21	13	(21)
Regio-mob	0		0	0	(6)	(6)	(6)
Surflogh	50	(4)	(25)	21	69	21	0
Bling	38	2	(19)	21	39	21	0
Primaas	60	(2)	(51)	7	29	5	(2)
Connect	48		(24)	24	15	10	(14)
Total EU Projects	242	7	(142)	107	167	64	(43)
RTPI	12	59	(10)	61	27	79	18
Active Travel Fund	200		(200)	0	79	0	0
Leith Docks and Newburgh (LRDF)	150		(150)	0	(34)	0	0
Regional Transport Strategy	141	38	0	179	32	84	(95)
Sustainable Travel:	40	72	0	112	94	137	25
GO e-Bike	38		0	38	49	19	(19)
Urban Cycle Networks	132		(100)	32	0	51	19
Projects Consultancy Support	38		0	38	27	38	0
Equalities Action Forum	0		0	0	1	1	1
Thistle Assistance	0		0	0	5	5	5
Total	993	176	(602)	567	447	478	(89)

ANNUAL TREASURY MANAGEMENT STRATEGY

1 Purpose of report

- 1.1 The purpose of this report is to propose a Treasury Management Strategy for 2021/22.

2 Annual Treasury Management 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. If interest rates are negative the Board won't be charged for positive or negative balances, interest will be floored at zero.

3 Recommendations

- 3.1 It is recommended that the Partnership approve the Annual Treasury Management Strategy, as detailed in Appendix 1.

Hugh Dunn
Treasurer

Appendix Appendix 1 - Annual Treasury Management Strategy

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

APPENDIX 1

Annual Treasury Management 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 Partnership therefore adopts the Treasury Management Practices of the City of Edinburgh Council. The Partnership'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 and 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 the Partnership's investments are variable rate, and subject to movement in interest rates during the period of the investment.

Review of Governance Scheme March 2021**1. INTRODUCTION**

- 1.1 This report seeks approval of amendments of SEStran's Governance Scheme, appended to this report.

2. BACKGROUND

- 2.1 The Review of SEStran's Governance Scheme has taken place at regular intervals over recent years, specifically August 2017, June 2018, October 2018 and September 2019.

- 2.2 The Scheme contains 6 parts and is now due for review.

Part 1: Standing Orders
Part 2: List of Committee Powers
Part 3: List of Officer Powers
Part 4: Financial Rules
Part 5: Contract Standing Orders
Part 6: Corporate Procurement Policy

3. GOVERNANCE SCHEME**Part 1: Standing Orders**

- 3.1 The current Covid-19 pandemic has highlighted a small number of areas for improvement within SEStran's Standing Orders, specifically relating to submitting documentation electronically.

- 3.2 The report also proposes changes to Standing Orders to remove reference to the pre-2007 period and a minor amendment in relation to non-council member appointment terms to reflect the RTP Guidance on Membership. A small number of minor wording changes have also been proposed.

Part 2: List of Committee Powers

- 3.3 There is a minor change proposed in Part 2 to rectify a grammatical error under the remit of the Succession Planning Committee.

Part 3: List of Officer Powers

- 3.4 Minor changes are proposed to update terminology. Specifically; at 7.1 reflecting updated job titles, incorporating the introduction of the Senior Partnership Manager role; numbering errors have been corrected at paragraph 5.1 and 5.10, and the move to an Annual Treasury Management Strategy has been reflected at paragraph 5.9.

- 3.5

The is also a proposed change to move the power to *accept tenders in terms of Contract Standing Orders* from the solicitor to the Partnership Director.

3.6 Part 4: Financial Rules

A short paragraph on the use of purchase cards is proposed. A small number of minor grammatical changes are also proposed.

3.7 Part 5: Contract Standing Orders

The Contract Standing Orders have been amended to reflect changes to the law following EU withdrawal, recognition that tendering is almost exclusively electronic now (removing the requirement for the lengthy schedules on hard copy tendering process) and increasing the de minimis limit for getting quotes from £2,000 to £5,000.

Part 6: Corporate Procurement Policy

3.8 No amendments are proposed for this section.

4. RECOMMENDATIONS

4.1 The Board is asked to:

- Repeal and approve the governance documents appended to the report to take effect from 20 March 2021;
- Delegate approval to the Secretary to make any such amendments necessary to the Governance documentation to implement the decision of the Board.

Gavin King
Secretary
12th March 2020

Appendix 1: Governance Scheme

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

SESTRAN GOVERNANCE SCHEME

Document Version Control – Governance Scheme

Date	Author	Version	Status	Reason for Change
Aug 2017	Andrew Ferguson	1.0	Board Approval	Implementation
Oct 2018	Andrew Ferguson	1.1	FINAL	Adoption of version control
June 2018	Gavin King	1.2	FINAL	Standing Orders: Internal Audit recommendations adopted.
Sept 2019	Gavin King	1.3	FINAL	List of Committee Powers: Chair not permitted to substitute for representatives of Performance and Audit Committee.
March 2021	Gavin King	1.4	FINAL	Changes to Parts 1, 2, 3, 4 and 5. (Refer to each document for details)

Introduction

The SEStran Governance Scheme collects together the key documents which form the basis for South East Scotland Transport Partnership's (SEStran's) decision making. It is made up of the following documents:

Part 1: Standing Orders

Meetings of the Partnership and its committees should be conducted in line with its standing orders, which are procedural rules covering such issues as who chairs the meeting, how debate is conducted, and how votes are taken.

Part 2: List of Committee Powers

Whilst some SEStran's decisions need to be taken by the Partnership Board, i.e. a meeting of all its Members, others are delegated to specific committees. This document sets out the framework for decision making by the Partnership and its committees.

Part 3: List of Officer Powers

Whilst major issues of policy and strategy are decided by Members at the Board or elsewhere in the committee framework, many day to day decisions are left to officers. This document sets out the type of decisions which officers can take, and what consultation they should carry out before doing so.

Part 4: Financial Rules

This document covers the essential rules by which SEStran deals with its financial affairs, often in line with recommendations from Audit Scotland.

Part 5: Contract Standing Orders

In its day to day operation, the SEStran enters into many contracts for goods, services and supplies with others. This document sets out the rules by which SEStran tenders for such contracts in line with procurement law.

Part 6: Corporate Procurement Policy

The Corporate Procurement Policy builds on the framework set out by the Contract Standing Orders and ensures that SEStran procures goods and services in a transparent, equality-focused manner.

**Standing Orders of
The South-East of Scotland Transport
Partnership**

As amended **March 2021**

Deleted: June 2018

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Part 1: Standing Orders

Document Version Control – Standing Orders

Date	Author	Version	Status	Reason for Change
Aug 2017	Andrew Ferguson	1.0	Board Approval	Implementation
Oct 2017	Andrew Ferguson	1.1	Amended	Adoption of version control
June 2018	Gavin King	1.2	Amended	Implementation of Internal audit recommendations
<u>March 2021</u>	<u>Gavin King</u>	<u>1.3</u>	<u>Amended</u>	<u>Update to include submission of documentation electronically and removal of references to pre-2007 period</u>

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Part 1: Standing Orders

Definitions

1. In these Standing Orders the following words and expressions have the following meanings:
 - "1973 Act" means the Local Government (Scotland) Act 1973 as amended;
 - "The 2005 Act" means the Transport (Scotland) Act 2005;
 - "The 2005 Order" means the Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005;
 - "constituent council" means constituent local authority as listed in paragraph 4;
 - "The Partnership" means the South-East of Scotland Transport Partnership;
 - "Chairperson" means the Chairperson of the South-East of Scotland Transport Partnership;
 - "Deputy Chairperson" means any deputy chairperson of the South-East of Scotland Transport Partnership;
 - "Partnership Director" means the officer appointed as Partnership Director by the Partnership and the "Treasurer", "Secretary", "Solicitor", and "Estates Functions Officer" similarly refer to officers as appointed by the Partnership;
 - "appropriate officer", as contained in these Standing Orders refers to any of the appointed officers of the Partnership;
 - "councillor member" in reference to the Partnership means a member appointed by the constituent councils, that is the City of Edinburgh, Clackmannanshire, East Lothian, Falkirk, Fife, Midlothian, Scottish Borders and West Lothian Councils.
 - "non-councillor member" means a member not appointed as a councillor member, that is to say, a member appointed by the Scottish Ministers in the first year of operation of the Partnership, and thereafter by the Partnership with the approval of the Scottish Ministers.
 - "working day" means any day which is not a Saturday, a Sunday, or a public holiday in any part of the area for which the Partnership is responsible.
 - "Governance Scheme" means the suite of governance documents for SEStran from time to time in force of which these standing orders form part, including the List of Committee Powers, List of Officer Powers, Financial Rules, Contract Standing Orders, and any other documents which the Partnership deems necessary for the proper governance of the organisation.

2./

Part 1: Standing Orders

2. Applying the Interpretation Act

The Interpretation Act 1978 applies to these Standing Orders in the same way as it applies to an Act of Parliament.

3. Commencement

These Standing Orders will apply from 22nd September, 2017. They shall constitute the Standing Orders of the Partnership under paragraph 6(5) of Schedule 2 of the 2005 Order, until otherwise amended or revoked.

4. The Partnership - Constitution

The Partnership was established under the 2005 Act and the 2005 Order which came into effect on 1 December 2005. The Order specifies the functions of the Partnership and its powers.

The Partnership is constituted under section 1(1) of the 2005 Act and comprises (Firstly) representatives of the constituent councils, as follows:-

Council	Member	Weighting of votes
The City of Edinburgh Council	5 members	2x
Clackmannanshire Council	2 members	1x
East Lothian Council	2 members	1x
Falkirk Council	2 members	2x
Fife Council	3 members	2x
Midlothian Council	2 members	1x
Scottish Borders Council	2 members	1x
West Lothian Council	2 members	2x

and (Secondly), between 7 and 9 other members.

5. Appointment of Members and Other Membership Arrangements

The provisions of paragraphs 1 and 2 of Schedule 2 of the 2005 Order are set out below at paragraph 6 and shall be held to be incorporated into these Standing Orders, subject always to:-

- such amendments, deletions or additions as may be made to the relevant part of the 2005 Order from time to time
- such minor amendments made herein for cross-referencing purposes, and
- such additional provisions as are set out in these Standing Orders insofar as the same do not contradict the requirements of the 2005 Order.

6. Appointment of members and other matters

6.1./

Part 1: Standing Orders

6.1 Appointment of Members

- (1) The Partnership shall have the number of councillor members appointed by and from each constituent council of the Partnership specified in Paragraph 4 of these Standing Orders opposite the name of that council (as shown in the second column).
- (2) The Partnership shall have such number of other members as they consider appropriate within the range specified in Paragraph 4, and each such member shall be appointed in accordance with sub paragraph (4) below.
- (3) ~~Each such other member shall be appointed by the Partnership, subject to the consent of the Scottish Ministers, in line with the policies from time to time in force, including those related to equality of opportunity.~~
- (4) Each such other member shall be appointed by the Partnership, subject to the consent of the Scottish Ministers, in line with the policies from time to time in force, including those related to equality of opportunity.
- (5) The Partnership and the Scottish Ministers may each appoint such number of observers as they consider appropriate to the Partnership.
- (6) Observers may participate in proceedings of the Partnership in the same manner as councillor members and other members but may not hold office in it or participate in its decisions.
- (7) A person shall be disqualified from being appointed as a member or observer of the Partnership if that person is an employee of the Partnership.
- (8) Subject to sub paragraph (9) below, each constituent council of the Partnership shall:-
 - (a) at the first meeting of that council taking place after each ordinary election appoint as councillor members of the Partnership the number of persons specified in Paragraph 4 in respect of that constituent council; and
 - (b) on a vacancy occurring due to a person appointed by that council ceasing to be a member of the Partnership in the circumstances described in paragraph 6.2(2) to (6) below, appoint another person in that person's place unless the council, having regard to the length of time until the next ordinary election, consider it unnecessary to do so.
- (9)

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Deleted: During the period ending with the holding of the poll at ordinary elections for councillors in 2007, each such other member shall be appointed by the Scottish Ministers....

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Part 1: Standing Orders

- (
- (10) As soon as possible after making the first appointment of councillor members each constituent council of the Partnership shall intimate in writing to the Secretary, the names of those persons appointed.
 - (11) Each constituent council may appoint persons as substitute councillor members to attend meetings of the Partnership, or of any of its committees or sub committees, in the absence of any councillor members appointed to the Partnership by that council, and where any such substitute councillor members are appointed:-
 - (a) only one substitute councillor member may attend in place of a councillor member who is absent; and
 - (b) the substitute councillor member shall have the same powers as the councillor member who is absent.
 - (12) Any person appointed as a councillor member, or substitute councillor member, of the Partnership must be a councillor for the area of the constituent council making the appointment.
 - (13) A constituent council shall intimate in writing to the Secretary of the Partnership:-
 - (a) as soon as possible after appointing any person as a councillor member or substitute councillor member of the Partnership, the name of that person; and
 - (b) as soon as possible after a vacancy has occurred due to a person appointed by that council ceasing to be a councillor member or substitute councillor member of the Partnership in the circumstances described in paragraph 6.2(2) or (4) below, the name of that person.
 - (14) The proceedings of the Partnership shall not be invalidated by any vacancy or vacancies among its members or by any defects in the method of appointment of any of its members.

Deleted: 9) The first appointment of councillor members of the Partnership established under this Order shall be made by each constituent council as soon as is practicable after the coming into force of this Order and at the latest by a month after the coming into force of this Order....

Duration and termination of membership

- 6.2.**
- (1) Subject to sub paragraphs (2) to (6) below, any person appointed by a constituent council as a councillor member of the Partnership shall hold office until the first meeting of that council held after the next ordinary election following the date of that member's appointment.
 - (2) If, prior to the next ordinary election following the date of the member's appointment, a councillor member of the Partnership ceases to be a councillor for the area of the constituent council which appointed the

Part 1: Standing Orders

member, the member shall immediately cease to be a member of the Partnership.

- (3) A councillor member of the Partnership may resign their membership at any time by written intimation to that effect to:-
 - (a) the Secretary of the Partnership; and
 - (b) the constituent council which appointed the councillor member.
- (4) A constituent council may at any time terminate the membership of any person appointed by them as a councillor member of the Partnership if, immediately prior to this, the constituent council provides an explanation for the termination by written intimation to the Secretary of the Partnership, the Chairperson of the Partnership and that councillor member.
- (5) The Chairperson of the Partnership, following a vote to that effect by the Partnership, may write to a constituent council and request that the council terminates the membership of a councillor member.
- (6) Where the Chairperson of the Partnership writes to a constituent council in terms of sub paragraph (5) above, such a request shall not be refused unreasonably by the constituent council.
- (7) Subject to sub paragraphs (8) to (9) below, other members and observers appointed by the Partnership, or the Scottish Ministers as the case may be, shall hold office for a period of 4 years following the date of their appointment unless otherwise specified at the time of their appointment, or subsequently agreed by the Partnership. There is no limit to the number of times other members can be appointed, or the number of years he or she can serve. However, a balance between continuity and refreshment should be struck.
- (8) Other members of the Partnership and observers may resign their membership at any time by written intimation to that effect to the Secretary of the Partnership.
- (9) The Partnership may remove other members from office or observers if it is satisfied that:-
 - (a) the other member's or observer's estate has been sequestrated or the other member or observer has been adjudged bankrupt, has made an arrangement with creditors or has granted a trust deed for creditors or a composition contract; or
 - (b)/
 - (b) the other member or observer:-

Part 1: Standing Orders

- (i) is incapacitated by physical or mental illness;
- (ii) has been absent from meetings of the Partnership for a period exceeding whichever is the longer of (a) three consecutive months or (b) two consecutive meetings of the full Partnership, such period starting from the date of any meeting, without the permission of the Partnership; or
- (iii) is otherwise unable or unfit to discharge the member's functions as a member or is unsuitable to continue as an other member or observer.

Voting arrangements of Partnerships

- 6.3.** (1) Where any decision of the Partnership is to be determined by a vote, each councillor member of the Partnership has a single vote and may vote on all matters.
- (2) Non-councillor members may vote on all matters with the exception of
- (a) questions arising under s.3(2)(a) of the 2005 Act, or on whether or not to make a request for the making of an order under s.10(1) of that Act, or any other matter excluded by law ;
 - (b) those matters which would require expenditure outwith the Partnership's existing, approved budget;
- declaring that, in interpreting such exclusions, they will be so interpreted so as to give non-councillor members as full participation in decision-making as practicable.
- (3) Subject to sub paragraphs (4) and (5) below, where any decision of the Partnership is to be determined by a vote, it shall be determined by a simple majority of the votes cast.
- (4)/ Each councillor member of each constituent council within the Partnership shall have their vote weighted by making it count as one, two, three or four votes as specified in the third column of Paragraph 4.
- (5) The Partnership may determine by a two-thirds majority of the votes cast, subject to sub paragraph (4) above, to amend these Standing Orders to require that certain specified decisions be determined by a two thirds majority of the votes cast.

Chairpersons/

Chairpersons and Deputy Chairpersons

Part 1: Standing Orders

- 6.4. (1) The Partnership shall appoint from its membership a Chairperson and such number of Deputy Chairpersons as they consider appropriate. The Chairperson and Deputy Chairpersons shall each be from different Councils.
- (2) Subject to sub paragraph (3) below, the Chairperson and Deputy Chairpersons of the Partnership shall each hold office for a period to be determined by the Partnership not exceeding two full council terms.
- (3) If, prior to the end of their period of appointment, a Chairperson or Deputy Chairperson of the Partnership ceases to be a member of the Partnership, they shall immediately cease to hold office.
- (4) The Chairperson, or in the Chairperson's absence a Deputy Chairperson, shall preside at all meetings of the Partnership, but where both the Chairperson and all Deputy Chairpersons are absent from any meeting the members present shall appoint a Chairperson for that meeting.
- (5) In the event of an equality of votes at a meeting, the Chairperson of that meeting shall, subject to sub paragraph (6) below, have a casting vote as well as a deliberative vote.
- (6) Where there is an equality of votes at a meeting and the matter which is the subject of the vote relates to the appointment of a member of the Partnership to any particular office, committee or sub committee of the Partnership, the decision shall be by lot. Reference is also made to paragraph 28 on method of voting
- (7) In the event of the Chair of the Performance & Audit Committee not being present, the Committee will appoint a temporary chair until the Chair returns or a new Chair is appointed.

Secretary of Partnership

- 6.5. The Partnership shall appoint a Secretary, a Treasurer, an Estates Functions Officer and a solicitor any of whom may also be an officer of one of the constituent councils.

Meetings and quorum

- 6.6. (1) ~~the Partnership shall hold such meetings as it shall consider necessary for it to carry out its functions at such place or places as it may from time to time fix. Reference is made to paragraphs 8 to 40 for further provisions relating to meetings.~~
- (2) the Partnership shall hold such meetings as it shall consider necessary for it to carry out its functions at such place or places as it may from time to time fix. Reference is made to paragraphs 8 to 40 for further provisions relating to meetings.

Deleted: The first meeting of the Partnership shall be held as soon as is practicable after the Partnership is established, and the Chief Executive or equivalent position of City of Edinburgh Council shall be responsible for its arrangement.

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Part 1: Standing Orders

- (3) The secretary of the Partnership shall send copies of the minutes of all its meetings to each of the constituent councils for their information. Reference is made to paragraphs 21 and 22 for further provisions relating to minutes of meetings.
- (4) At a meeting of the Partnership one third of all members of the Partnership is a quorum.
- (5) If, at any time during a meeting, a question arises on whether there is a quorum, the Chairperson shall instruct a count of the members who are present. If a quorum of members is not present, then the meeting shall be adjourned to a time and date decided by the Chairperson.
- (6) If less than a quorum of members is entitled to vote on an item because of declarations of interest, then that item cannot be dealt with at that meeting.
- (7) For the avoidance of doubt, Members will be entitled by remote means such as teleconferencing or videoconferencing as long as arrangements can be made to ensure that effective communication between Members attending in this way and the rest of the meeting can be implemented.
- (8) In all matters connected with Board or committee meetings, every effort shall be made to ensure that all members can fully participate in the meeting, and that all issues relating to equality are addressed and reasonable adjustments made to existing procedures where possible.

Committees and Sub committees

- 6.7. (1) The Partnership may appoint from its membership such committees or sub committees as it may from time to time consider necessary or desirable and may refer to any such committee or sub committee such matters as the Partnership may from time to time specify.
- (2) The Partnership may delegate any of its functions to any committee established by the Partnership. Further reference is made to the provisions on delegation set out at paragraphs 31 and 32.

Meetings

Arrangement of Meetings

7. All meetings of the Partnership and its committees will be called and arranged in accordance with the 1973 Act, as amended by the 2005 Act and the 2005 Order.

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Special Meetings

8. A special meeting of the Partnership may be called at any time by: -
- the Chairperson requesting the Secretary to do so, or
 - a written requisition, signed by at least one quarter of the members, and specifying the business to be transacted at the meeting. In such case, the meeting is to be held within 14 days of receipt of the requisition by the Secretary.

Notice of Meetings

9. (1) At least 7 clear working days before a meeting of the Partnership, or, if in the opinion of the Secretary, a meeting needs to be called at shorter notice in circumstances of extreme urgency, then at the time it is called, the following must occur: -
- the Secretary must publish the time and place of the intended meeting at the offices of the Partnership, [the Partnership website](#) and the headquarters of the constituent councils. If the meeting is called by members, then the notice must be signed by those members and must set out the business they want to deal with there;
 - a summons to attend the meeting must be sent to every member at his usual address. The summons must set out the business that is to be dealt with, and the Secretary must sign it.
- (2) Any summons issued under paragraph (1) must give a note of the business and the proposed order for dealing with business at the meeting. No other business may be dealt with unless it is brought before the Board as a matter of urgency. However, if members requisition a meeting, only the business listed in the requisition may be considered.
- (3) If 3 clear working days' notice has not been given for any item, the item may be considered at the meeting if the Chairperson rules that there are special reasons why it is a matter of urgency. The Chairperson must give those reasons. The item must be made known at the start of the meeting when the order of business is decided. If the Chairperson rules that the matter is not urgent, then it will be included as an item for the next ordinary meeting of the Partnership, unless it is dealt with before then.
- (4) If a summons is not served on any member the meeting will still be valid.

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- (5) Publication and service of notices in relation to meetings, may be by written or electronic means except to the extent that any member has specified in writing to the contrary to the Secretary.

Chair

10. (1) The Chairperson will chair a meeting of the Partnership when he/she is present.
- (2) If the Chairperson is absent, the Deputy Chairperson will take the chair. If the Chairperson and Deputy Chairperson are both absent, then another member (chosen by the members present) will chair the meeting. Any person presiding over a meeting will have the same powers and duties as Chairperson of the Partnership in relation to any meeting and its business.
- (3) The Chairperson (or other person presiding at the meeting) will have a casting vote, as defined in Standing Order 6.4(5).

Attendance

11. The Secretary will record the names of the members present at each meeting.

Access for the Public and Press

12. (1) Except where this Standing Order says otherwise, every meeting of the Partnership and its committees shall be open to the public and the press.
- (2) The Partnership may keep any members of the public out of a meeting, or cause them to leave, if they are hindering or are likely to hinder the work of the Partnership. If a member of the public interrupts any meeting, the Chairperson may warn that person and, if the person continues with the interruption, the Chairperson may order the person to be removed from the meeting room. If there is general disturbance in any part of the meeting room, the Chairperson may order that part to be cleared.
- (3) For the avoidance of doubt, sections 50A to 50F inclusive of the 1973 Act shall be imported into these Standing Orders as applying with the necessary changes, to the Partnership.
- (4) The public will be kept out of a meeting when an item of business is being considered if it is likely that they will hear confidential information. Nothing in this Standing Order authorises or requires confidential information to be disclosed in breach of the obligation of confidence as defined in the 1973 Act.

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- (5) The Partnership may decide to keep the public out of a meeting when an item of business is to be considered if it is likely that they will hear information that is defined as 'exempt' in the 1973 Act.
- (6) This Standing Order does not require the Partnership to allow the taking of photographs or access for radio or television broadcasting. Such access is at the discretion of the Chairperson or the person presiding at the meeting of the Partnership or any of its Committees.

Order of Business

13. The business of the Partnership at ordinary meetings will normally take place in the following order:-

- (1) Order of business.
- (2) Declaration of Interests by members.
- (3) Deputations.
- (4) Questions.
- (5) Minutes of previous meetings.
- (6) Motions of which notice has been given.
- (7) Election business, including any matters of appointments.
- (8) Special business (relating to annual estimates or budgets).
- (9) Ordinary business.
- (10) Motions given in at the start of the meeting, if the Chairperson rules they are matters of urgency, to be dealt with at that meeting.

Any item on the agenda may be taken out of its order if:-

- the Chairperson decides this; or
- a member suggests it and those at the meeting agree.

Chairperson - Powers and Duties

14. On all points of order the Chairperson's decision is final. If asked, the Chairperson must explain the reasons for decisions. When the Chairperson speaks, any member who is addressing the meeting must stop. The Chairperson must keep order and make sure that members have a fair hearing. The Chairperson will decide all matters of order, competence and relevance arising at meetings. If two or more members want to speak, the Chairperson will decide who is to be first. If there is disorder at any meeting the Chairperson may adjourn the meeting to any other time or day that he may fix at the time or afterwards. In these circumstances, by simply leaving, the Chairperson will adjourn the meeting. The Chairperson may make a statement at the start of the meeting on any matter that affects the Partnership's interests.

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Adjourning Meetings

15. (1) The Partnership may adjourn any meeting to any other time or day that the Chairperson may fix at the time or afterwards.
- (2) The Partnership may adjourn any meeting for a reasonable interval. This adjournment will be made if:-
 - the Chairperson says so; or
 - a member proposes it, another seconds it, and the members vote in favour of it. There will be no amendments or discussion.

Order of Debate

16. A member who wants to speak will, when called on, address the chair. The member shall speak directly on the motion or amendment that is being proposed, seconded or discussed, or on a question of order. No member can speak more than once on any subject that is being discussed, except for a point of order or (with the permission of the Chairperson) to give an explanation. However, the person proposing a motion has a right of reply. A member who is speaking when a question of order is raised will stop speaking until the Chairperson has dealt with the question of order.

Motion “That the Question Be Now Put”

17. Any member who has not spoken on the question before the meeting may propose “that the question be now put”. If this is seconded and the Chairperson thinks the question has been discussed enough, the Chairperson will order a vote on the motion (without amendment or discussion) by a show of hands. If the motion is carried, the proposer of the original motion will have a right to reply, and the question itself will then be put to the meeting. If the motion “that the question be now put” is not carried, a similar motion may be made after every two further members have spoken.

Length of Speeches

18. Except with the Chairperson’s permission, the proposer and the seconder of a motion or an amendment must not speak for more than five minutes and all other speakers for not more than three minutes. The proposer of the original motion may speak for up to five minutes in reply, and the reply must not introduce any new matter into the debate. After that the discussion will finish and the question will then be put by the Chairperson.

Obstructive or Offensive Conduct

19. If any member at any meeting disregards the Partnership or the Chairperson, or behaves obstructively or offensively, a motion may then be proposed and seconded to suspend the member for the rest of the meeting. The motion will

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be put without discussion. If it is carried, the Chairperson will order the member to leave the meeting.

Revoking a Resolution

20. A decision of the Partnership cannot be changed within 6 months unless: -
- the Chairperson rules that there has been a material change of circumstances; and
 - notice has been given of the proposed change.

Minutes of Meetings

21. The Secretary (or a person nominated by him or her in writing to do so in his or her absence) will take the minutes of all Partnership meetings. The minutes will be circulated among members at least seven working days before the next ordinary meeting of the Partnership. There they will be presented and corrected if necessary. If the minutes are held to be a true record of the proceedings of the meeting they relate to, the person chairing the next meeting will sign them as a correct record.

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Validating the Proceedings

22. The proceedings at a meeting may be challenged on the ground that the meeting was not called properly. Confirming the minutes of the meeting at the next meeting will validate proceedings.

Questions in Writing

23. (1) At any meeting of the Partnership, a member may put a question to the Chairperson about any relevant and competent business not already on the summons for the meeting. However, the question must have been given in writing to the Secretary by 12 noon on the seventh working day before the meeting.
- (2) A member may put a question to the Chairperson at a meeting of the Partnership about any matter that is on the summons for that meeting. He or she must give the question in writing to the Secretary by 10 am on the third working day before the meeting. The Chairperson will decide whether it will be answered verbally or in writing at the meeting.
- (3) Arising from each verbal or written answer, the member who put the written question may put one supplementary question. These will be answered verbally by the Chairperson.
- (4) The Chairperson may decide to disallow any supplementary question if:-

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- the Chairperson rules the supplementary question is not relevant to the subject of any written questions answered at the meeting; or
 -
 - the Chairperson gives another reason.
- (5) No discussion will be allowed on any verbal, written or supplementary questions or their answers.

Motions must be in Writing and Signed

24. Every motion and amendment except where the context otherwise requires must be put into writing. It must be signed by the person proposing it and submitted electronically or handed to the Secretary.

Motions Intended for Consideration at the End of a Meeting

25. If there is a motion that does not relate to the business of the meeting, and the meeting has not been given adequate notice of the motion, it may be considered at the end of the meeting. However, this can only happen if the Chairperson rules there are special reasons why it is a matter of urgency. The Chairperson must give these reasons. Before the start of the meeting, the motion must be given to the Secretary who will read it to the meeting when the order of business is decided. If the Chairperson rules the matter is not urgent, it will be included as an item of business for the next ordinary meeting of the Partnership (unless it is dealt with before then).

Motions Intended for Consideration at the Next Meeting

26. (1) Notice of motions intended for consideration at a meeting of the Partnership must be given in writing. The notice must be signed by the member or members giving notice and submitted electronically or delivered to the Secretary by 12 noon on the tenth working day before the next ordinary meeting of the Partnership. (This does not apply if it is a matter of urgency dealt with under Standing Order 25). All such motions will be included in the summons for the next meeting in the order in which they are received.
- (2) If the Chairperson rules that more than one such motion deals with the same subject, only the motion that was proposed first will be considered.

Motions – Procedures

27. (1) All motions and amendments will be proposed and seconded and then given in writing to the Secretary as soon as they are moved. This does not apply to motions simply seeking to approve or disapprove of any matter, purely negative amendments, amendments proposing further

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consideration and reports, and motions and amendments that are fully set out in a minute of a meeting.

- (2) Every amendment must be relevant to the motion in question.
- (3) The proposer with the permission of the seconder may withdraw a motion or amendment.
- (4) A motion to approve a report or a minute of the Partnership or a Committee will be considered as an original motion. Any motion that involves altering or rejecting such a report or minute or any part of it will be dealt with as an amendment.
- (5) The Chairperson of the Partnership or a Committee will have the right to move the approval of the report or minute of the Partnership or that Committee.
- (6) Motions or amendments that are not seconded will not be discussed or recorded in the minutes. However, the proposer can ask for his dissent to be minuted. This does not apply if the vote is taken by roll call.
- (7) The mover of the motion or amendment may agree to add to it all or part of an amendment moved and seconded by other members, provided that:-
 - his/her seconder consents;
 - the mover and seconder of the added amendment consents; and
 - the agreement takes place before the mover of the motion has replied.

Method of Voting

28. (1) In a meeting of the Partnership or any Committee, the vote on any matter will be taken by calling the roll.
- (2) If a vote has been taken and someone immediately challenges the accuracy of the count the Chairperson will decide whether to have a recount.
- (3) Reference is also made to Standing Order 6.4 in relation to voting matters.

How Motions Must Be Put

29. Where one or more amendments are made upon a motion, the vote shall be taken among the amendments and the motion in that order. In the event that the motion or any amendments, which shall include any motion or amendment relating to the appointment of a member to any particular office or Committee,

Part 1: Standing Orders

receives an absolute majority of votes of the members present and voting, then that proposition shall be carried. Where no such absolute majority obtains,/

the proposition with the least number of votes shall be eliminated and a further vote (or further votes as may be required) taken until an absolute majority of votes is received for a proposition.

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Taking a Vote

30. After the Secretary has started to take the vote, no member will be allowed to offer an opinion, ask a question, or interrupt the proceedings until the result of the vote has been announced.

Delegating to Committees and Officers

31. (1) The Partnership may appoint such committees as it considers necessary or desirable and to refer to such committees such matters as it may specify. Any committee may deal only with those matters referred to it from the Partnership.
- (2) The Partnership's committees, their terms of reference and functions, are set out in the List of Committee Powers which also forms part of the Council's overall Governance Scheme.
- (3) The Chairperson of any committee shall be appointed by the committee itself. Should the Chairperson be absent, then the members present will appoint someone from amongst themselves to chair the meeting.
- (4) The Partnership may delegate powers to officers of the Partnership as may be set out in any List of Officer Powers as might be approved by the Partnership.
- (5) The Partnership may delegate powers to a sub group comprised of members and/or officers in relation to specific matters.

Exceptions from Delegation

32. Subject to the terms of any law, the following will not be delegated to any committee: -
- (1) Introduction of new policies or changes in policies which might have a significant impact on the resources of the Partnership.
- (2) Any matter involving expense not in accordance with financial regulations.

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Attendance of Members of the Partnership at Committee Meetings

33. (1) If a motion is referred to a committee, the proposer of the motion will be appointed as a member of the committee for that motion and any later consideration by the committee that directly relates to the motion.
- (2) A member of the Partnership cannot be present at a meeting of a committee of which he or she is not a member when: -
- the meeting is considering a matter where the decision may affect the interests of any person as an individual; and
 - the decision is made after a hearing by the committee where the person has a right to be heard (in person or through a representative).

Quorum for Committees

34. For the avoidance of doubt, the quorum for the Performance and Audit Committee shall be 4.

Application of Standing Orders to Committees

35. These Standing Orders shall apply to committees as they do to meetings of the Partnership, subject to the immediately preceding paragraph.

Deputations

36. (1) The Partnership or any committee can decide whether to hear any deputations from members of the public, staff or other interested parties on any matter that is referred or delegated to it. Any application for a deputation to speak to the meeting must be in submitted electronically or in writing, signed by a representative of the organisation or group wishing to be heard and submitted to the Secretary no later than one working day before the meeting concerned. However, the Chairperson can waive this requirement.
- (2) When the Partnership is considering whether to hear a deputation, it must not discuss the merits of the case itself. Unless the meeting agrees unanimously to hear or to refuse to hear the deputation, a vote will be taken without discussion on whether to hear the deputation. A deputation will have 10 minutes to present its case.
- (3) Any member can put a question to the deputation that is relevant to the subject but members must not discuss the merits of the case.

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Part 1: Standing Orders

Code of Conduct

37. Members of the Partnership should comply with the [Model Code of Conduct for Members of Boards of Devolved Public Bodies \(2014\)](#), made under the Ethical Standards in Public Life etc. (Scotland) Act 2000.

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Partnership Business - Responsibility of the Proper Officer

38. Subject to the provisions of paragraph 80 (financial instruments) the Partnership Director shall be the Proper Officer for the Partnership for the purposes of sections 190, 191 and 193 of the Local Government (Scotland) Act 1973. In execution of such deeds the Partnership Director shall ensure that s/he takes appropriate advice from the appropriate officer or adviser to the Partnership.

Financial Arrangements

39. The Partnership will adopt such protocols for the financial administration of the Partnership and including all arrangements for budgeting and financial planning of the Partnership as are necessary for the proper financial administration of the Partnership and the delivery of Best Value in terms of the Local Government in Scotland Act 2003.

Items of Urgency

40. If a decision which would normally be made by the Partnership requires to be made urgently between meetings of the Board, the Partnership Director, in consultation with the Chairperson (whom failing, the Deputy Chairperson(s)), can take action subject to the matter being reported to the next meeting of the Partnership.

Suspending or Altering Standing Orders

41. (1) A Standing Order can only be suspended or abolished at any meeting if three-quarters of the Partnership members present agree.
- (2) None of the Standing Orders can be cancelled or altered unless a resolution to do so is passed after notice has been given at a previous ordinary meeting of the Partnership.
- (3) if the Secretary considers that any decision of the Partnership, on the conduct of its business, has altered Standing Orders, he should report this to the Partnership.

Contracts and Tenders

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Part 1: Standing Orders

General Procedures

42. (1) In these Standing Orders the word “contractor” means a works contractor, a supplier of consultancy services and a supplier of goods and services.
- (2) All procedures for approval of contractors, inviting and receiving tenders and all other arrangements affecting contracts shall -
- comply with relevant legal requirements, and associated Statutory Instruments and Regulations; and
 - seek to ensure that tenders are genuinely competitive and that best value is achieved for the Partnership.
- (3) Subject to the above, detailed procedures relating to all such procedures shall be set out in the Contract Standing Orders from time to time in force, which shall be observed by all members and officers of the Partnership, and are hereby deemed to be incorporated into these Standing Orders.

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Financial Regulations

General Financial Regulations

43. (1) These regulations are made in terms of Section 95 of the 1973 Act, as applied to the Partnership by Section 106(1)(ba) of the said Act.
- (2) Section 95 of the 1973 Act empowers the Partnership to make arrangements for the proper administration of its financial affairs and to secure that the proper officer of the Partnership has responsibility for the administration of those affairs. The Partnership has appointed the Treasurer to be the proper officer. The Local Authority Accounts (Scotland) Regulations, 2014 lay down that the system of accounting control, the form of the accounts and supporting records should be determined by the Treasurer. The Regulations also provide that the Treasurer should ensure that the system of accounting control is observed and that the accounts and supporting records are kept up-to-date.

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Accounts

44. The Treasurer, as proper officer, is statutorily responsible for all financial matters in which the Partnership is involved. As such the Treasurer, will provide means for procedural control which ensure that:
- all expenditure is a proper charge;
 - all income due to the Partnership is collected;

Part 1: Standing Orders

- all assets are protected;
- all liabilities are accounted for; and
- proper financial reports are prepared.

The supervision and control of accounting, costing and other financial systems, records and operations together with the production of financial management information and the closing of accounts will be done in accordance with procedures and instructions issued by the Treasurer. The Treasurer will ensure that the accounts are properly maintained and prepared in accordance with Partnership policy, relevant legislation and appropriate Codes of Practice.

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Budgets

45. The preparation of financial plans and budgets and their form will be done in accordance with procedures and instructions issued by the Treasurer in so far as such procedures and instructions do not exist in Standing Orders or any protocols that might be agreed by the Partnership.

Expenditure Authorised

46. The authorisation of expenditure and operation of budgetary control will be done in accordance with procedures approved by the Treasurer insofar as such procedures do not exist in Standing Orders.

Audit

47. The Treasurer will make arrangements for the internal audit of the accounts of the Partnership. The Partnership Director and other officers of the Partnership are to make available for inspection by internal auditors such cash, vouchers, documents, correspondence or other items as may be deemed necessary by the Treasurer. The Treasurer will ensure that arrangements for the carrying out of the Statutory Audit, in terms of Section 96 of the 1973 Act, are in order.

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Irregularities

48. Any member of the Partnership or of its staff discovering any suspected fraud or irregularity in the financial transactions of the Partnership is to immediately inform the Treasurer. In consultation with the Partnership Director, s/he will then conduct such investigation as he considers necessary and will take such action as may appear to be appropriate.

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Invoices, Salaries, etc.

49. The incurring of expenditure, the verification, certification, submission and payment of invoices, salaries, wages and pensions will be done in accordance with procedures and instructions issued by the Treasurer.

Part 1: Standing Orders

Travelling Claims, etc.

50. The submission and processing of travelling, subsistence, financial loss claims and attendance allowances will be done in accordance with procedures and instructions issued by the Treasurer, including any travel policy from time to time in force.

Revenues

51. The collection of all revenues accruing to the Partnership is to be arranged by or in consultation with the Treasurer.

Debt Recovery

52. The Treasurer can sign petitions and certificates to the Sheriff Court for summary warrant applications. In consultation with the Treasurer, the Solicitor may settle or compromise any action of payment where the amount compromised does not reduce the amount recovered by more than £1,000.

Bad Debts

53. The Treasurer will have authority, having exhausted recognised means of debt collection, to authorise the writing off of bad debts up to a maximum of £1,000 in any case and for any sum where the debtor: -

- (a) is a company in liquidation; or
- (b) is untraceable.

Subject in the case of (a) above to an appropriate claim against the liquidator having been lodged. The Treasurer will report all other irrecoverable debts to the Partnership for authority to write off.

Charges

54. The Treasurer will ensure that charges are reviewed annually by the Partnership.

Bank Accounts

55. The Treasurer will operate all bank accounts on behalf of the Partnership.

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Advances

56. The Treasurer will advance such amounts to such persons as is deemed necessary in order that such persons may defray petty expenditure. The Treasurer, in consultation with the Partnership Director, will determine the conditions relating to such advances.

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Part 1: Standing Orders

Inventories

57. Records of stocks and stores will be kept in such form as shall be approved by the Partnership. ~~The Partnership Director~~ will be responsible for ensuring that up-to-date inventories of furnishings, office equipment, machinery, scientific apparatus, silverware, works of art and other valuable property are maintained.

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Property Register

58. The Estates Functions Officer of the Partnership will maintain an up-to-date register of all land and heritable property owned by or leased by the Partnership, whether in its own right or in trust and will ensure that all such property is readily identifiable at any time.

Insurance

59. The Treasurer will arrange for the insurance of all such risks as may be required to be covered and will negotiate all claims in respect of such insurance.

Staff Records, Pay etc

60. The Treasurer will give instructions regarding the maintenance of such staff records as are necessary for pay and superannuation purposes.

Signing

61. The Partnership Director is designated in terms of the 1973 Act as proper officer for the purposes of sections 193 (authentication of documents) and 194 (execution of Deeds) for signing (where necessary) of financial instruments or instruments effecting the transfer of any securities or otherwise giving effect to the powers of borrowing delegated to the Treasurer. In execution of such deeds the Partnership Director shall ensure that s/he takes appropriate advice from the Treasurer or, in the event of there being no Treasurer, such other appropriate adviser to the Partnership.

Investments

62. The Treasurer can undertake any function, which might reasonably be deemed to be investment business and decide on specific purchases and sales of stocks, shares or any other allowable investments, as long as the Treasurer takes appropriate advice where necessary.

Treasury Management

Part 1: Standing Orders

63. The Partnership's treasury management will be carried out according to the Partnership's annually approved Treasury Management Strategy. Where practical, all Partnership money will be aggregated for the purposes of treasury management and will be under the control of the Treasurer. All executive decisions on the approved treasury management activities will be delegated to the Treasurer. The Treasurer will act according to CIPFA's *Code for Treasury Management in Public Service*. The Treasurer will arrange to borrow such sums as may be required from time to time by the Partnership in accordance with the Annual Treasury Management Strategy, and within the terms of section 3 of the 2005 Act. The signatories to any document or agreement relating to, constituting the security for, or acknowledging the existence of or receipt of any loan arranged under the terms of the Annual Treasury Management Strategy, and the foregoing powers will be those nominated by the Partnership in respect of the signing of cheques. Mortgage deeds in the name of the Partnership will be signed and sealed in accordance with Section 194 of the 1973 Act. The Treasurer will report to the Partnership each financial year on the activities of the treasury management operation.

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Part 2: List of Committee Powers

LIST OF COMMITTEE POWERS

Document Version Control – List of Committee Powers

Date	Author	Version	Status	Reason for Change
Aug 2017	Andrew Ferguson	1.0	Board Approval	Implementation
June 2018	Gavin King	1.1	FINAL	Succession Planning Committee remitted to prepare contingency and succession plans
September 2019	Gavin King	1.2	FINAL	Change to membership removing Chair's entitlement to substitute for any member.
<u>March 2021</u>	<u>Gavin King</u>	<u>1.3</u>	<u>FINAL</u>	<u>Minor amendment to correct grammar</u>

Part 2: List of Committee Powers

List of Committee Powers

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2	Performance and Audit Committee	3
3	Succession Planning Committee	5

Part 2: List of Committee Powers

Introduction

The following List of Committee Powers sets out what powers the South of Scotland Transport Partnership (SEStran) has delegated to specific committees. It should be read along with SEStran's Standing Orders and the other documents in the overall Governance Scheme.

Performance and Audit Committee

The Terms of Reference and functions of the Performance and Audit Committee are to deal with the following matters:-

1. SCRUTINY

- 1.1. To scrutinise any matter relating to the Partnership having regard to the Partnership's responsibility for Best Value and continuous improvement.

2. STAFFING

- 2.1. To take decisions on all staffing matters which are not otherwise delegated to the Partnership Director, including performance appraisal and remuneration matters related to the Partnership Director, and changes to terms and conditions.
- 2.2. To consider and determine, with powers, appeals submitted by any employee who is entitled to appeal to the Partnership under any statutory provision, contract of employment, condition of service or any partnership policy or procedure on employment.
- 2.3. To act as the Disputes Committee of the Partnership in determining, with powers, the Partnership's position on any matter which is the subject for the formal dispute (except in so far as the decision has already been taken by the Partnership).

3. STANDARDS

- 3.1. Promoting and maintaining high standards of conduct by members
- 3.2. Assisting members and co-opted members to observe the Member's Code of Conduct and any Partnership Code of Conduct or protocol.
- 3.3. Advising the Partnership on the adoption or revision of any Code of Conduct for members including training or arranging for training to be provided.
- 3.4. Considering any report by the Standards Commission for Scotland and any Hearing held under the Ethical Standards in Public Life etc. (Scotland) Act.
- 3.5. Considering all matters concerning the establishment, maintenance and public availability of a register of interests that have been declared by members or employees of the Partnership including guidance for the assistance of members and employees on the registration of interests, gifts and hospitality.

Part 2: List of Committee Powers

- 3.6. Considering and updating where appropriate the Partnership's Code of Conduct for employees.
- 3.7. Considering any protocol to guide members and officers in their relations with one another.
- 3.8. Considering guidelines on the standards of conduct required of agents and contractors acting for and on behalf of the Partnership.
- 3.9. Considering the Partnership's Customer Care and Complaints policies.
- 3.10. Considering all reports made by external bodies with a regulatory function in respect of the Partnership.

4. AUDIT

- 4.1. Reviewing with management the adequacy of the following matters:-
 - 4.1.1. internal control systems;
 - 4.1.2. policies and practices to ensure compliance with relevant statutes, directions, guidance and policies;
 - 4.1.3. financial information presented to the Partnership;
 - 4.1.4. risk assessment arrangements and procedures.
- 4.2. Reviewing with management the Partnership's financial statements, management letters or reports in compliance with Codes of Corporate Governance.
- 4.3. Ensuring that the internal audit function is properly resourced and has appropriate standing within the Partnership.
- 4.4. Reviewing the activities of the internal audit function, including its annual work programme, co-ordination with the external auditors, the reports setting out the investigations and the responses of management to specific recommendations.
- 4.5. Scrutinising and investigating any particular matter which the Committee consider requires further examination.

Membership

The Committee shall comprise 8 councillor members, one from each authority; and 4 non-councillor members, chosen (in the event of disagreement) by the Partnership. Each councillor member shall be entitled to nominate a substitute from their own authority. The Chair of the Partnership shall not be entitled to substitute for any member of the committee.

The Committee's quorum shall be 4.

Part 2: List of Committee Powers

Succession Planning Committee

Purpose

Inclusive and diverse Boards are more likely to be effective, to be better able to understand their stakeholders and benefit from fresh perspectives, new ideas, vigorous challenge and broad experience.

The role of the SEStran Succession Planning Committee is to:

- lead on meeting the Board's responsibilities in relation to planning for succession through appointments and Board member development;
- offer advice to the Board on future appointments and reappointments;
- review and evaluate the skills, knowledge, expertise, diversity (including protected characteristics) of current Board members, and requirements of future members, on an annual basis; and
- monitor the development and continuous improvement a succession plan that can be presented to the Board.
- to prepare, for Partnership Board approval, operational contingency and succession plans for the Partnership.

Constitution

1. The Succession Planning Committee shall consist of the Chair, two Board members, the Partnership Director, the Secretary and representative from SEStran's Human Resources advisers. Other officers may be invited to attend for all or part of any meeting as and when appropriate.
2. The Chair of the Committee will be the Chair of the Board.
3. The quorum required to be present at any meeting of the Committee shall comprise no fewer than three members.
4. The Committee will meet at least biennially. The meeting will be timed to align with the Board planning cycle. The Committee will also convene on an ad hoc basis to deal with issues such as unanticipated Board member departures and changes to the operating environment.
5. The Committee will report to the Board. A copy of the minutes will normally form the basis of the report.
6. The Committee will review its own effectiveness and provide an overview report to the Board annually on the Committee's work and key considerations.
7. The Succession Planning Committee may co-opt additional members for a period not exceeding one year to provide specialist input.

Remit

1. Review and evaluate skills, knowledge, experience and diversity (including in relation to protected characteristics) of the Board including the attributes required for all or the majority of Board members (both now and in the future).
2. Identify skills and diversity gaps and shortages in light of Sestran's long-term strategy.
3. Further develop, monitor and continuously improve a succession plan in response to the skills and diversity needs that have been identified, and in so

Part 2: List of Committee Powers

doing, ensuring that new members appointed to the Board reflect the needs identified, thus avoiding appointments being made in the image of the current Board members.

4. Consider how SEStran can best meet its obligations under the Equality Act 2010 and subsidiary regulations.
5. Consult and seek advice from various sources on ways of attracting the type of applicant required, identify and advise on different methods and approaches to recruitment including the application process, information pack and interviews.
6. Give consideration to participation of users of services or members of the SEStran Equalities/Healthcare Forum in the recruitment process.
7. Consider recommending one or more committee members taking part in the assessment of applicants.
8. Keep the Board apprised of the committee's work and prepare an annual report to the Board.
9. Involve, as appropriate, the executive resources of the body such as HR and legal professionals, to enhance and support appointment activity and to ensure that it is aligned with the body's brand, values and other corporate communications.
10. Adhere at all times to the relevant Code of Practices and appropriate guidance and advice from the office of the Commissioner for Ethical Standards in Public Life in Scotland.

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General

1. The work of the Committee needs to be fully informed by:
 - Strategic planning,
 - Business planning,
 - Risk register,
 - Information presented to the Board on its composition in accordance with the Equality Act 2010 (Specific Duties) (Scotland) Amendment Regulations 2016, and
 - Performance assessment (which will also be linked to external and internal audit).

Part 3 List of Officer Powers

LIST OF OFFICER POWERS

Document Version Control – List of Officer Powers

Date	Author	Version	Status	Reason for Change
August 2017	Andrew Ferguson	1.0	Board Approval	Implementation
June 2018	Gavin King	1.1	Amended	Inclusion of section 7 and amendments to Use of delegated powers
<u>March 2021</u>	<u>Gavin King</u>	<u>1.2</u>	<u>Amended</u>	<u>Minor change to terminology</u>

Part 3 List of Officer Powers

List of Officer Powers

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Part 3 List of Officer Powers

1.0 **APPLICATION OF LIST OF OFFICER POWERS**

1.1 **Commencement**

This List of Officer Powers replaces SEStran's Scheme of Delegation and shall have effect from 22nd August, 2017.

1.2 **Interpretation**

1.2.1 In this document the following words shall have the meanings assigned to them, that is to say:-

“Act” means the Transport (Scotland) Act 2005;

“Sestran” means the South East of Scotland Transport Partnership, constituted in terms of the Act and having their principal offices at Area 3D (Bridge) Victoria Quay, Edinburgh EH6 6QQ;

“Officer” means an official employed to carry out a function of Sestran, whether directly employed, seconded, or otherwise;

“Partnership Director,” “Treasurer,” “Secretary,” “Solicitor,” “Chairperson” and “Deputy Chairperson” have the meanings ascribed to them respectively by the Standing Orders;

“Standing Orders” means the current Standing Orders of Sestran as from time to time amended.

“Contract Standing Orders” means the current Contract Standing Orders of Sestran as from time to time amended.

1.2.2 Any reference to any Act of Parliament shall be construed as a reference to the Act of Parliament as from time to time amended, extended or re-enacted and to include any byelaws, statutory instruments, rules, regulations, orders, notices, directions, consents or permissions made thereunder. Any reference to any statutory instrument, regulation or order shall be construed as a reference to that instrument, regulation or order (as the case may be) as from time to time amended, extended or re-enacted.

1.2.3 Subject to the foregoing provisions of this paragraph, the Interpretation Act 1978 shall apply to this document's interpretation as it applies to the interpretation of an Act of Parliament.

Part 3 List of Officer Powers

1.3 Alteration

Subject to the provisions of the Act, Sestran shall be entitled to amend, vary or revoke this List of Officer Powers from time to time.

1.4 Rules Regulating Use of Delegated Powers

1.4.1 Officers must use the authority delegated to them according to the policies of Sestran. Sestran will decide new policy.

1.4.2 Where the Partnership Director has delegated authority the principle of subsidiarity should be applied and decisions should be further delegated to as close to the point of service delivery as is appropriate in the circumstances.

1.4.2 If the Partnership Director is not available, his or her nominated depute or other senior officer(s) can use the authority delegated, unless they cannot do so by law or because of this document.

1.4.3 All delegated powers must be exercised subject to adequate budgetary provision being available and having regard to the terms of Sestran's statutory powers, Standing Orders, Financial Rules and current policies.

1.4.4 An officer must not make any decision or take any action in accordance with powers conferred by this List of Officer Powers if the decision or outcome could create the perception that an officer is not strictly adhering to the key principles of public life as set out in the relevant Code of Conduct. These principles are selflessness, integrity, objectivity, accountability, openness, honesty, respect and leadership. Delegated powers must not be used where either the interests of the officer, the matter to which the decision relates or the identity of any other person involved could lead a member of the public to conclude that the powers had been used to avoid scrutiny by Sestran or a Committee of Sestran. If an officer is in any doubt as to whether they should make use of delegated powers then they should seek guidance from their line manager or the Solicitor.

1.4.5 The provisions of this List of Officer Powers to officers are intended to assist in the efficient and effective management of Sestran's activities and to foster a culture of responsiveness to customers and service users. In applying it, it is important that officers pay due regard to the need for appropriate periodic reporting of delegated decisions to members of Sestran, both for information purposes and to allow Members to properly discharge their scrutiny role.

1.4.6 Interpreting policy: if there is a question on whether a decision taken by or action authorised by an officer sets up or alters policy on any matter, it will be decided by the Partnership Director in consultation with the Chairperson. Any such decision shall be subject to review by the

Part 3 List of Officer Powers

Performance and Audit Committee, who will report their findings to Sestran for approval.

- 1.4.7 Disputes: The Partnership Director in consultation with the Chairperson will decide on all disputes on whether an issue is delegated to a particular officer. Any such decision shall be subject to review by the Performance and Audit Committee.
- 1.4.8 Reports will be submitted to Sestran on substantive decisions taken and actions authorised under delegated authority. These will be in the form and under the arrangements as determined by the Partnership Director.
- 1.4.9 Where a decision or action proposed to be taken under delegated powers is likely to be regarded as politically controversial or is a decision that will have or is likely to have:
- i) A significant effect on financial, reputational or operational risk; and/or
 - ii) A significant impact on service delivery or performance

The Chair and Vice-Chairs will be consulted before any decision is made.

2. DELEGATION TO PARTNERSHIP DIRECTOR:

GENERAL DELEGATION

The Partnership Director is authorised:-

2.1 Urgent matters

If a decision which would normally be made by the Partnership requires to be made urgently between meetings of the Board, to take, in consultation with the Chairperson (whom failing, a Deputy Chairperson), action subject to the matter being reported to the next meeting of the Partnership. Where such action involves incurring expenditure, the Treasurer shall be consulted. In appropriate circumstances the Solicitor shall be consulted in advance of taking action.

2.2 Appointments

to appoint officers within agreed staffing and expenditure levels.

2.3 Discipline

to conduct disciplinary and grievance proceedings for officers under Sestran's approved procedures.

2.4 Changes to the Establishment

Part 3 List of Officer Powers

to amend structures or gradings below the level of Partnership Director.

2.5 **Performance Appraisal and Pay Scales**

Within agreed staffing and expenditure levels, and subject to existing terms and conditions, carry out such performance appraisals and implement such performance related pay schemes as from time to time may be appropriate.

2.6 **Other Personnel Matters**

- (a) in relation to staffing matters, to instruct the immediate implementation of any circular from any officially recognised body which allows no discretion to Sestran. Where there is a choice of action, the circular should normally be referred to Sestran.
- (b) to decide in accordance with approved schemes and to take such decisions relating to terms & conditions e.g.:
 - paid or unpaid leave for special circumstances, secondment or leave to work or visit abroad
 - closing down early for a festive season/ public holiday
 - approval of transfer of annual leave
 - extending sickness allowance
 - approval of applications for car loans/leasing schemes
 - to approve the voluntary termination, early retiral or ill-health retiral of any officer in Sestran's service provided the terms and conditions relating to the termination or retirement are in accordance with the relevant Partnership policy
 - to administer and manage the various approved policies and procedures including disciplinary, grievance and absence management.

2.7 **Health & Safety Legislation**

to manage Sestran's Health & Safety policy and arrangements.

2.8 **Transferring funds (Virements)**

Subject to any policies and directions issued by the Treasurer, to authorise:-

- (a) transfer of funds between headings within their approved revenue budgets.

Part 3 List of Officer Powers

- (b) transfer of funds between capital budgets included in the capital budget.

In carrying out transfers, the Partnership Director must

- (1) report to Sestran if a change in Partnership policy is involved.
- (2) report to the Treasurer if the transfer will affect revenue or capital budgets for future years.
- (3) tell the Treasurer when a transfer is approved under delegated powers.

2.9 **Contracts**

- (a) to exercise the powers conferred on him contained in Contract Standing Orders.
- (b) subject to compliance with Contract Standing Orders, to appoint consultants/ specialist advisers as appropriate.

2.10 **Other Delegations in terms of Standing Orders**

In addition to the delegations in relation to Contracts referred to in the immediately preceding paragraph, to exercise the powers conferred on him elsewhere in the Standing Orders, and specifically (but without prejudice to the generality):

- Paragraph 38 - Execution of Deeds etc., under Section 190, 191 and 193 of the Local Government (Scotland) Act 1973;
- Paragraph 79 - Execution and authentication of Deeds relating to financial instruments or instruments affecting the transfer of any securities etc.

Reference is made to the requirements in the Standing Orders to take advice from the appropriate officers.

2.11 **Miscellaneous**

- (a) Hospitality

to approve reasonable hospitality to representatives of other authorities, external organisations and for official internal/staff functions e.g. Long Service Awards in accordance with the Financial Rules.

- (b) Use of Land and Buildings

to approve, subject to compliance with any approved scheme of charges, the use, by appropriate organisations and bodies, of any land

Part 3 List of Officer Powers

or premises owned by Sestran and under their sole operational control.

(c) Access

to regulate the use and conduct of persons on or in any land owned, occupied or managed by Sestran or otherwise under its control and to which the public have access, whether on payment or not.

(d) Stock "Write-off"

In general, to be responsible for the management of stocks and equipment, and to write off of any such stores, plant, furniture and equipment which has become unfit for use and are unsaleable after consultation with the Treasurer.

(e) Stock Re-Valuations

following consultation with the Treasurer, to write down value of obsolete or slow moving stock to a realistic value, lower of cost or net realisable value.

(f) Disposal of capital items

following consultation with the Treasurer, to authorise obsolete plant items and equipment to be sold at public auction with the highest offer accepted.

3. SPECIFIC DELEGATION TO THE PARTNERSHIP DIRECTOR:

The Partnership Director (which delegated power should not normally be delegated further) is authorised:-

3.1 to represent the interests of Sestran in communications with the media.

3.2 to pay valid claims for damage to, or loss of, property of third parties in circumstances where Sestran is deemed to be liable and the amount involved is less than Sestran's insurance excess.

3.3 to accept tenders in terms of Contract Standing Orders

3.4 to terminate on behalf of Sestran any contract which Sestran is entitled to terminate under the appropriate conditions of contract and where he/she is satisfied that it is in the interests of Sestran to do so and following consultation with the Solicitor.

3.5 to assess which capital projects are submitted to Sestran's capital budget plans.

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Part 3 List of Officer Powers

3.6 in consultation with the Treasurer, to prepare reports on procurement and funding of transport projects (including the most appropriate method of procurement and funding) for Sestran.

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3.7 in consultation with the Treasurer, to develop criteria to determine the form of agreement for delivery of contracts and the financial relationships flowing from these.

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3.8 to expend the approved budget.

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3.9 to make payment of all sums to all creditors subject to the certification and authorisation of appropriate officers, and to make arrangements for further delegation to other officers for payment of invoices up to limits to be specified by the Partnership Director, notifying the Treasurer in terms of the Financial Rules.

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3.10 Where a claim for compensation has been submitted to Sestran then it must be assessed by the Solicitor or by Sestran's claim handlers to determine whether Sestran has any legal liability to meet the claim. In those cases where Sestran has no legal liability, the Partnership Director may decide that the circumstances giving rise to the claim merit the making of an ex gratia payment. The Partnership Director is authorised to make such payments up to the value of £5,000. Such payments require to be made in consultation with the Solicitor.

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3.11 to authorise the acceptance of sponsorship and/or advertising in respect of Partnership controlled media in accordance with approved Partnership policies.

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3.12 to delegate authority to allow monitoring of start/leave dates, performance and timekeeping, in terms of the Financial Rules.

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3.13 to approve all technical decisions in relation to operational matters.

3.14 to respond as required to consultations from the Scottish or U.K. Government, local authorities or other bodies on matters relevant to SEStran, where Members have not indicated a preference to consider matters at a Partnership meeting. In each case the Partnership Director shall so far as possible take into account the views of individual Members, and consult with the Chairperson and Deputy Chairperson(s).

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4. SECRETARY

The Secretary is authorised:-

4.1 to act as the proper officer for the following purposes of the Local Government (Scotland) Act 1973 –

- Section 43 and Schedule 7 (Meetings and Proceedings)
- Section 50B (Access to agenda and connected reports)
- Section 50C (Inspection of Minutes and other documents)

Part 3 List of Officer Powers

- Section 50D (Inspection of Background Papers)
- Section 50F (Additional rights of access to documents for members of the Partnership)
- Section 193 (Authentication of documents)

4.2 to act as Monitoring Officer for Sestran. To act as the designated officer for Ethical Standards in Public Life

5. TREASURER

The Treasurer is authorised:

5.1 to establish a financial framework, including Financial Rules, which provide for effective managerial control and review and satisfactory monitoring and reporting procedures; and to maintain all financial records. Reference is made to Standing Orders [43](#) to [63](#) and the Financial Rules.

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5.2 to establish proper arrangements in respect of Treasury Management, Pensions and the safeguarding of assets including risk management and insurance.

5.3 to authorise effective insurance cover in consultation with the Treasurer in accordance with the Financial Rules.

5.4 To act as proper officer for the purposes of the Local Government (Scotland) Act 1973, section 95;

5.5 to create, operate and close any bank accounts on behalf of Sestran.

5.6 to authorise bad debts to be written off in accordance with Standing Order 71.

5.7 to deal with claims in sequestrations and liquidations (Section 191 of the Act of 1973).

5.8 to review the financial limits given in Standing Orders or Financial Regulations every year, in line with the relevant inflation indexes.

5.9 to exercise all borrowing and lending that Sestran needs in accordance with the [Annual Treasury Management Strategy](#). Any document or agreement which relates to, is the security for, confirms the existence of or is a receipt for any loan/lease arranged under the terms of the [Annual Treasury Management Strategy](#) will be signed by those people who are nominated by Sestran to sign cheques. Mortgage deeds in the name of Sestran will be signed and sealed according to Section 194 of the Local Government (Scotland) Act 1973.

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5.10 to use any suitable banking and advisory services and deciding on specific purchases and sales of stocks, shares or any other allowable investments as long as the Treasurer takes the appropriate advice where necessary. Reference is made to Standing Order [62](#).

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Part 3 List of Officer Powers

- 5.11 to sign all claims, returns or written submissions relating to grants and financial statistics.
- 5.12 To administer the Partnership’s scheme of allowances and expenses in terms of the Financial Rules.

6. SOLICITOR

The Solicitor is authorised:-

- 6.1 To act as the designated officer for Public Interest Disclosure.
- 6.2 to carry out legal procedures necessary to implementing any matters delegated to the Partnership Officers.
- 6.3 to sign missives and other conveyancing documents and to sign notices and orders in connection with compulsory purchase orders.
- 6.5 to engage private legal firms or engage counsel when appropriate and it is in Sestran’s interest.
- 6.6 to start, defend and appear in any legal or tribunal proceedings or any inquiry when appropriate and it is in Sestran’s interest.
- 6.7 to settle any action or claim against Sestran up to the level of £1,000. This power to be exercised in consultation with the Treasurer.
- 7. Partnership Operational Contingency Plan
- 7.1 To assign operational and procedural responsibilities to appropriate staff levels, in the event of absence at a senior level.

Deleted: 6.4 to accept tenders in terms of Contract Standing Orders.¶

Operational & Procedural Responsibilities

Responsibility	Currently Assigned to	Delegated Level
See Scheme of Delegation 2017 All duties under part 3 “Specific delegation to the Partnership Director.” Duties 2.1 to 2.6 within the “List of Officer	Partnership Director	Senior Partnership Manager

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Part 3 List of Officer Powers

Powers", Part 2, Delegation to Partnership Director, General Delegation.		
Management of Projects	<u>Senior Partnership Manager</u>	Individual Project Officers
Responsibility	Currently Assigned to	Delegated Level
Management of Budget	<u>Senior Partnership Manager</u>	Business Manager
Management of Admin Facilities	Business Manager	<u>Senior Partnership Manager</u>
Administration & Organisation of Formal Meetings	Business Manager	Business Support Officers

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Part 4: Financial Rules

SESTRAN FINANCIAL RULES

Document Version Control – Governance Scheme

Date	Author	Version	Status	Reason for Change
April 2006	SEStran	1.0	Implemented	
Jun 2014	SEStran	1.1	FINAL	Annual review
Oct 2017	SEStran	1.2	FINAL	Adoption of version control
March 2021	Gavin King	1.3	FINAL	Inclusion of paragraph on use of purchase cards

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Deleted: Implementation

Authorising Expenditure

- 1 Arrangements for authorising expenditure will be in accordance with the procedures adopted by the City of Edinburgh Council.
- 2 No official may let the Partnership's spending (whether revenue or capital) exceed its budget.
- 3 No official may incur any expenditure unless it is an expense which has been approved by the Partnership.
- 4 Proposals to incur expenditure which can be contained within the overall approved budget - but which have not been provided for therein - can be financed by means of budget transfers (or virements). Subject to any policies and directions issued by the Treasurer, power is delegated to Partnership Director to authorise transfer of funds between headings within their approved budgets. In carrying out transfers, the Director must:
 - i. report to the Partnership if a change in policy is involved;
 - ii. report to the Partnership if the transfer will affect revenue budgets for future years;
 - iii. advise the Treasurer when a transfer is approved under delegated powers.
- 5 Where capital grant is awarded for a specific project, no transfer to alternative projects is permitted without the formal consent of the ~~funder~~.
- 6 The Partnership Director, in consultation with the Chair, may submit a request for expenditure of an emergency nature. In such circumstances the expenditure concerned may be incurred on the authorisation of the Treasurer. The Director shall arrange for the matter to be reported to the Partnership.
- 7 All claims, returns or written submissions relating to grants and financial statistics must be signed by the Treasurer. Any exception to this must be agreed by the Treasurer.

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Part 4: Financial Rules

- 8 Financial records shall not be disposed of other than in accordance with arrangements approved by the Treasurer.

Reporting Requirements

- 9 Every Partnership report is required to include the financial consequences of proposals for the current and future years to be stated.
- 10 In the event that reports do not meet the above criteria, or insufficient time is given to the Treasurer to allow proper consideration of the matter, the Treasurer may request the Secretary to withdraw such an item from the agenda.
- 11 The Treasurer, in conjunction with the Partnership Director, is required to submit detailed monitoring reports to the Partnership at the 6, 9 and 12 month stages of each financial year. These reports will compare actual expenditure to date and projected outturn expenditure with the budget position. Both revenue and capital expenditure and key service issues will be reported.
- 12 The financial content of Partnership reports cannot be determined by a universal set of rigidly applied rules. An element of judgement is required. However, this needs to be based on best professional practice and advice. Reports with financial implications should be prepared having regard to the following considerations:
- i. Cost - the full revenue and/or capital cost per annum arising directly from the proposal;
 - ii. Budget Provision - whether the proposal will be funded from a specific and identified budget area or from a specified substitution;
 - iii. Income/Savings - details of any additional income or savings arising from the proposal which are available to offset costs, and a clear indication of whether these are sustainable in future years or one-off;
 - iv. An explanation of the assumptions used in determining costs, savings and/or income be stated;
 - v. Where costs, income or savings will be incurred over a number of years, an analysis over the period to assist with forward financial planning;
 - vi. External Funding - details of any external funding or contributions from other sources and the timing of the receipt of these funds;
 - vii. All figures to be shown using a consistent price base, with the price base clearly stated (for example, 'using April 2021, prices);
 - viii. Where a project will be delivered over a number of years, an annual cash-flow projection should be provided;

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Part 4: Financial Rules

- ix. A comparison of the financing options that have been considered, for example, acquisition, finance lease, operating lease, etc.;
 - x. A sensitivity analysis of the project to key variables to be set out, including a risk analysis.
- 13 These should be treated as guidelines to be applied dependent on the particular content of reports and the materiality of the financial implications. Not all these considerations will be relevant to every proposal or project with financial implications. Together with the provision of professional financial advice, however, these measures are intended to strengthen the Partnership's control of its finances and to enable the Partnership to demonstrate that financial information is prepared on a robust, transparent and consistent basis.

Salaries and Wages

- 14 Appointments of all employees shall be made in accordance with the procedures approved by the Partnership and the approved establishment, grade and rates of pay.
- 15 The processing and payment of salaries and wages shall be done in accordance with procedures adopted by the City of Edinburgh Council and instructions issued by the Treasurer from time to time.
- 16 The payment of salaries, wages, compensations and other emoluments to all employees or retiring allowances to former employees shall be made by the Treasurer, who shall also be responsible for transmitting superannuation contributions to the Pension Fund and tax and national insurance contributions to HM Revenue & Customs.
- 17 The Partnership Director is responsible for keeping the staff number within approved structures and budgets.
- 18 The control objectives to be achieved by operation of the Partnership's payroll procedures are to demonstrably ensure that:
- i. all payments are made timeously according to entitlement;
 - ii. all deductions on behalf of third parties are appropriate and remitted timeously;
 - iii. all transactions are accounted for in the ledger.
- 19 The duties of payroll preparation, verification and payment must be segregated.
- 20 The Partnership Director carries the responsibility for the security of such records, and for implementing such procedures, which demonstrably ensure both compliance with Partnership Policy, and the accuracy of the information used as the basis for payroll input.

Part 4: Financial Rules

- 21 These procedures will include proper delegation of authority which allows monitoring of start/leave dates, performance and timekeeping, evidenced by signature or password and independent verification of the whole of the information submitted.
- 22 The Partnership Director carries the responsibility for ensuring that submission of the information necessary for payroll input meets the prescribed deadlines set to enable timeous payroll production.
- 23 The Partnership Director is responsible for providing the Treasurer with such information as is required for the completion of Partnership and statutory returns.
- 24 For persons such as consultants engaged by the Partnership for specific tasks, but who are not regarded as having full employee status, special care should be taken with respect to their tax and National Insurance treatment. Every case which might fall into this category, should be referred to the Treasurer for advice.
- 25 Legitimate hospitality, or expenses incurred in the course of duty, shall be reimbursed through the Payroll in accordance with procedures agreed by the Treasurer.

Audit

- 26 The Treasurer, through the offices of the Chief Internal Auditor of the City of Edinburgh Council, shall arrange for a continuous internal audit, to carry out an examination of accounting, financial and other operations of the Partnership.
- 27 The Chief Internal Auditor shall review, appraise and report on:
 - i. the adequacy of internal control as a matter of probity and as a contribution to the economic, efficient and effective use of resources;
 - ii. compliance with approved Partnership policies, plans or procedures;
 - iii. whether the Partnership's assets are properly accounted for and safeguarded from losses arising from theft, fraud, waste, inefficient administration or poor value for money;
 - iv. the suitability and reliability of management data produced within the Partnership;
 - v. how effectively managers perform their responsibility with assistance from the Chief Internal Auditor to achieve value for money;
- 28 The Chief Internal Auditor shall have authority, subject to any necessary prior consultations to:
 - i. enter at all reasonable times on any Partnership premises or land;

Part 4: Financial Rules

- ii. have access to all records, documents and correspondence relating to any financial and related transactions of the Partnership;
 - iii. require and receive such explanations as are necessary concerning any matter under examination; and
 - iv. require any employee of the Partnership to produce cash, stores or any other Partnership property under their control.
- 29 If members of the Partnership or its staff discover any suspected fraud or irregularity that affects the affairs of the Partnership, they must immediately inform the Treasurer who will, in consultation with the Partnership Director, make enquiries and take any action deemed appropriate.
- 30 The Treasurer will ensure that proper arrangements are made for carrying out the statutory audit of the Partnership.
- 31 The Chief Internal Auditor will submit an annual report to the Partnership.

Allowances and Expenses

- 32 The Treasurer shall be responsible for the payment of such allowances and reimbursement of such expenses as the Partnership determines.
- 33 The Treasurer shall be responsible for administering the Partnership's scheme of allowances and expenses in accordance with any relevant statutory provisions.
- 34 The Partnership Director is required to ensure that:
- i. claims are submitted in accordance with conditions of service, Partnership policies and other statutory provisions, together with relevant supporting information such as receipts;
 - ii. claims are submitted on the appropriate form and certified by an authorised officer;
 - iii. the Treasurer is advised of the officers authorised to sign claim forms on their behalf;
 - iv. the Treasurer is provided with such information as is required to complete Partnership and statutory returns.
- 35 A report on Members' allowances will be published annually, incorporating all details of allowances paid and expenses reimbursed.

Insurance

- 36 Through the offices of the Insurance Manager of the City of Edinburgh Council, the Treasurer shall effect such insurance covers as may be required and negotiate with the Partnership's insurers all claims, in consultation with the other Partnership Officers where necessary. The

Part 4: Financial Rules

Treasurer shall review all insurances as appropriate and report thereon to the Partnership.

- 37 The Partnership Director shall give prompt notification to the Treasurer of all new risks, properties, etc. which require to be insured, and of any alterations or material facts which may affect existing insurances.
- 38 The Partnership Director shall notify the Treasurer, immediately in writing, of any loss, liability or damage or any event likely to lead to a claim and should inform the police where appropriate.
- 39 The Partnership Director shall consult with the Treasurer regarding the terms of any indemnity which may be required. The Treasurer shall consult with the Partnership Solicitor and Insurance Manager regarding the relevant insurance requirements.
- 40 The Partnership Director shall take due account of any recommendations proposed by the Partnership's insurers arising from a risk survey and inform the Treasurer where it is not possible to carry out the recommendations within the timescales specified by the Insurers. The Treasurer shall advise on risk management issues in consultation with the Partnership Director, the appointed insurance adviser and the relevant insurer(s).
- 41 The Treasurer is responsible for preparing, developing and co-ordinating the Partnership's risk management policy.
- 42 The Partnership Director is responsible for ensuring the implementation and effectiveness of the risk management policy and for its review.

Purchasing

- 43 The Partnership Director is responsible for ensuring that all purchasing activity is undertaken in accordance with guidance issued by the Treasurer.
- 44 The Partnership Director carries the responsibility for enforcing compliance with credit purchase procedures which demonstrably ensure that:
 - i. all goods and services ordered are necessary to carry out the Partnership's functions and comply with Partnership policies;
 - ii. sufficient funds are available in the appropriate budget;
 - iii. all goods and services supplied are of the necessary standard, are in accordance with the order details and, where relevant, are properly recorded in stock and inventory records;
 - iv. all invoices authorised for payment are submitted on time, are in accordance with the goods and services supplied, and are properly accounted for in the financial ledger;
 - v. unused order stationery is stored securely;

Part 4: Financial Rules

- vi. there is adequate segregation of duties at least between authorisation of payment and receipt of goods, and ideally between each of these two and authorisation of the order.

Payment of Accounts

Suppliers' Invoices

- 45 The arrangements for processing invoices for payment shall be in accordance with the procedures adopted by the City of Edinburgh Council.
- 46 The Partnership Director will be responsible for certifying invoices for payment and for approving other officers who may authorise invoices and the limits of their authority.
- 47 The Treasurer must be notified of:
 - i. the names of officers who have the facility to authorise invoice payment and the limits of their authority;
 - ii. any change to (i) must be notified within five working days.
- 48 Certification of invoices for payment will incorporate the following checks:
 - i. that the invoice is correctly addressed to the Partnership;
 - ii. that the payment is a true liability of the Partnership and that the goods or services have been properly ordered;
 - iii. that the goods have been received, examined and accepted as to quality and quantity;
 - iv. that the work done or service rendered has been satisfactorily carried out;
 - v. that prices are in accordance with the contract or quotation. Where no contract or quotation exists, that the prices are reasonable;
 - vi. that the account is arithmetically correct;
 - vii. that deductions have been made for discounts where applicable;
 - viii. that, where appropriate, goods have been recorded on stores or inventory records;
 - ix. that both expenditure and VAT are correctly coded to the financial ledger.
- 49 The Treasurer may withhold payment if any of the above conditions are not met.
- 50 Payments must not be made prior to receipt of goods, without approval of the Treasurer.
- 51 Where an original invoice is unavailable, a copy must be requested from the supplier. All copies of original invoices must be endorsed as a certified copy by the supplier and signed by the suppliers'

Part 4: Financial Rules

representatives. Endorsed copies are acceptable for audit and VAT recovery purposes.

- 52 When an invoice contains a VAT error, e.g. an arithmetical error, the invoice must not be changed manually. The supplier should be contacted in order that a credit note might be issued and a new invoice issued for the correct amount.

Regular and Non-Regular Miscellaneous Payments

- 53 Miscellaneous Payments include capital grants, refunds to individuals, payroll corrections, etc.
- 54 The payment of regular and non-regular miscellaneous payments will be made through special applications in accordance with procedures laid down by the Treasurer. The following conditions apply:-
- i. payments shall not relate to a contract for supplies and services;
 - ii. the Treasurer must approve the format of customised miscellaneous payment forms;
 - iii. the payment must be within the statutory and discretionary responsibilities of the Partnership.

Payment by Bank Transfer

- 55 The Treasurer may pay invoices or make miscellaneous payments by bank transfer (BACS), and shall be provided by the Partnership Director with the appropriate bank information. Urgent transactions (not invoices) may be paid by CHAPS at the discretion of the Treasurer.

Control Objectives

- 56 The aim of these procedures is to demonstrate that all payments are:
- i. made timeously once and only once;
 - ii. in accordance with the Partnership's needs;
 - iii. in accordance with the Partnership's policies;
 - iv. properly accounted for.
- 57 Ideally, all payment procedures should be arranged in such a way that the duties of:
- i. authorising purchase;
 - ii. receiving goods and services;
 - iii. authorising payment;
 - iv. making payment;
 - v. verification;
- are segregated, all evidenced by password control or signature and date. Any situation where this cannot be achieved should be discussed with the Chief Internal Auditor.

Payment of Grants

Part 4: Financial Rules

- 58 The Partnership Director is responsible for ensuring that each grant award complies with the corporate criteria and is subject to any such conditions as the Partnership deems appropriate to the particular award.
- 59 The Partnership Director is responsible for project evaluation and the monitoring and evaluation procedures adopted in each case.
- 60 The Partnership Director is required to contain total grants paid within budget provisions for the current year.
- 61 The arrangements for processing grant payments will be in accordance with procedures adopted by the City of Edinburgh Council.

Purchase Card Use

62 The Partnership approved rules and procedures for the use of purchase cards at its meeting on 2nd December 2016. Purchase Cards should be used in accordance with the approved Rules and Procedures.

Further Information

- 63 For further information regarding these Financial Rules, please contact Iain Shaw, Principal Finance Manager, City of Edinburgh Council. Tel. 0131-469 3117. iain.shaw@edinburgh.gov.uk

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Reviewed March 2021,

Deleted: June 2014

Part 4: Financial Rules

EXPENSES CLAIM FORM (OTHER MEMBERS)

Date of Meeting.....

Name of Claimant :
Address
Post Code

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

Your expenses will be paid as soon as possible after you submit this form. Payment cannot be made on the date of the Partnership meeting. **In support of SESTRAN's commitment to sustainable transport, please consider where practicable, travel by foot, bicycle or public transport in preference to travel by car. Thank you.**

DETAILS OF EXPENSES INCURRED

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

Amount payable £ _____

RECEIPTS MUST BE ATTACHED FOR ALL EXPENSES OTHER THAN CAR MILEAGE

Rail fares should be based on the cheapest rate available, including special arrangements currently in operation by rail franchises e.g. APEX, Supersavers, Savers etc.

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

Signature of claimant..... Date.....

For Office Use Only

Part 4: Financial Rules

Authorised by	Date.....
Ledger Code to be charged <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Please return to: Iain Shaw, The City of Edinburgh Council, Department of Finance, Waverley Court (Level 2.6), 4 East market Street, Edinburgh, EH8 8BG Telephone: 0131 469 3117	

Part 5: Contract Standing Orders

Document Version Control – Contract Standing Orders

Date	Author	Version	Status	Reason for Change
Aug 2017	Andrew Ferguson	1.0	Board Approval	Implementation
March 2021	Andrew Ferguson	1.1	Amended	Changes to reflect EU law, electronic tendering and increase to limits for obtaining quotes

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SESTRAN CONTRACT STANDING ORDERS

1. SESTRAN makes the following standing orders in relation to the procurement of Supplies, Services and the execution of Works on its behalf. They are the Contract Standing Orders referred to in Standing Order 42 of the Standing Orders of SESTRAN.
2. These Contract Standing Orders must be applied in accordance with the following principles:
 - 2.1 Any procurement must be conducted in accordance with the principles of transparency, equality, non-discrimination, and proportionality;
 - 2.2 Except as otherwise provided for, all contracts to which these orders apply should be made as a result of competition; and
 - 2.3 Any procurement must be conducted so as to ensure delivery of Best Value in terms of the Local Government in Scotland Act 2003.
 - 2.4 These Contract Standing Orders are subject to the over-riding provisions of ~~United Kingdom~~, or Scottish legislation; including the Regulations. They are also subject to any ~~UK~~ Government or Scottish Government guidance on public procurement that may be issued from time to time.
3. No employee of SESTRAN who has an actual, or potential, conflict of interest or a direct or indirect pecuniary interest in a tender should be involved in the tendering process.
4. The Partnership Director may nominate a delegated representative to exercise the powers delegated to him by these Contract Standing Orders.
5. The following contracts shall be exempted from the provisions of these Contract Standing Orders with the exception of the duty to ensure the delivery of Best Value as set out in 2.3 of these Orders:
 - 5.1 Any contract of employment, but not including contracts for the employment of staff on an agency basis;

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Part 5: Contract Standing Orders

- 5.2 Any contract or type of contract which is declared by the Partnership to be exempt because it is satisfied the exemption is justified by special circumstances;
- 5.3 Any contract or framework agreement entered into by a consortium, partnership, collaboration, company or similar body:
- 5.3.1 of which the Partnership is a member, registered user or otherwise, is entitled to use the said contract or framework agreement and such body has invited Tenders for the provision of goods/supplies/services/works e.g. Office of Government Commerce, Procurement Scotland and Scotland Excel: ; and
 - 5.3.2 which body exists for the purpose of joint purchasing arrangements; and
 - 5.3.3 provided such body has invited tenders in accordance with the principle contained in 2.4 and the use of that contract or framework agreement complies with the principle in 2.3 ; and
 - 5.3.4 subject to call-offs being made in accordance with agreed processes for the operation of the framework and any subsequent guidance,
- 5.4 Any contract relating to the disposal or lease of land and/or buildings;
- 5.5 Where the Partnership Director is satisfied that the requirement is not readily obtainable from more than one supplier, service provider, or contractor, and it can be demonstrated that no equivalent is available; provided any contract awarded in accordance with this exemption is reported to the Partnership at its next meeting.
- 5.6 Where the estimated cost of a contract does not exceed £25,000, the Partnership Director or appropriate officer may invite and place tenders for consultancy services, without seeking competitive tenders, provided that, in the Partnership Director's or appropriate officer's opinion, best value would not be secured by competition.

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Procedures for Awarding Contracts

6. The procedure for the award of any contract shall be determined upon the estimated value of that contract. The relevant values and the associated tendering procedure that must be applied are detailed in Table below. These values are exclusive of VAT and relate to the full potential life of the contract (i.e. including possible extension periods).

Tender Procedure	Works	Services	Supplies
<u>FTS</u> Procedure –	£4,000,001 and	£150,001 and	£150,001 and

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Part 5: Contract Standing Orders

Standing Order 7	above	above	above
Below FTS but with mandatory advertising – Standing Order 8	Between £50,001 and £4 million	Between £25,001 and £150,000	Between £25,001 and £150,000
Advertising not mandatory – Standing Order 9	£50,000 or less	£25,000 or less	£25,000 or less

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- 6.2 The estimated value of a contract shall be assessed in accordance with Regulation 8 of the Regulations.
- 6.3 The disaggregation of a single requirement to circumvent or avoid the requirements of these contract Standing Orders or any legal requirement is expressly prohibited.

7. **FTS Procedure: Works contracts of £4,000,001 and above and Services/supplies Contracts of £150,001 and above.**

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7.1 This Contract Standing Order shall, together with the procedures detailed in the **General Tender Procedures section** below, apply to Works contracts with an estimated value of £4,000,001 and above and Services and Supplies Contracts with a value of £150,001 or above.

7.2 All contracts to which this Standing Order applies shall be conducted in accordance with the Open, Restricted, Negotiated or Competitive Dialogue Procedures as detailed in the Regulations Where any procurement activity is related to continued participation in European Social Fund or European Regional Development Fund programmes, these remain subject to EU legislation. As of 31st December 2020, these procurement activities must follow the obligations set out on Public Contracts Scotland and all information related to European Funding completed.

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7.3 All tenders shall be submitted electronically, except as set out below at 10.1.

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8. **Works Contracts between £50,001 and £4 million and Services and Supplies Contracts between £25,001 and £150,000**

8.1 This Contract Standing Order shall, together with the procedures detailed in the **General Tender Procedures section** below, apply to Works Contracts between £50,001 and £4 million and Services and Supplies Contracts between £25,001 and £150,000.

Part 5: Contract Standing Orders

- 8.2 All contracts to which this Standing Order applies shall be advertised in a manner that is sufficient to enable open competition and to meet the requirements of the principles detailed in 2.1.
- 8.3 Timescales for the return of tenders shall take account of the complexity of the requirement and allow adequate time for tenderers to respond.
- 8.4 [All tenders shall be submitted electronically, except as set out below at 10.1.](#)

Deleted: The tender opening procedure specified in Appendix 2 of these Contract Standing Orders shall be followed for hard copy tenders....

9. Works Contracts below £50,000; Services and Supplies Contracts below £25,000

- 9.1 **Contracts with a value below £5,000** - Tenders or Quotations need not be invited in respect of contracts which have a value below £5,000.
- 9.2 **Contracts with a value between £5,001 and £50,000 (Works) and £25,000 (Services/Supplies)** – Advertising shall not be mandatory and a contract may be awarded after obtaining three quotations from suitable suppliers identified by market research.

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General Tender Procedures

10. Electronic Tendering

- 10.1 [As stated above, all tendering will be carried out using appropriate processes e.g. Public Contracts Scotland website, except in exceptional circumstances when an ad hoc hard copy process with appropriate safeguards will be used.](#) Any electronic method to be used to invite and receive tenders shall comply with the following:
- 10.1.1 It shall have safeguards to ensure that either:
- (a) tenders cannot be uploaded after the tender deadline; and/or
 - (b) the date and time that a tender is uploaded is recorded.
- 10.1.2 It shall ensure that the substantive content of a tender cannot be accessed by any SESTRAN personnel until after the tender deadline.
- 10.1.3 It shall record the identity of any person who accesses the tenders as well as the time and date that took place. [Those persons charged with assessing the tenders will only be given the appropriate information, with another member of SEStran staff being tasked with accessing the tenders after the deadline and passing the appropriate information to the assessment team.](#)

Part 5: Contract Standing Orders

- 10.1.4 All records must be of a sufficient standard to be used as evidence in Court.
- 10.1.5 All records must be kept for at least seven years from the date of the contract award.
- 10.1.6 It shall ensure that economic operators can submit queries regarding the tender on an anonymous basis and that the answers to such queries are made available to all interested economic operators.
- 10.1.7 It shall ensure that SESTRAN shall be able to publish clarifications, or additional information, to the tender documentation so that it is available to all interested economic operators.

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- 11.1 The Partnership Director or appropriate Officer of the Partnership will prepare the contract documents setting out:
- The scope;
 - The quality;
 - The quantity of the works, the goods and services or The consultancy services;
 - The proposed method of evaluation to be used. Where the proposed method is "Most Economically Advantageous Tender" (MEAT), the criteria for the evaluation of tenders shall also be specified in the tender documents.
- 11.2 The Contract Documents shall state that the Partnership is not bound to accept the lowest tender or any tender.

Deleted: 10.2 The procedures detailed in Appendices 1 and 2 shall not apply to a tender process conducted in accordance with 10.1.

12 Contract Security

- 12.1 If the estimated cost of carrying out work under any one contract is more than £1 million, the contractor will normally require to provide appropriate contract security to the Partnership. The Partnership Director or appropriate officer shall consider what contract security may be appropriate, which may take the form of a performance bond and/or a parent company guarantee.
- 12.2 The Partnership may ask for any contract security considered appropriate on other contracts.

12.3 Appropriate levels of public/professional indemnity insurance will be sought as appropriate.

13. Tender acceptance

Part 5: Contract Standing Orders

13.1 The Partnership Director shall issue letters of acceptance provided:

13.1.1 The award is to the tender that represents either:

- The lowest cost; or
- The Most Economically Advantageous tender.

13.1.2 He is satisfied that the award represents Best value.

13.2 For contracts subject to the full rigours of the FTS procedures the Partnership Director shall approve and issue Pre Standstill Successful Letters at the start of the standstill period.

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13.3 For contracts subject to the full rigours of the FTS procedures the Partnership Director shall approve and issue Post Standstill Award Letters to the successful Tenderer(s) at the end of the standstill period if there has been no form of judicial interruption.

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14. Post Tender Communications

14.1 If, during the evaluation process, any post tender communication with Tenderers is necessary prior to contract award in order to clarify or supplement any aspect of their Tender, such communication shall be conducted in accordance with this Contract Standing Order and a record of any such communication must be maintained for audit purposes.

14.2 In order to ensure that there is no distortion of competition, post tender communications undertaken prior to contract award shall be carried out in a restricted and carefully handled manner.

14.3 Any amendment to Tenders or contract documents made as a result of post tender communications must not go beyond clarifying or supplementing a Tender. It is essential to consider, prior to commencing communications whether the amendments that may be achieved are such that a Tenderer excluded from the process (whether on the list of Tenderers or not) could allege that they had been unfairly treated and/or could have submitted a better Tender.

14.4 In conducting post tender communications prior to contract award, Procuring Officers shall comply with the following additional rules:

14.4.1 All Tenderers must be treated equally and in an open and fair manner;

14.4.2 Tenderers must not be permitted to amend their bids in a manner that allows them to improve their offer;

Part 5: Contract Standing Orders

- 14.4.3 Post tender communications must not be carried out in such a manner as to leave the Partnership open to charges of acting anti-competitively;
- 14.4.4 Where any factor giving rise to post tender communications is not specific to one Tenderer, all Tenderers must be invited to participate in such communications;
- 14.4.5 There must be no material change to the specification(s) and/or criteria on which tenders are to be assessed;
- 14.4.6 If it becomes apparent that a material change is required, the tendering process must be recommenced with a revised specification or award criteria;
- 14.5 The Procuring Officer must keep written records of all discussions with Tenderers and these must include the following details:
- Who was involved in the discussion from the Partnership and from the tendering organisation;
 - The date, time and location of any meeting; and
 - The nature of the discussion and the outcome (it would be advantageous if both parties can confirm agreement of the accuracy of this record);

15. Qualified Tenders

A Tenderer who submits a qualified Tender should be given the opportunity to withdraw the qualification. If the Tenderer fails to do so, the whole Tender shall be rejected if it is considered that such qualification affords the Tenderer an unfair advantage over other Tenderers.

16 Confidentiality of Tenders

- 16.1 Between the last date and time for the receipt of Tenders and the date on which a decision is taken as to which, if any, is to be accepted, Tenderers may be contacted in cases where it is necessary to confirm or clarify the terms of the Tender or to effect any necessary adjustments. No information concerning any Tender other than their own will be disclosed to the Tenderer so contacted. A full written record shall be kept of all such contacts and shall be retained with the original Tender.
- 16.2 During the period between the opening of the Tenders and the stage where the content of them is required to be publicly known an absolute obligation of preserving confidentiality will rest on Members and officers of the Partnership.

17. Contract Conditions

Part 5: Contract Standing Orders

17.1 Except as detailed below, the Partnership's standard contract terms and conditions must be applied to contracts entered into on behalf of the Partnership.

17.2 It is permissible in relation to Works contracts to use widely recognised, construction industry standard contracts -e.g. I.C.E, J.C.T., N.E.C.

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17.3 The Partnership Director may authorise contract terms substantially different from those set out only in exceptional circumstances, and after consultation with the Solicitor.

18. Definitions

"Best Value" - means the provisions contained in Part 1 of the Local Government in Scotland Act 2003.

"FTS" – means the new UK e-notification service called Find A Tender Service (FTS) accessed via www.publiccontractsscotland.gov.uk

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"Quick Quote" -means an online request for quotation facility operated through the Public Contracts Scotland Website used to obtain competitive quotes for low value/low risk procurement exercises or for mini competitions within framework agreements.

"the Regulations" –means the Public Contracts(Scotland) Regulations 2015, or any amendment or re-enactment thereof.

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"SESTRAN" - the South-East of Scotland Transport Partnership

Services - means those services which can be the subject of a public service contract in terms of the Regulations.

Deleted: Services as defined in the EU Consolidated Public Procurement Directive....

Supplies - means those supplies which can be the subject of a public supply contract in terms of the Regulations. "Works" - means those works which can be the subject of a public works contract in terms of the Regulations.

Deleted: Supplies as defined in the EU Consolidated Public Procurement Directive.¶

Deleted: Works as defined in the EU Consolidated Public Procurement Directive.¶

Part 5: Contract Standing Orders

Deleted: Appendix 1 – Tender Opening Procedures – Standing order 7

EU TENDER PROCEDURES CONTRACTS FOR WORKS £4,000,001 AND OVER; CONTRACTS FOR SERVICES AND SUPPLIES £150,001

Notification of Closing Date

At least fourteen days before the closing date, the Programme Manager shall arrange with the Secretary and a Member of the Partnership for their attendance on the tender opening date.

At least three days prior to the closing date, the Programme Manager will send a Tender Return Form to the Office Manager providing the following information:-

Title of Contract and Reference Number

Closing Date

Number of firms invited to tender

Contact name and extension number for queries

The Tender Return Form will be passed to the Clerical Assistant responsible for the receipt of tenders who will schedule the receiving of the tenders into his/her work programme.

The Office Manager will schedule the opening arrangements into his/her work programme: this will normally be done each Friday for contracts where the closing date is the following week.

The Clerical Assistant responsible for the receipt of tenders will place a copy of all Tender Return Forms in a folder in the Chairman's office.

Receipt of Tenders

Tenderers shall be instructed to return their tender by post or hand-delivery to: The SESTRAN Secretary, Area 3D (Bridge), Victoria Quay, Edinburgh, EH6 6QQ.

Tenders will be instructed to return their tender in the pre-printed envelope which will be supplied to them.

On receipt, the date and time of receipt will be stamped/written on the tender envelope. The words "late tender" will be written on any tenders received after the specified time.

Tenders received after the closing date and time will not be opened or considered under any circumstances.

Tenders will be held in a locked filing cabinet by the Clerical Assistant responsible for the receipt of tenders prior to the opening time. Each time a tender is received, the Clerical Assistant responsible for the receipt of tenders will mark a copy of the Tender Return Form to indicate that a tender has been received. The tenders for each contract will be held separately and secured together [eg by an elastic band] within the filing cabinet.

Document Version Control – Corporate Procurement Policy

Date	Author	Version	Status	Reason for Change
Aug 2017	Andrew Ferguson	1.0	Board Approval	Implementation
March 2021	Gavin King	1.0	FINAL	Reviewed, no changes

SEStran Corporate Procurement Policy September 2016

1. Introduction

This procurement policy has been prepared in response to the changing procurement agenda where it is now recognised that there is a need to further emphasise the importance of the role in the delivery of efficient and effective public services.

The Scottish Government’s Public Services Reform Agenda and the subsequent Procurement Reform (Scotland) Act 2014 and the associated Public Contracts (Scotland) Regulations 2015 have given a clear direction to all, that procurement should be an integral part in delivering effective and efficient public services. Whilst there is no statutory need for SEStran to have a procurement strategy or policy at present due to its expenditure being below the threshold in Section 15 of the 2014 Act, it was considered appropriate to take account of recent developments and ensure that the procurement function continues to support the key objectives of SEStran and makes a contribution to the achievement of best value in line with SEStran’s existing contract standing orders.

This policy sets out our approach to procurement and provides a clear framework for linking the procurement function to the delivery of the Regional Transport Strategy as well as sustainability, efficiency and improving services objectives. In governance terms, the policy links to and compliments the SEStran Contract Standing Orders. It provides part of the evidence suite for demonstrating compliance with the law and the achievement of best value by SEStran across all aspects of procurement: purchasing supplies, services and works, ranging from contracting a whole service to the purchase of day-to-day consumables.

Well managed procurement processes can have a significant impact on improving efficiency, making the best use of SEStran resources and delivering continuous improvement in performance.

Whilst the major requirements of the Procurement Reform (Scotland) Act 2014 do not all apply to SEStran e.g. the need to produce a procurement strategy, it was agreed that a procurement policy should be produced as a matter of good practice, given in the context of the Public Contracts Scotland Regulations 2015, SEStran is a “body governed by public law” and therefore defined as a contracting authority for the purposes of the regulations as specified in Part 1 Section 1 (1) (b) of the 2014 Act.

However, it is also the case that there will be procurement situations where SEStran may need to award a contract without competition and in these situations this policy outlines that procedures will follow the requirements of the Procurement Reform (Scotland) Regulations 2016 and the Public Contracts (Scotland) Regulations 2015.

2. Vision

SEStran's vision for procurement is to provide a high quality, fit for purpose Corporate Procurement Service which will provide best value for SEStran and support the delivery of the Regional Transport Strategy vision:

"South East Scotland is a dynamic and growing area which aspires to become one of northern Europe's leading economic regions. Essential to this is the development of a transport system which enables businesses 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 better health".

3. Policy Principles

- Place and develop the policy within the wider context of SEStran's Regional Transport Strategy and governance procedures.
- Take account of national developments, the Public Services Reform agenda and the needs of the SEStran area.
- Operate within the legislative framework imposed by the Public Procurement Directives, national legislation and SEStran Standing Orders and recognise the accounting requirements and efficiencies of Best Value.
- Set out the reasons and justification for the approach taken to procurement and issues such as awarding a contract without competition.
- Effectively demonstrate adherence to the four C's of best value (Challenge, Compare, Consult and Compete) where appropriate.
- Meet SEStran's needs for goods, services and works in a way that achieves value for money on a whole life cost basis in terms of generating benefits not only to the organisation, but also to society, economy and environment.
- Consider how procurement can improve the economic, social, and environmental wellbeing of the SEStran area with particular reference to reducing inequality in the SEStran area, facilitate the involvement of small and medium enterprises, third sector bodies and supported business, and promote innovation.
- Demonstrate through the procurement process that SEStran has given due regard to whether the award criteria and conditions relating to the

performance of a relevant contract should include consideration to enable it to better perform its equality duty.

- Clearly establish that in undertaking any regulated procurement that SEStran treat all relevant economic operators equally and without discrimination and act in a transparent and proportionate manner for all procurement activity.
- Protect public spending, ensuring that public money is spent properly ensuring integrity and accountability.

4. Use of Competition and Best Value

The aim of our procurement policy is to use competition where this is both appropriate and necessary to improve the delivery of goods, works and services and where the risks and benefits of competition have been clearly established.

SEStran operates, on behalf of constituent council members, a number of regulated contracted services which have been won under a compulsory competitive tendering regime and it is the policy of SEStran to continue to market test these contracts and the provision of all forms of procurement undertaken by SEStran in line with the Scottish model of Procurement and associated legislation and regulation. However, in terms of some contracts, best value may be achieved by the continued delivery of the contract without competition and in these situations SEStran will clearly outline the rationale for this in line with the Regulations.

5. Contract Standing Orders

SEStran is committed to ensuring that its procurement function maximises its contribution towards the delivery of efficient and effective public services. To achieve this, procurement processes and procedures must be open, robust and continuously improved to reflect recognised best practice.

As a public body, SEStran has to follow strict rules in the way we invite, evaluate and award contracts. These rules are set out in legislation and our own Standing Orders¹. Their purpose is to ensure accountability, openness and transparency in the way that we do business with suppliers and to protect SEStran and its employees from any legal challenge or allegation of impropriety in the way we conduct our business.

6. Advertisement, Application and Award

SEStran will seek to increase the transparency of procurement activity to all operators through the publication of an annual procurement report to be scrutinised and agreed by SEStran's Performance and Audit Committee. SEStran will also use

¹ [SEStran Contract Standing Orders](#)

Part 6: Corporate Procurement Policy

Public Contracts Scotland to advertise regulated and OJEU contracts and publish award notices.

In awarding any tender, SEStran officers will comply with the General Duties of the Procurement Reform (Scotland) Act 2014, and, if applicable, The Public Contracts (Scotland) Regulations 2015, and also comply and record compliance with the Sustainable Procurement Duty outlined within the 2014 Act. This will be done in a proportionate way but applied to all regulated procurements undertaken by SEStran from 1 June 2016.

All SEStran employees involved in regulated procurements will be required to fill in a template form (Annex 1) outlining how they have undertaken the following aspects of the General and Sustainable Procurement Duties for regulated procurements. They will also have treated all relevant economic operators equally and without discrimination, acted in a transparent and proportionate manner, considered how the procurement can improve the economic, social and environmental wellbeing of the SEStran area, facilitated the involvement of small and medium enterprises, third sector bodies and supported businesses and promoted innovation.

Wellbeing is explained in summary with the Procurement Reform (Scotland) Act 2014 Statutory Guidance published in March 2016 and in detail with The Local Government in Scotland Act 2003 – Guidance on the Power to Advance Wellbeing

It will also be recognised and recorded through the procurement process how compliance with the general duties and sustainable procurement duties have aided compliance with respect to the Equality Act and specific Scottish duties and the Climate Change Act 2009 and the associated Public Bodies Reporting duties.

7. Monitoring and Review

It is important that this policy is regularly monitored and reviewed to ensure that it continues to meet the needs of SEStran and delivers measurable contributions towards the achievement of SEStran objectives. Member scrutiny will be undertaken by an annual performance review reporting to SEStran's Performance and Audit Committee.

September 2016

Non- Councillor Member Appointments

1. INTRODUCTION

1.1 This report seeks approval to extend the term of non-councillor board member, Doreen Steele to 31st March 2022, to align her term with that of the other non-councillor members.

2. BACKGROUND

2.1 Non-Councillor Member Doreen Steel was appointed in March 2017 for a four year term, ending on 31st March 2021.

3. APPOINTMENT

3.1 The Succession Planning Committee has recommended that non-councillor member, Doreen Steel's term is extended to 31st March 2022, to align her term with that of the other non-councillor members.

3.2 Dr Steele indicated her preference to remain in post and the extension to her appointment was endorsed by the Chair. The relevant paperwork will be completed to confirm the arrangements.

3.3 The Board should note that a reappointments/recruitment exercise for the Non-Councillor Members next term from 2022-2026 will commence late 2021.

4. RECOMMENDATIONS

4.1 The Board is asked to:

4.2 Approve the extension of non-councillor board member, Doreen Steel's term to 31st March 2022, and;

4.3 Note that a reappointment/recruitment exercise for the 2022-2026 term of Non-Councillor Members will commence late 2021.

Gavin King
Secretary
12th March 2020

Policy Implications	None
Financial Implications	None

Equalities Implications	None
Climate Change Implications	None

SEStran Business Plan 2021-22 to 2023-24

1. INTRODUCTION

- 1.1** The purpose of this report is to seek the Board's in principle approval of a proposed three year Business Plan, subject to a finalised version being brought to the June cycle of Performance and Audit Committee and Board for further consideration.

2.0 BACKGROUND AND CONTEXT

- 2.1** The global pandemic has left the transport sector, in common with most other sectors, in a state of flux. Whilst much good work has been done by the Regional Transport Transition Group of which SEStran is a member, as the country emerges out of lockdown, many issues remain about the future of transport in the region and the so-called 'new normal.'
- 2.2** It is unlikely that these issues will all have worked their way through by April next year. Indeed, even if the pandemic is brought under control by this summer, considerations such as the future of air travel, and how public transport can return to pre-pandemic levels and beyond, will take a long time to resolve.
- 2.3** Another issue which is likely to impact most on the movement of freight is the impact of Brexit. Again, the full implications of the European Withdrawal Agreement remain unknown, and will only become clearer in the next few years. What is clear from the point of view of SEStran's own projects is that EU collaborations will not take the same shape as previously – although, as has been set out in the Projects Report, existing projects will still take place, and in some cases may be extended.
- 2.4** Even prior to the Covid-19 outbreak, the governance landscape posed challenges which would require a considered response from SEStran's point of view. The future of regional transport partnerships (RTPs) is the subject of a review, stalled by the pandemic, but now ongoing again. The Transport (Scotland) Act 2019 gave new powers, principally to local authorities, but with some potential for involvement from RTPs, particularly around Bus Service Improvement Partnerships (BSIPs).
- 2.5** In related sectors, regional land use planning is still awaiting the full implementation of the legislation that brought in Regional Spatial Strategies (RSS), and there is clearly an opportunity to better align land use and transport planning. The creation of the City Deal governance structure should help to strengthen collaboration amongst those SEStran authorities involved, and there is evidence of good joint working between SEStran and the City Deal authority as part of the Regional Transport Transition Group.

2.6 In many ways therefore the emerging policy framework is well timed to address all of these challenges. The latest iteration of the National Transport Strategy (NTS2) is now in place. The Government's Strategic Transport Projects Review (STPR) has reached the first sift stage, and will help to direct Transport Scotland's investment decisions on transport infrastructure. As Members will be aware, SEStran's Regional Transport Strategy (RTS) is entering the consultation stage, and will inform SEStran's activities for the coming years.

2.7 The availability or otherwise of funding for SEStran's activities remains a matter for consideration beyond a one year horizon. There will be a need to attract more funding to allow the organisation to achieve its goals going forward, particularly as EU sources reduce. However, replacement funding for similar projects is anticipated. Further, in the post-pandemic landscape, it is likely that opportunities for investment in the active travel, and bus, networks may start to emerge.

3.0 TOWARDS A THREE YEAR BUSINESS PLAN

3.1 In that context, it makes sense to put forward a Business Plan that has a longer event horizon than a single financial year. Accordingly, the Business Plan appended is a draft three year Plan for approval.

3.2 Of necessity, some of the parts of the Plan are in incomplete form. Although the annual budget is being presented to the Board at this meeting, the final outturn for year 2020/21 will not be known until June. Other 'known unknowns,' such as the outcome of funding bids and the future of EU projects and their successors, may be clearer by then.

3.3 Accordingly, it is proposed that, subject to approval by Members today, a finalised version will be brought back to the Performance and Audit Committee at its June meeting, for onward transmission to the Board that month.

4.0 KEY FEATURES

4.1 The Business Plan follows in the main the format set out in last year's one-year Plan. However, in the projects section longer-term developments are set out where known; the three year budget, again in draft form, is set out in the Annexes; and the impact of Covid on operational matters forms another Annex.

5.0 RECOMMENDATIONS

4.1 It is accordingly recommended that the Board:

(a) Note the terms of the report;

(b) Agree the initial draft Business Plan appended, with a final version taking into account the budget outturn and other developments being

brought back to the Performance and Audit Committee for further scrutiny and onward transmission to the Board in June.

Jim Grieve
Partnership Director

Andrew Ferguson
SEStran Consultant

12th March 2021

Appendix 1: Draft Business Plan 2021-2023

Policy Implications	The Business Plan will align with SEStran's established and emerging policies
Financial Implications	The Business Plan will be subject to formal Board approval of proposed budgets in year 2021 – 22 and subsequent years.
Equalities Implications	No separate EqIA will be carried out as the Business Plan does not propose a change to SEStran's policies and procedures.
Climate Change Implications	The implications for Climate Change issues will be assessed at project level.



SEStran

Draft Business Plan

2021/24

March 2021

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 SEStran area there are diverse transport challenges, ranging from urban congestion to rural public transport and declining bus patronage, and from the need to deliver more integrated mobility, to sustainable logistics and freight hubs. The region is highly diverse from both a geographic and socio-economic perspective. While Edinburgh is expected to lead the economic recovery post-Covid, even before the pandemic other communities in the region were severely affected by social and economic deprivation, further impacted by limited access to sustainable and affordable travel choices.

Inevitably the short-term challenges are centred round the region's recovery from the societal, behavioural and economic impact of Covid-19 on its transport system, and in particular its public transport. Going forward, projected increases in population and households will put additional pressures on transport in the area, and integrated land use and transport planning will be essential if increased car dependency is to be avoided.

Last but not least, the full implications of Brexit on the region, its economy, and what impact there will be on, for example, the transport of freight in and out of the area, are still to be fully understood.

All of these factors have contributed to the need for a three year, rather than a one year, Business Plan.

NTS2 (the review of Scotland's National Transport Strategy) was presented to Scottish Parliament on 5 February 2020. The Scottish Government's vision is to have a sustainable, inclusive, safe and accessible transport system helping deliver a healthier, fairer and more prosperous Scotland for communities, businesses and visitors which will reduce inequalities, take climate action, help deliver inclusive economic growth and improve health and wellbeing.

Linked to NTS2 is STPR2 (Second Strategic Transport Projects Review) being taken forward by Transport Scotland. Three STPR regional areas exist across the SEStran geography, with SEStran represented on the Regional Transport Working Groups established for each STPR2 area, and chairing the Regional Transport Working Group encompassed by the Edinburgh and South East Scotland city deal geography.

Ultimately, the STPR process will identify a series of interventions consistent with the aims of NTS2 to be delivered at national regional levels over the next 20 years. The first sift of proposed projects was published in February this year, and we look forward to engaging with Transport Scotland on the proposals for the SEStran region in the coming months.

There is an ever-increasing focus on the climate crisis we are currently facing and working towards a net zero carbon future will be a major influence on transport and its infrastructure in the decades to come. It is of note that this country is hosting the next international climate change conference ("COP26"), in November this year and therefore we can expect a great deal of attention being focussed on this country and what we are doing to help address the climate situation, particularly in respect of transport.

SEStran is now in the process of preparing a new Regional Transport Strategy (RTS) which will reflect the vision and aims of NTS 2 and will also take into account the rapid economic growth taking place in the south east region, and respond to initiatives being pursued by our partner councils, such as Edinburgh's proposed Low Emission Zone. Consultation on the draft RTS will start in the coming months.

The longer-term future of regional governance remains under consideration by Transport Scotland and the Scottish Government. Scotland's seven RTPs will continue to support the case for statutory Regional Partnerships with the potential to augment current transport functions with planning and economic development expertise, as an effective and efficient way to develop holistic regional strategies and visions – such as new Regional Spatial Strategies which have been introduced under the new Planning (Scotland) Act 2019. There are lessons to be learned from successful collaborations with central and local government as part of the South East Scotland Transport Transition Group.

It is my firm belief that it is only by taking this more coordinated, statutory regional approach that the aims of NTS2 and the new RTS will be delivered. It is also my view that SEStran may need to again review and reassess its model 1 RTP status, to enable it to take a more effective role in working with bus companies to make a real contribution to our most disadvantaged communities, and towards reversing declining patronage and in so doing helping to deliver NTS2. SEStran is taking an active role, for example, in the Bus Service Improvement Partnerships (BSIPs) emerging in the region in terms of the Transport (Scotland) Act 2019.

SEStran also continues to be very much involved in EU projects, with five currently under way. All of SEStran's current EU projects are very relevant to the NTS2 and to the Regional Transport Strategy and will provide valuable knowledge to assist all SEStran partners in the future. SEStran will look to future arrangements to succeed those currently in place, to enable continued partnership working with the EU. It is hoped that replacement funding for projects of this nature will be made available, but at time of writing this remains unclear.

A range of active travel projects will be completed in the coming year, having been delayed by the pandemic. These will include work with Sustrans Scotland and for Transport Scotland's Active Travel Team, in addition to funding the delivery of new e-bike hubs in the region.

There is a great deal to take up SEStran's attention in the years ahead, as it consults on its own RTS, and contributes to such matters as STPR2 development, and the development of bids to the Bus Partnership Fund as part of the region's emerging BSIPs. This is in addition to significant project work and strategy development to be progressed over the year. However, the impacts of the pandemic, Brexit, and continuing economic uncertainty arising from both, indicates that planning for a longer horizon than just 12 months is prudent. Despite all the challenges, SEStran's staff have delivered and will continue to deliver a long term vision for the future of transport in the region.

With that in mind, I am delighted to present our Business Plan for 2021/24.

Councillor Gordon Edgar

Chair of the South East of Scotland Transport Partnership

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1. Introduction

SEStran presents its 2021 -2024 Business Plan, which outlines the plans for the next three years 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 2021-24, SEStran will work across its five established core strategic themes to deliver on its vision. The first four of these fully align with the four priorities in Scotland’s new National Transport Strategy (NTS2), published in February 2020. The following table shows this alignment:

NTS2 priorities	SEStran core strategic themes	Theme graphic
Reduce inequalities	Accessibility – To improve accessibility for those with limited transport choice, mobility difficulties, or no access to a car	
Take climate action	Environment – To ensure that development is achieved in an environmentally sustainable manner	
Help deliver inclusive economic growth	Economy – To ensure transport facilitates economic growth, regional prosperity and vitality in a sustainable manner	
Improve our health and wellbeing	Safety and health – To promote a healthier and more active SEStran area population	
Governance and partnership working	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 access to the labour market and key business locations, particularly by sustainable travel modes - 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 with a transport dimension, particularly land-use planning and economic development;
- To reduce the negative impacts of congestion, by supporting interventions that 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 for all, through safe, affordable and sustainable travel options including active and public and shared modes of travel;
- 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 ensure SEStran contributes to achieving Scotland's target of 'net zero' carbon emissions by 2045, and meet intervening targets, and UK 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



Governance

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 mainstreaming of our Equality Outcomes;
- To explore and assess the potential benefits of enhanced RTP operating models to deliver better bus / public transport services in the region.



3. Strategy

Regional Transport Strategy



A new Regional Transport Strategy (RTS) for the SEStran region is under development. This is proposed to cover the period up to 2035, and it will respond to and allow for alignment to new national level policies and strategies including the National Transport Strategy 2, the National Planning Framework 4, the Climate Change (Scotland) Act 2019, as well as regional spatial and economic strategies under development across the SEStran area.

SEStran's current RTS is in effect until 2025.

Objectives

- *Develop a new Regional Transport Strategy for the South East of Scotland that aligns to national transport policy and objectives*

Forward Plan:

RTS Development

- The development of the RTS is being delivered through consultancy support. The development will involve consulting key stakeholders, establishing of a case for change, appraising preliminary options and carrying out statutory assessments including a Strategic Environmental Assessment and Equalities Impact Assessment.
- Stantec were appointed to develop the new RTS in December 2020 and the new RTS will be completed in 2022.
- The development timescales for the RTS are aligned to the development of other, linked strategies such as the Second Strategic Transport Projects Review (STPR2).

4. Planned Activities 2021-24

4.1 Current Programmes and Projects

GO e-Bike



GO e-Bike is a regional bike-sharing scheme funded by SEStran, with a contribution from the SHARE-North project. It comprises eleven hubs operating throughout the SEStran area.

Objectives

- To promote more active and healthier lifestyles 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.

Forward Plan:

GO e-Bike expansion with LCTT & TS funding

- Cargo bikes that have been transferred to Cargo Bike Movement will be utilised in a series of projects in Edinburgh that reduce the vehicle movement and promote community sustainability.
- The “[Do The Ride Thing](#)” campaign and website¹ that were launched at the end of January 2021 will be promoted throughout the life of the Go e-Bike project and beyond.

Future developments 2021 – 24:

- Subject to available funding this is likely to be an area of further development over the next three years.

Regional Cycle Network Grant Scheme



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.

Objectives

Forward Plan:

¹ <https://www.dotheridething.co.uk/>

- *To promote a more active and healthier lifestyle through active travel with a focus on delivering cross-boundary routes between communities*

Strategic Cycle Network

- SEStran will support partners with funding for feasibility and design work for priority routes within the Strategic Network, and early discussions on routes for 2021/22 have commenced.

Future developments 2021 – 24:

- Subject to confirmed funding this is likely to be an area of further development over the next three years.

Regional Active Travel Development Fund – Transport Scotland



Objectives

- *To promote a more active and healthier lifestyle by encouraging cycling and supporting cycling infrastructure*

The Regional Active Travel Development Fund was established between Transport Scotland and the Regional Transport Partnerships to advance cross-boundary Active Travel projects.

Forward Plan:

Project 1: Attitudinal Survey & Data Collection

- A longitudinal survey that commenced in 2020, being undertaken by “The Lines Between” will be carried out throughout 2021/22.

Project 2: Mobility Hubs feasibility study

- SEStran has proposed to allocate £80,000 in 2021/22 to carry out a feasibility study and develop a business case for the addition of Mobility Hubs alongside new rail station locations in Fife, including Cameron Bridge, Leven, as well as at St Andrews and Leuchars

Project 3: Active Travel Projects

- SEStran and partners will investigate a number of potential active travel links within the region.

Project 4: Project Resource

- SEStran has again bid for resource funding to support the breadth of active travel projects that happen across the partnership.

Future developments 2021 – 24:

- Subject to available funding this is likely to be an area of further development over the next three years.

Cycle Training & Development – Cycling Scotland



This workstream supports and develops the delivery of Bikeability Scotland National Standard cycle training delivered by local authority Bikeability coordinators. It promotes, encourages and develops cycle training opportunities across SEStran projects.

Objectives

- *To increase awareness of safer cycling and cycling road safety for young people in particular, and for the general public.*
- *Promote cycle training opportunities within SEStran projects.*
- *Support Local Authorities to increase delivery of Bikeability Scotland training*

Forward Plan:

Bikeability Scotland

- The current Covid-19 guidance on delivery of Bikeability and staff training means that there is currently little or no delivery across the region.
- An access to bikes fund was made available for local authorities to apply for bike fleets to support Bikeability Scotland delivery. This was open to applications until mid-February.

GO e-Bike cycle training

- Training is offered to all hubs as they are completed and as part of ongoing development plans.

Adult and Family Cycle Training

- The Essential Cycling Skills course has been adapted in order to make the purpose of the sessions clearer. This has also involved development of new promotional materials. A trial and evaluation will be carried out with employers and individuals to determine the effectiveness of this approach once restrictions allow in the SEStran region.
- A Cargo Bike training course has been developed, three sessions were delivered for volunteers collecting and delivering food for Edinburgh based charities before Christmas, and more sessions will be delivered in the coming months.

Future developments 2021 – 24:

- Subject to available funding this is likely to be an area of further development over the next three years.

Thistle Assistance Programme



SEStran has developed the Thistle Assistance Card and App to make public transport easier to use for older people and those with disabilities, illness or mobility issues.

Objectives

Forward Plan:

- *To encourage the use of public transport by making it easier and more accessible for disabled and older people.*

Journey Planner App - Phase Two

- SEStran will receive £150,000 to deliver a working prototype App in 2021/22.
- Bids will be invited from individual developers or consortiums, through a mini competition between five app developers or consortia.
- The successful developer(s) will be announced April with work commencing in May 2021.

Thistle Assistance Programme Update

- SEStran will continue to promote the Thistle card and App with an exemption message for those that cannot use a face covering when using public transport. Messaging has been developed for print, social media and on the website².
- We will continue to distribute the Thistle Assistance cards (with mask exemption stickers) following their success and high demand in 2020/21.

SEStran Website

- The development of the new SEStran website functionality was delayed in 2020/21 and will be completed in 2021/22.

Future developments 2021 – 24:

- The integration the proposed MaaS tech solution with the Thistle Assistance Journey Planner App is planned to take place over the next year and beyond.
- Subject to available funding this is likely to be an area of further development over the next three years.

Real Time Passenger Information (RTPI)



SEStran has, since 2010, coordinated a region wide, comprehensive network of information screens at key travel hubs, shopping centres, hospitals etc, and supported the coordination of travel and real time public transport information. Successful support of a common Content Management System was achieved in 2019/20 which will improve the information provided in the public facing regional screen network incorporating real time bus information from April 2021.

Objectives

- *To tackle declining bus patronage by providing*

Forward Plan:

New Content Management System and hardware upgrades

The new system, once operating successfully, will be handed to CEC and SEStran with an estimated handover date of April 2021.

² <https://www.thistleassistance.com/travel-safety/>

real-time information about bus arrivals

- *Encourage sustainable transport by making public transport journeys safer and more accessible*
- *Encourage multi-modal transport choices*

Public Transport Capacity Information

- Bus capacity information on public transport for use by Traveline Scotland is a new information feed that will be integrated into the new SEStran regional RTPI system and seen on screens and displays from spring 2021.

RTPI Screens Network

- Plans for expansion and enhancement of the screens network will be coordinated by SEStran throughout 2021.

Future developments 2021 – 24:

- Subject to available funding this is likely to be an area of further development over the next three years. The RTPI project continues to add value by giving bus passengers greater certainty on arrival and departure times. There is also the potential to integrate RTPI with emerging tech solutions like MaaS and DRT.

Newburgh Train Station Study



SEStran is carrying out an options study for Newburgh, with work being delivered by consultants Systra appointed to work on behalf of SEStran. This study is funded by the [Local Rail Development Fund](#) with the aim of providing funding to develop community led options to improve local rail connections.

Objectives

- *To work in partnership with the Newburgh Train Station Group and Fife Council to develop community led options to improve local rail connections*

Forward Plan:

Options Appraisal

- The 'Detailed Options Appraisal', Phase 3 of the project, will be carried out during 2021 (work commenced in February 2021) and is expected to take approximately six months, before its submission to Transport Scotland.

Future developments 2021 – 24:

- Subject to available funding and the outcome of the Detailed Options Appraisal this is likely to be an area of further development over the next three years.

Forth Freight Study



SEStran, in partnership with Forth Ports, has commissioned a study to explore the potential to develop sustainable, multimodal freight gateways in the region and around the Forth. It aims to identify key locations for potential freight consolidation centres. The study being carried out by Aecom, is funded by the [Local Rail Development Fund](#).

Objectives

- To investigate existing freight movements, the barriers faced by multimodal freight terminals when trying to target and encourage customers to make the switch to more sustainable modes (sea and rail)
- To evaluate the potential environmental benefits and commercial viability of sustainable freight/goods movements.

Forward Plan:

Initial Options Appraisal

- Phase 2 of the study, the 'Initial Options Appraisal' will commence in 2021, once final approval for the 'Case for Change' Phase One report is received from Transport Scotland.

Future developments 2021 – 24:

- The delivery timescale for LRDF funded projects was extended in 2020 by Transport Scotland, in recognition of the impacts of Covid-19. The revised completion date for the Forth Freight Study is now June 2022, and the project is likely to continue until at least June 2022.

4.2 European-funded Projects

SHARE-North

Interreg North Sea Region
– Jan 2016 to June 2022

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



Objectives

- To reduce the number of single occupancy cars and increase efficiency of the existing road infrastructure

SHARE-North focuses on shared mobility and its potential to address sustainable transport challenges in the North Sea region. Mobility Hubs raise the profile of shared mobility (car club, bike-sharing, carsharing), by integrating these modes of transport with existing public transport provision. Following the completion of the Mobility Hub Strategic Study in 2020 SEStran has been working with partners to identify potential opportunities to plan for Mobility Hubs.

Forward Plan:

Mobility Hubs

- SEStran has committed funding to the region's first mobility hub in Musselburgh, East Lothian, to be called a 'Journey Hub' and this hub is nearing completion.
- SEStran is supported Fife Council in identifying funding to carry out feasibility and business case development for Mobility Hubs

- To promote bike sharing, car sharing, ride sharing and 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

at east Fife railway stations at Leven, Cameron Bridge, St Andrews and Leuchars. An application to Sustrans Scotland is on hold along with other applications to the Places for Everyone fund.

Tripshare SEStran


- Due to the ongoing impacts of Covid-19 and Scottish Government guidance on carsharing, SEStran is not actively promoting the Tripshare SEStran platform. A reduced level award to Liftshare provides for a one-year contract to maintain the platform and retain existing members, until late 2021.
- Further decisions on how trip sharing opportunities are to be procured and provided will be taken in 2021, subject to a review of national policies on public health and car sharing and other trip-sharing approaches within Scotland.

Future developments 2021 – 24:

- SHARE-North has been extended to the end of June 2022 to allow its completion. The potential for rolling out the Mobility/Journey Hub concept across the region will be explored during this three year period, as will the role of car sharing in achieving modal shift.

SURFLOGH
Interreg North Sea Region – Jun 2017 to Oct 2020

Case studies for sustainable Urban Logistics Hubs



SURFLOGH aims to enhance the role of sustainable logistics in urban logistics networks in the North Sea Region. SURFLOGH has created a trans-national network of ‘city hubs’ promoting innovation in city logistics. They bring partners together to exchange knowledge and work on innovative pilot projects and business models that can work in real world urban logistics systems. SEStran’s Edinburgh pilot operating near Haymarket has been running successfully since 2018, delivering a pallet worth of small package deliveries by cargo bike weekly.

Objectives

- To encourage the adoption of green innovative solutions in urban freight logistics
- To increase efficiency in urban distribution via urban logistics hubs

Forward Plan:

Development of business case with Edinburgh Napier University

- SEStran will continue to lead on the project’s work package to develop business models for urban freight hubs along with Edinburgh Napier University Transport Research Institute (TRI)
- An application to extend the project has been submitted to the EU Joint Secretariat and if successful will provide a further 18 months’ work.

Edinburgh Pilot ZEDIFY – hub expansion

- *To stimulate green transport in an urban environment*
- *To stimulate innovations in urban logistics*

- The expansion to the initial pilot project will become fully operational, operating from the new ZEDIFY site in Leith, Edinburgh will test the expanded Edinburgh logistics hub from 2021.

Expansion of Edinburgh Cargo-Bike delivery

- SEStran, in a joint arrangement with Transport Scotland, will support Cargo Bike Movement (CBM) and their new community hub in Edinburgh, launching in May 2021. CBM promotes the use of cargo bikes as a fairer, healthier and greener alternative to carbon-emitting vehicles in the delivery of goods and for individuals and families.
- Information from this new community hub approach will contribute to SURFLOGH research.

Future developments 2021 – 24:

- Subject to available funding, the extension of the Interreg project, the Zedify logistics hub and the cargo bike initiatives are all likely to be areas of further development over the next three years.

BLING

Interreg North Sea Region
– Jan 2019 to June 2022

Blockchain in Government



The BLockchain IN Government (BLING) project focuses on providing one of the first dedicated platforms to test and bring the application of distributed ledger technology into local and regional services. SEStran’s role in the project is to develop a pilot, called ‘GeoPact’³ with the University of Edinburgh, to showcase innovative use of the technology in a transport environment.

Objectives

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

Forward Plan:

Development of Edinburgh Pilot

- The University of Edinburgh and SEStran will jointly present a full paper on the joint work package to the Conference on Human Factors in Computing Systems (CHI)⁴ in May 2021.
- The paper will set discuss the creation of Location Based Smart Contracts – agreements about the location and relations of smart objects in space that allow conditions such as proximity or co-location to trigger actions like financial transfers or opening physical locks. These systems are backed with blockchains, to

³ <https://northsearegion.eu/media/14062/geopact-pictorial-tallyn-2020.pdf>

⁴ <https://dl.acm.org/conference/chi>

explore new techniques to make location data secure without being invasive.

Future developments 2021 – 24:

- Likely to continue to June 2022 at least.

PriMaaS

Interreg Europe – Aug 2019 to Jan 2023

Advancing MaaS through policy development



Objectives

- *Create a knowledge hub to support regions in promoting the MaaS concept and meeting citizens' transport needs*
- *Incorporate MaaS as key mobiliser of sustainable transport solutions in the development of the new Regional Transport Strategy*

Mobility-as-a-Service (MaaS) is a concept that changes the way people travel and pay for mobility services. The main vision of PriMaaS is to promote MaaS and incorporate wider societal goals through interregional collaboration, sharing best practices, and policy development.

Forward Plan:

Baseline Assessment and MaaS Action Plan

- SEStran is working with partners to establish a baseline of MaaS levels in each of the partners' regions. This will help identify best practices and develop an Action Plan to progress MaaS in the SEStran region.

Project activities and partner meetings

- PriMaaS project activities and meetings have moved online due to Covid-19. Depending on ongoing restrictions, SEStran will host a physical or online event during phase 1 of the project.
- The consortium will seek a 6-month extension to the project to mitigate the impacts of Covid-19, subject to formal agreement by the Joint Secretariat of the funding programme.

Maas/DRT in the SEStran region

- Subject to confirmed funding, in 2021/22, SEStran will act as lead partner in a consortium of tech providers and East Lothian and Fife Councils, in an ambitious project exploring potential uses of MaaS and DRT throughout the region. A bid of c. £600K to an overall project of £1.6m was submitted to the MaaS Investment Fund in February 2021.
- The first phase of the project will focus on developing a region-wide MaaS app for public use, to enable planning, booking and payment for many modes of travel (bus, rail, bike hire, car club, taxi). This aspect of the project first focuses around the Journey Hub being developed in Musselburgh.
- The project will seek to test integrating commercial and community transport DRT, in Fife and other parts of the region.

Future developments 2021 – 24:

- As technology solutions to making public and community transport options become more attractive to develop, it is likely that MaaS and DRT concepts will be areas of expansion over the next three years and beyond. The MaaS/DRT project is likely to be a three to five year project.

CONNECT

Interreg North Sea Region – Oct 2019 to Mar 2023

Smart intermodal freight



Objectives

- *Implement new smart processes and working tools (for smart intermodal transport),*
- *Developing strategies for smart efficiency enhancements (smart partnership working)*

CONNECT's overall objective is to support the growth of 'smart inter-modality' in the North Sea Region, through smart efficiency enhancements within freight movement. It looks at connecting the North Sea Region's TEN-T nodes, focusing on implementing new smart processes and working tools (smart inter-modality) and development of strategies for smart efficiency enhancements (smart involvement). <https://northsearegion.eu/north-sea-connect>

Forward Plan:

Project kick-off

- SEStran will be leading on a work package based (WP5) focussed on sharing of best practice and dissemination of key learnings.
- Pilot projects being explored are as follows:
 1. Brussels – centre for smart city port distribution
 2. Oostende: Autonomous loading/unloading of vessels in the port.
 3. Smart seaport terminal accessibility at the port of Gothenburg.
 4. Port of Vordingborg: New smart system for logistics connecting remote nodes in a peripheral region to the TEN-T network

Future developments 2021 – 24:

- The project will run up to end March 2023.

4.3 Regional Partnership Working

South East Scotland Transport Transition Group



The South East Scotland Transport Transition Group (established in June 2020) is a temporary grouping, to develop and oversee a Regional Transport Transition Plan for the transition period following Covid-19 lockdown restrictions. The Group includes local, regional and national partners.

Objectives

- To develop and oversee the Regional Transport Transition Plan for the response to and transition out of emergency lockdown measures implemented to deal with the COVID-19 crisis
- To identify and develop urgent and temporary transport interventions based on an assessment of what is appropriate, and deliverable, for deployment during the period of the Transition Plan.

Forward Plan:

Development of South East Scotland Transport Transition Plan

- SEStran will continue in its role coordinating the development and updating of the South East of Scotland Transport Transition Plan.

Bus Priority Rapid Deployment Fund bid

- SEStran will remain involved in the group as it evaluates the various temporary bus infrastructure measures that were funded by the Bus Priority Rapid Deployment Fund, to help inform plans for future, permanent bus priority measures.

Region-wide sub-group

- SEStran will continue to lead on the related region-wide interventions including previously mentioned work strands - trialling public transport capacity information as part of RTPI, exploring the feasibility of improved public transport through an expanded DRT approach, and Thistle Assistance mask exemption.

Future developments 2021 – 24:

- It is likely that the specific grouping set up to manage the pandemic will be wound down as the country emerges from the effects of Covid-19.

Bus Service Improvement Partnerships



The Bus Partnership Fund (BPF) is a £0.5Bn fund announced by Transport Scotland in November 2020, to fund the development of permanent bus priority infrastructure. Bids can be made by partnerships, led by a local authority, that are working towards Bus Service Improvement Partnership (BSIP) status. BSIPs must be collaborative partnerships involving bus operators and other relevant partners. SEStran actively assists and partners Councils where there are emerging and potentially further new BSIPs in order to maximise investment in bus priority infrastructure into the SEStran region, and ensure that bids within the region are complementary.

Objectives

- To develop permanent bus priority infrastructure to help

Forward Plan:

Fife Bus Partnership and BPF bid development

encourage more sustainable transport and tackle a declining bus patronage

- A bid to the BPF addressing serious, localised congestion issues that affect the performance of bus services within and across Fife is finalised for submission in April, led by Fife Council.
- A partnership grouping with Fife Council, SEStran and bus operators was established in 2020, with Terms of Reference agreed, in advance of a formalised Bus Improvement Partnership.
- SEStran is providing initial secretariat support for this partnership, and has made a contribution of £5,000 towards the analysis of evidence for a Bus Partnership Fund bid.

Edinburgh and south east of Scotland BPF bid development

- A bid growing out of the Bus Priority Rapid Deployment Fund award for temporary bus priority interventions focusses on Edinburgh-bound corridors. The bid, led by City of Edinburgh Council, will be submitted in April and involves six local authorities and operators with services on key city bound corridors.
- SEStran is involved in discussions at all levels of this grouping to help identify and prioritise a range of permanent bus-supportive measures.

Forth Valley Bus Alliance and BPF development

- A bid to the BPF is planned, to address some of the more challenging congestion issues affecting the performance of bus services and affecting commuters travelling within the Forth Valley and central area of Scotland.
- An alliance comprising key bus operators and three Councils agreed both membership and terms of reference in autumn 2020.
- SEStran is providing secretariat support for the Alliance and has made a contribution of £5,000 towards the analysis of evidence for a Bus Partnership Fund bid.

Future developments 2021 – 24:

- SEStran will assist all emerging BSIPs in its area with a view to attracting extra funding for bus priority measures as well as improving bus services generally across the region. The Bus Partnership Fund is likely to have a 5 year timescale.

SEStran Forum Meetings



Objectives



SEStran hosts three different forum groups, the Integrated Mobility Forum, the Equalities and Access to Healthcare Forum and the Logistics and Freight Forum. The aim of the forums is to provide a platform for interested parties to come together and to formulate a regional voice in various transport-related matters.









Forward Plan:

- *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*
- In partnership with Forum membership, forward work programmes will be developed during 2020/21.
- Logistics and Freight Forum**
- The forum will meet in Spring and Autumn in 2021, and forum members will have input into the development of the RTS and other key areas of SEStran work.
- Equalities and Access to Healthcare Forum**
- The forum will meet in Spring and Autumn in 2021, and forum members will have input into the development of the RTS and other key areas of SEStran work.
- Integrated Mobility Forum**
- The forum will meet in Spring and Autumn in 2021, and forum members will have input into the development of the RTS and other key areas of SEStran work.
- Future developments 2021 – 24:
- SEStran will continue to host the existing forum groups, whilst keeping the structure and nature of all partnership working under review.

5. Annexes

Annex 5.1 – 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 region's active travel facilities, delivering more sustainable and healthier transport solutions for people.		Support GO e-Bike Hubs	User numbers and monitoring impact from hubs	Cooperation from hub partners
		Increase programme reach and awareness in region	Website promotion and user campaign "Do the Ride Thing"	Availability of funding
		Promotion of all forms of e-bikes across region`	Seek additional funding opportunities for further e-bike hubs	Availability of funding
Thistle Assistance Card & App				
Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
<p>The Thistle Card App will provide a door-to-door journey planner making public transport more accessible for disabled and older people.</p> <p>Develop awareness of Thistle Assistance Programme</p>		<p>Create an app-based door-to-door journey planner with the aim of making public transport more accessible to all.</p> <p>Develop new training tool for operators</p> <p>Utilise new branding, website and social media</p>	<p>Work with 5 Can Do competition winners to develop phase 2 concepts.</p> <p>Work with transport operators</p>	<p>Development of a working journey planning tool.</p> <p>Increased usage of website/social media</p> <p>Increased awareness amongst public</p> <p>Increased awareness/use amongst transport operators.</p>
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. More screens operational in SEStran region.
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	Partnerships with 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	  	Support the coordination of Bikeability Scotland Level 2 delivery. Develop and support pilots for new delivery models.	Cooperation and engagement from Bikeability Scotland Co-ordinators. Capacity of co-ordinators.	Bikeability Scotland Coordinators are well supported and engaged and have access to the required knowledge and resources.

opportunities across the region.		Identify opportunities for delivering adult cycle training in conjunction with SEStran projects and partners. Developing and supporting opportunities for cycle training at any age across the region.	Training sessions made available through SEStran projects and partners. Training sessions delivered in the region.	Publication of training sessions and ensuring engagement.
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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 Mobility hubs to the SEStran region, building on experiences from Bremen, Germany and Bergen, Norway.	Work collaboratively to introduce 1 Mobility hub to the SEStran region Identification of a suitable location for a Mobility hub.	Successful implementation of Mobility Hub ('Journey Hub') pilot in Musselburgh, in partnership with East Lothian Council
		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

SURFLOGH






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		Work with Zedify to expand Edinburgh hub	Increase customer base and number of deliveries for first and last mile deliveries. Cooperation from Zedify	Development of the new Edinburgh hub in Leith
		Measure impact of Edinburgh hub	Measure the equivalent CO ₂ emission volumes reduced or saved as a result of the trial	Sufficient journey and emissions data from partners

business case for e-cargo bike deliveries in Edinburgh.		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
		Share and disseminate information about sustainable logistics to a wider audience.	Present new research paper at 2020 STAR Conference in Glasgow and at SURFLOGH final conference in Belgium.	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 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.	Build on successful pilot with University of Edinburgh. Present key research papers	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

Regional 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
		Continue to lead by example and deliver sustainability and climate change objectives as an organisation	Organise stakeholder meetings to address various transport related issues	Cooperation from stakeholders
			Provide the Sustainable and Active Travel Fund to help organisations adopt sustainable transport solutions	Involvement of organisations
Regional Transport Strategy (RTS)				
Impact	Strategic objective	Key focus areas	Key Performance Indicators	Critical Success Factor
It is SEStran's statutory duty to create and maintain a Regional Transport Strategy. The strategy must be kept up to date to reflect the pace of the changes affecting the transport of people and goods. The RTS provides a regional framework for future developments and interventions.		Following the successful procurement of consultancy services to develop a new RTS, carry out consultation including statutory elements and appraisal, and the drafting of a new RTS report.	Development of engagement strategy	Stakeholder engagement
			Completion of consultation stages	Stakeholder engagement
			Delivery of appraisal work	Cooperation from stakeholders

SEStran Annual Report 2018/19:

<https://www.sestran.gov.uk/wp-content/uploads/2020/02/SEStran-201819-Annual-Report.pdf>

Annex 5.2 – Budget Summary

	2020/21 £'000	2021/22 £'000	2022/23 £'000	2023/24 £'000
Budget				
Core	581	663	747	768
Projects	1,030	786	582	503
RTPI	50	23	25	25
Total budget	1,661	1,472	1,354	1,296

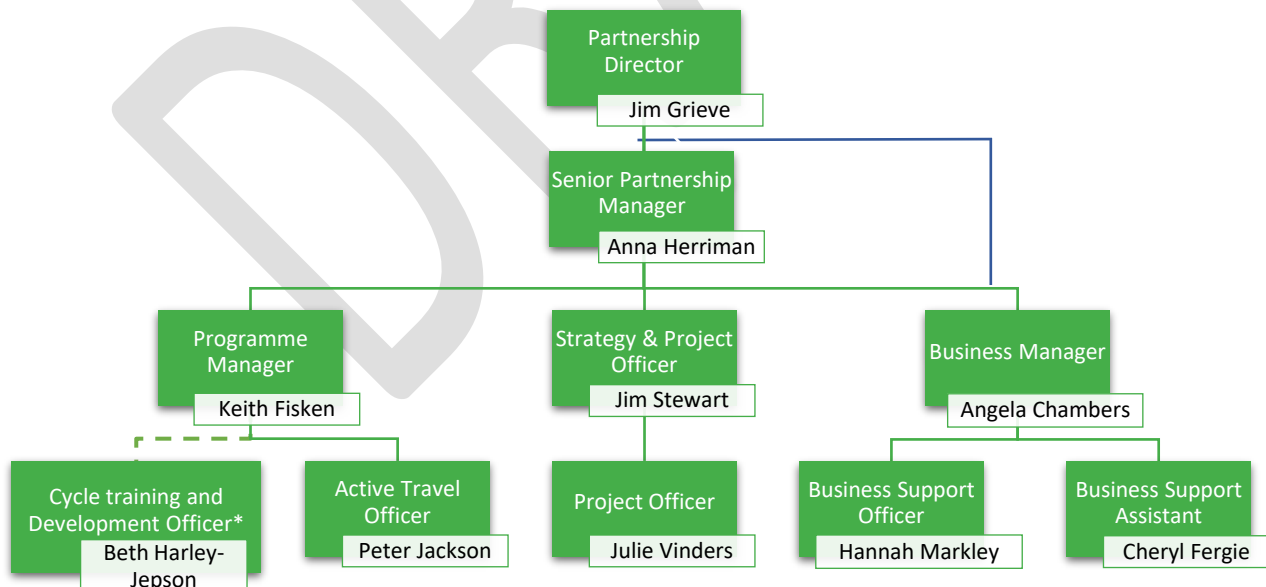
External funding				
EU grants	142	106	38	0
Other income	547	394	344	324
Bus Investment Fund				
Total external funding	689	500	382	324
Core funding				
Scottish Government	782	782	782	782
Council Requisition	190	190	190	190
Total funding	1,661	1,472	1,354	1,296

Annex 5.3 – Staff and Organisational Chart

Partnership Director	Jim Grieve
Senior Partnership Manager	Anna Herriman
Programme Manager	Keith Fisken
Regional 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	Hannah Markley
Business Support Assistant	Cheryl Fergie

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

Figure 1: Organisational Chart



Annex 5.4 - Operational plans related to Covid-19 pandemic recovery

As with many other workplaces, home working measures were introduced during March 2020, to limit the spread of Covid-19, with immediate and wide-ranging impacts for transport.

All staff are still currently working from home using laptop computers and remote access. Regular formal and informal staff interaction through Microsoft Teams has enabled staff to be supported and engaged and allowed work to go on. The health, safety and wellbeing of staff is the greatest priority, and a return to office-based working will only be effected when it is permissible and safe to do so.

SEStran has continued to deliver its programme outlined in the 2020-21 Business Plan, and will continue to do so in the new Business Plan period. Through some modifications to project methodologies and by making the most of available technologies to support consultation, engagement and project meetings, it has so far been possible to progress all areas of project work and strategy development. SEStran's management will remain flexible and be prepared to adapt the work programme to account for changing circumstances as the country emerges from the latest lock-down.

Regular communications with SEStran Board members will continue to ensure that they are kept informed of any potential Covid-19 impacts on the delivery of planned projects. Attendance at SEStran Board and other meetings has been high, indeed higher than the average attendance during pre-pandemic times. This will be factored into consideration of how we manage meetings going forward: a perennial problem with meetings has been the long distances some members have had to travel to attend, with consequent impacts on productive time during the rest of the working day.

Impacts across the transport sector are very significant in the immediate-term and likely to be so in the long-term. It is still too early to know how transport plans and operations will rebound, but some changes may prove to be indefinite. Covid-19 is therefore recognised within the new SEStran Regional Transport Strategy (RTS). The RTS will remain focussed on a long-term horizon but it will also seek to account for the potential changes resulting from the potential impacts of Covid-19.

Scotland's seven RTPs have a clear role to play in supporting economic recovery and mitigating the impacts on people's ability to move and travel safely. The immediate priority across all regions is to ensure the safety of transport users and operators, primarily through physical distancing measures within every transport setting. SEStran has worked closely with regional partners and stakeholders to help coordinate temporary measures that make physical distancing possible during outdoor exercise and active travel, and will continue to do so through groupings such as the Regional Transport Transition Group for south east Scotland.

The social and economic impacts from reduced public transport capacity have been very significant, and these are issues that must be resolved at a regional level. It is likely that this area of partnership work will expand during 2020-21.

Ultimately, the challenges to the transport sector in Scotland remain unchanged; in short, the need to move many more people and goods, much more sustainably and efficiently. The scale of change we are currently experiencing brings opportunity for positive initiatives around travel demand and habits. SEStran's new RTS and current projects will undoubtedly promote positive long-term benefit for the region.

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Annex 5.5 – Glossary

SEStran aims to use clear and inclusive language in our publications and reports, but some project names or specific terms aren't commonly used, and many policies use acronyms or abbreviated titles. This glossary is a quick reference point for uncommon terms and abbreviations.

Term or abbreviation	Full title and meaning
BLING	‘Blockchain in Local Government’ is a project in which SEStran is a partner testing how blockchain can support the delivery and distribution of goods
Blockchain	A system of using coordinated data checks to verify online information exchange – it allows for very secure online transactions
CoMoUK	CoMoUK is the name of a Trust that promotes shared and integrated mobility
COP26	The 26th United Nations Climate Change Conference which is due to take place in Glasgow in November 2021
DRT	Demand Responsive Transport is generally used in the context of bus travel and indicates that the bus is responsive to where its passengers want to join and alight from the service. This has traditionally been the preserve of community transport providers, but is increasingly being used elsewhere by commercial bus operators to replace ‘fixed-line’ bus routes.
ECMA	The Consortium of East Coast Main Line Authorities (Councils, Combined Authorities and Regional Transport Partnerships) along the area served by the East Coast Main Rail Line
Interreg	Interreg North Sea Region is a European Funding programme that helps regional and local governments deliver better policy.
LEZ	Low Emission Zones - being introduced in four of Scotland’s cities following provisions for local authorities contained in the Transport (Scotland) Act 2019
LRDF	Local Rail Development Fund – funding provided by Transport Scotland
MaaS	Mobility as a Service is a concept of integrating journey options, planning, ticketing and payment, allowing people to more freely choose between different modes of transport or operators
NTS2	The second National Transport Strategy for Scotland , launched in February 2020
PriMaaS	PriMaaS is a project in which SEStran is a partner, testing how Mobility as a Service can assist in delivering more accessible and sustainable regional transport
RTPI	Real Time Passenger Information
RTS	Regional Transport Strategy. SEStran’s current RTS is on our website
RTP	Regional Transport Partnerships - there are seven established across Scotland

- SEStran** [SEStran](#) is the South East of Scotland Transport Partnership
- SHARE-North** [SHARE-North](#) is a project in which SEStran is a partner – the name reflects the ambition to achieve more use of shared mobility solutions
- STAR** [Scottish Transport Applications and Research Conference](#)
- STPR2** [Second Strategic Transport Projects Review for Scotland](#), led by Transport Scotland
- SURFLOGH** [SURFLOGH](#) is a project in which SEStran is a partner. The project aims to stimulate sustainable and efficient ‘last mile’ deliveries in urban areas. The name comes from ‘Sustainable Urban Freight Logistics Hubs’

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Equality Outcomes 2021-25 and Mainstreaming Report

1. INTRODUCTION

- 1.1 The purpose of this report is to present to the Partnership the draft Equalities Outcomes 2021-2025 and Mainstreaming report for approval and publication by 30 April 2021.

2. LEGAL CONTEXT

- 2.1 SEStran is a listed public body under the Equality Act 2010 and the Equality Act 2012 (Scotland) Specific Duties Regulations, and as such have a duty to publish a biennial Equalities Mainstreaming Report and a new set of Equality Outcomes covering the period April 2021-25, to enable the organisation to better perform the equality duty.
- 2.2 The General Equality Duty requires public authorities, in the exercise of their functions, to have due regard to the need to:
- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010
 - Advance equality of opportunity between people who share a relevant protected characteristic and those who do not
 - Foster good relations between people who share a protected characteristic and those who do not.
- 2.3 The public sector equality duty covers the following protected characteristics: age, disability, gender, gender reassignment, sexual orientation, pregnancy and maternity, race and religion or belief.
- 2.4 The Specific Duties were introduced in 2012 and are intended to help listed authorities in their performance of the general equality duty.

3. EQUALITIES MAINSTREAMING REPORT

- 3.1 The specific duties require a listed authority to publish a report on the progress it has made in integrating the general equality duty to the exercise of its functions, so as to better perform that duty. These reports are to be published at intervals of no more than two years. Our last report was published in April 2019.
- 3.2 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.

- 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. The partnership should note that this data is being collected and will be included in the published report.

3.3 A draft Mainstreaming Report has been developed and is attached as Appendix 1 of this report.

4. EQUALITY OUTCOMES 2017 – 2021

4.1 As described at 2.1, SEStran has a requirement to publish a set of Equality Outcomes, which it considers will enable it to better perform the equality duty.

4.2 SEStran last published a set of Equality Outcomes 2017-2021¹¹ in April 2017 and published a biennial progress report in April 2019. This new report will cover the period 2021-2025, with a mid-term report due in April 2023.

4.3 SEStran employees have met regularly over the past months to discuss the process of reviewing the mainstreaming activities and developing new outcomes for the organisation. In undertaking evidence gathering exercises, SEStran Officers, and those from the other 6 RTPs, have had regular engagement with the Equalities and Human Rights Commission (EHRC). The EHRC attended a number of meetings with the RTPs and provided guidance to assist in the process of establishing new SMART outcomes. In addition, the EHRC ran a workshop for the RTPs which explored national priorities and alignment to key policy areas. Further evidence was gathered from desk-based research of Scottish Government and Transport Scotland reports and evidence finder tools and feedback from SEStran's Equalities and Access to Healthcare Forum.

4.4 SEStran recognised that a proportionate approach was required in determining what can be achieved, given available staffing and resources. Therefore, keeping in line with the organisation's statutory requirement to produce a Regional Transport Strategy and alongside our duties as an employer, five outcomes were developed:

- Increase the representation of ethnic minorities and disabled people on the SEStran Partnership Board, whilst retaining the gender balance of the non-councillor members.
- To ensure design and development of all active travel initiatives deliver increased opportunities for disabled people to access active travel

¹¹ https://www.sestran.gov.uk/wp-content/uploads/2017/04/2017_04_27_Equality_Outcomes.pdf

initiatives.

- Increased opportunities to access public transport in rural areas for ensuring the benefits of concessionary travel are available to relevant groups, mainly disabled people, elderly and young people.
- Develop a Thistle Assistance Journey and Wayfinding solution to help disabled people, older people, vulnerable people and women access public transport and plan their journeys more easily.
- Expand the RTPI network and continue to promote the Hate Crime Charter to improve safety and accessibility to public transport within the region.

4.5 The draft outcomes went out to consultation in February 2021. Analysis of the data indicated broad support and agreement for all the outcomes. Key comments included that statutory meetings should remain being hosted remotely, to remove barriers facing disabled people travelling to physical meetings.

4.6 It is proposed that the Equality Outcomes 2021-2025 and Mainstreaming report is taken to the SEStran Equalities Forum on the 31st March for a final review.

4.7 A draft report of the SEStran Equality Outcomes 2017 – 2021 has been prepared and is available at appendix 1.

5. RECOMMENDATIONS

The Board is asked to:

5.1 Approve the Equality Outcomes 2021-2025 and Mainstreaming Report;

5.2 Note that further review with the Equalities and Access to Healthcare Forum will be undertaken to finalise the report ahead of the deadline for publication of 30 April 2021.

Angela Chambers
Business Manager
12th March 2021

Appendix 1 – Draft Equalities Outcomes 2021-2025 and Mainstreaming Report

Policy Implications	As outlined above.
Financial Implications	N/A
Equalities Implications	As outlined above.
Climate Change Implications	N/A

Equalities Outcomes 2021-2025 and Mainstreaming Report

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About SEStran – Role & Function

SEStran is one of seven Regional Transport Partnerships (RTP's) in Scotland. The partnership area covers 8 local authorities, including City of Edinburgh, East Lothian, Midlothian, West Lothian, Fife, Falkirk, Clackmannanshire and Scottish Borders. This covers an area of 3180sq miles and is home to 28% of Scotland's population. SEStran aims to develop a sustainable transportation system for the South East of Scotland that will enable business to function effectively and provide everyone living in the region with improved access to healthcare, education, public services and employment opportunities. SEStran is a Model 1 RTP, as defined under the Transport (Scotland) Act 2005, with a main function to deliver a Regional Transport Strategy (RTS) for the area. SEStran's RTS is the cornerstone of its work, it lays out the vision for the strategic development of transport in South East Scotland up to 2028 (in the current version) and includes a focus on links to and from Edinburgh, as the economic hub of the region. SEStran is currently engaged in a process to update and re-write the RTS for the period up to 2035, prompted by a new National Transport Strategy (NTS 2), the climate emergency, new technology and by the impact of COVID 19. It is expected that a draft for consultation will be prepared by the autumn of 2021. SEStran currently has a staff complement of 9.

Legal Context

The Equality Act 2010 (“the 2010 Act”)

Part 3 of Schedule 19 to the 2010 Act sets out that a Regional Transport Partnership established by Section 1(1) of the Transport (Scotland) Act 2005 (“the 2005 Act”) falls within the definition of a public authority for the purposes of the 2010 Act.

The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 (“the 2012 Regulations”)

Para. 1 of Schedule 1 to the 2012 Regulations sets out that a Regional Transport Partnership established by Section 1(1) of the 2005 Act falls within the definition of a public authority for the purposes of the 2012 Regulations.

The Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005, which was made under Section 1(1) of the 2005 Act, established SEStran, meaning SEStran is covered by both the 2010 Act and the 2012 Regulations.

This means SEStran is covered by the public sector equality duty (PSED), as set out in the 2010 Act. The PSED requires that SEStran must, when exercising its functions, have due regard to the need to:

- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the 2010 Act;

- (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and
- (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The 2010 Act explains that having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:

- (a) remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
- (b) take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;
- (c) encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

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.

About this report

This report sets out how SEStran is addressing its responsibilities under the 2010 Act. It summarises the progress made in mainstreaming equality and sets out our new Equalities Outcome for the reporting period 2021-2025. It demonstrates our continued commitment to developing and embedding equality, diversity and inclusion in culture and behaviours and as a fundamental part of our day to day business and decision making.

Section 1: Mainstreaming Equality

Mainstreaming is a specific requirement for public bodies in relation to implementing the Equality Duty. It means integrating equality into the day to day working of the organisation.

Over the period 2019 – 2021, SEStran has sought to mainstream Equality into our core functions as outlined below.

1. How SEStran Assess Impact on Equality

SEStran seeks to involve and inform equality groups right from the start of discussions on any new proposals, policies or projects, progressing on to a more structured assessment in any subsequent stages.

SEStran is very clear on the need to ensure that the requirements of people with protected characteristics are taken in to account during the development and implementation of a new policy or service, or when a change is made to a current policy or service. Working with our legal advisers, SEStran has developed a new Equality Impact Assessment (EQIA) template. Alongside this, SEStran is keen to ensure that staff have a comprehensive knowledge of obligations under the equalities legislation and has provided a variety of staff training courses and workshops to support and enhance this knowledge and awareness.

2. Procurement

Equality is considered throughout the procurement and tender procedures and use is made of Public Contracts Scotland, frameworks and Scotland Excel, which is the Centre of Procurement Expertise for the local government sector in Scotland.

SEStran's Corporate Procurement Policy [\[Governance Scheme\]](#) takes account of the Scottish Government's Public Services Reform Agenda and the subsequent Procurement Reform (Scotland) Act 2014 and the associated Public Contracts (Scotland) Regulations 2015.

There are several principles relevant to equalities that form part of this policy, including: "Consider how procurement can improve the economic, social and environmental wellbeing of the SEStran area with particular reference to reducing inequality in the SEStran area, facilitate the involvement of small and medium enterprises, third sector bodies and supported business, and promote innovation" And "Demonstrate through the procurement process that SEStran has given due regard to whether the award criteria and conditions relating to the performance of a relevant contract should include consideration to enable it to better perform its equality duty."

3. HR Policies

Equality and diversity are fundamental principles in all HR policies and procedures and are actively promoted in SEStran. All policies are regularly reviewed and updated to reflect changes in legislation and best practice. This is done in consultation with HR advisers, stakeholders and staff, before finally being presented to the Performance and Audit Committee for further scrutiny and feedback.

SEStran will continue to review all policies and procedures to ensure they reflect SEStran's commitment to ensuring that it promotes an equitable and inclusive workplace.

4. Corporate Planning and Reporting

Further to updating SEStran's equalities impact assessment procedures, SEStran also includes a section for reporting on any equality's implications within our formal reporting procedures. To demonstrate commitment to embedding equality into the corporate planning process SEStran continues to include a series of icons throughout the Business Plan and projects reports, which easily identifies where equalities feature in the organisational objectives.

5. Equalities & Access to Healthcare Forum

SEStran continues to hold an Equalities and Access to Healthcare Forum which meets twice a year, involving local equalities groups and healthcare representatives, to discuss the work that SEStran is doing, how it operates and to get feedback and suggestions on how to improve on equalities and accessibility issues. This Forum is an important way for SEStran to co-design projects and policies and gain input from individuals with protected characteristics or from groups representing the interests of those with protected characteristics. In this way SEStran mainstreams equalities into the work of the Partnership. Efforts are continuing to look to reinvigorate the membership of the Forum to engage with as wide a range of people and groups as possible and as part of that commitment SEStran has held a number of workshops on "Exploring Disability and Public Transport" which were well attended. The evidence gathered at the workshops is being used in the development of the journey planner app for those with a disability.

6. Disability Confident Scheme

In 2017 SEStran became a Disability Committed Employer, which was progressed to the higher-level Disability Confident Employer in 2018 and is the level that we continue to retain. The Disability Confident Employment Scheme is a government scheme designed to encourage employers to recruit and retain disabled people and those with health conditions. SEStran employs the Disability Confident logo to demonstrate that applicants with disabilities are encouraged and welcome.

7. The National Disability Internship Programme

The National Disability Internship Programme is delivered by Inclusion Scotland and funded by the Scottish Government's Equality Unit. The internship programme is included in the A Fairer Scotland for Disabled People Action Plan, which is an action plan to support the human rights of disabled people in Scotland up to 2021.

SEStran appointed a Marketing Intern in autumn 2019, primarily to focus on the promotion of the Thistle Assistance programme and journey planner. The placement was initially for a period of 20 weeks but due to the pandemic, and the skills and ability of the intern, the post was extended until autumn 2020.

As an employer, this was a very positive experience for SEStran, and we will seek to explore any further opportunities that arise.

8. Living Wage Employer

In 2017 Living Wage accreditation was achieved and SEStran continue to uphold this commitment. The living wage is currently £9.50ph and is based on cost of living. Research has shown that paying the living wage helps organisations recruit, retain better staff, reduce absenteeism and encourage higher productivity.

9. Board Diversity

SEStran is committed to continuing to make progress on improving the diversity of its Board to encourage new and innovative thinking and maximise use of talent, leading to better decision making and governance.

Our Board membership information is available here:

<https://www.sestran.gov.uk/board-members/>

Two thirds of the SEStran Partnership Board is made up of elected members and their appointments are made by their respective councils alone, therefore, we took action to influence the gender balance of our non-councillor members through signing the voluntary One Scotland 50/50 pledge, as endorsed by the Equalities Forum and the Partnership Board. We undertook an inclusive application process for the non-councillor members who were appointed in 2018. Since their appointments, the Gender Representation on Public Boards (Scotland) Act 2018 came into force. The purpose of the Act is to improve the representation of women on the boards of Scottish public authorities. The Act sets a gender representation objective for the non-executive member component of public boards. The objective is that 50% of non-executive members are women. The current term for the non-councillor members ends in March 2022 and SEStran will seek to retain the gender balance amongst the non-councillor members and explore options for further increasing the diversity through the next recruitment exercise.

The Succession Planning Committee and the Board Diversity Succession Plan¹ sets out the process to help deliver a more diverse Board. Appointments were made to the Succession Planning Committee in August 2017, when the Board for the 2017-2022 term was established. The role of the SEStran Succession Planning Committee is to: lead on meeting the Board's responsibilities in relation to planning for succession through appointments and Board member development; offer advice to the Board on future appointments and reappointments; review and evaluate the skills, knowledge, expertise, diversity (including protected characteristics) of current Board members, and requirements of future members and monitor the development and continuous improvement of a succession plan that can be presented to the Board.

The 2012 Regulations set out that 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. In order to regularise data collection, SEStran has developed its own equalities monitoring procedure and will publish the current gender balance of the Partnership Board. No other data on protected characteristics will be made available.

The gender of SEStran's members is as follows:
Identified as Male XX%; Identified as Female XX%; Didn't Answer xx%

10. Chartered Institute of Highways & Transportation (CIHT) Charter

SEStran demonstrated a commitment to the diversity and inclusion agenda by signing the Chartered Institute of Highways & Transportation (CIHT) Diversity and Inclusion Charter in September 2016 and we continue to adhere to this Charter.

11. Staff Engagement

Since the start of the COVID pandemic, all SEStran staff have been working from home. The IT infrastructure was already in place to support remote working, therefore the transition, from a technical perspective, was relatively straightforward.

The mental health and wellbeing of all staff is paramount and SEStran has supported its staff through the crisis by issuing relevant guidance on topics ranging from homeworking, managing mental wellbeing, eating well and staying active. Regular engagement activities are arranged through a variety of mediums, including staff meetings, 1:1s and a few social events.

12. Policy and Procedure Reviews

SEStran includes policy review sessions as part of weekly staff team meetings, where policies are reviewed on rotation to provide staff with the opportunity to refresh their knowledge, understanding and ask questions.

¹ <https://sestran.gov.uk/wp-content/uploads/2017/04/Board-Diversity-Succession-Plan-2.pdf>

13. Training

Following successful staff training, Equate Scotland delivered training on Positive Language and Unconscious Bias to the Partnership Board in June 2019.

In March 2020 staff attended a training session provided by our legal advisers Anderson Strathern LLP on Equalities Impact Assessments. Anderson Strathern also worked with staff to develop a new EqIA template.

Staff can access Equalities and Diversity Training Modules via Falkirk Council's e-learning portal. This training aims to raise awareness and covers the legislation and is designed so that staff are encouraged to think about, reflect and challenge their perceptions. It includes examples, quizzes and a test at the end of the training which aims to help staff understand equality and diversity issues.

14. Thistle Assistance Program

SEStran has operated the Thistle Assistance Programme² since 2011. This has been an extremely successful scheme that aims to give those with mobility challenges, disabled and elderly transport users more confidence in using public transport.

Thistle Assistance is part of the Scottish Government's Accessible Travel Framework and is a key priority in the current delivery plan³.

Since its launch SEStran has distributed over 100,000 cards and had over 5,000 downloads of the App. SEStran will seek to continue to promote the programme. SEStran also made the decision to make the Thistle Card design freely available, in order that it could be easily used in other areas of Scotland. Other RTP's have launched the Card in their regions, allowing more people to utilise the Card and increasing accessibility to public transport across Scotland.

In 2016, SEStran developed the Thistle Assistance app, which replicates the original card. The app is not a replacement for the Card but seeks to increase use and awareness of the Thistle Card scheme. The app is free to download and SEStran are in discussions with developers to further the potential of this technology. By promoting the use of the Thistle Card & app, SEStran looks to reduce barriers to accessing public transport for all and promote social inclusion for those who have no other means of transport. In 2015, SEStran's work with the Thistle Card was recognised by the Scottish Accessible Transport Alliance (SATA) with an achievement award in recognition of outstanding achievement in facilitating transport services for disabled people. More recently the SEStran Thistle Card has been nominated for the Scottish Transport Awards Accessibility Project of the Year and the CIHT Inclusive Transportation Award.

² <https://www.thistleassistance.com/>

³ <https://www.transport.gov.scot/publication/accessible-travel-delivery-plan-progress-report-20192020/>

In December 2019 SEStran launched a new Thistle Assistance dedicated website and promotional campaign to engage with the public and generate more awareness of the benefits of the program.

15. Journey Assistance Planner App

SEStran through the development and implementation of two key projects, Real Time Passenger Information and the Thistle Assistance⁴ Programme, has identified a need to improve the door to door journey for people with mobility challenges allowing them to access the public transport network more easily and with confidence – combining journey planning, wayfinding and disability awareness into one easy to use and versatile platform. The platform would deliver in two key areas which respond to passengers needs as identified by the Campaign for Better Transport⁵:

1. improving availability of information.
2. making connections between different steps in the journey, and different modes of transport, easier.

People rely on public transport to access jobs, services, facilities, family and friends. While many of the barriers identified by disabled people and non-disabled people in undertaking journeys are the same, the impact can be different⁶.

In 2018 SEStran made a successful application to the Scottish Enterprises “CanDo” Innovation fund for £150,000 to run Phase One of a project to develop a journey planning and wayfinding mobile solution for People with mobility challenges. A competition was run, and five software developers were commissioned to research and produce proof of concepts for a Thistle Assistance Journey Planner. Each developer was engaged by SEStran with funding of £30,000 to undertake the work, this work was completed in December 2019.

SEStran in February 2021 was successful in securing an additional £150,000 from Scottish Enterprise to deliver the second phase of the project. Phase Two will focus on the development and testing for a fully developed working prototype which will be tested in the public realm. For Phase 2 we propose further exploration of the journey customisation features, both at the lower level of local personal navigation and at the higher macro level of providing better navigation transit systems such as train/bus stations). Additionally, Phase 2 must explore how the demonstrated prototype can be integrated with existing services such as Traveline.

This work will run over 12 months and is due to be completed in May 2022.

⁴ www.thistleassistance.com

⁵ Transport Research Laboratory (2011) – *Door to Door Journeys* www.bettertransport.org.uk/files/door-to-door-journeys-full-report.pdf

⁶ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/706248/accessibility-action-plan.pdf

16. Real Time Passenger Information (RTPI)

Building on a substantial investment over the past 10 years by SEStran, the major bus operators have now modernised their ticketing and RTPI technology and are now providing their own RTPI to Traveline and, directly, to the travelling public. Also, to keep pace with rapidly developing new technology and to be able to continue to provide RTPI through their digital display screens, SEStran is investing in a new Content Management System being introduced by City of Edinburgh Council, later this year. This will also allow a number of other bus operators in the region to provide RTPI for their services. RTPI gives bus users confidence in arrival times and can minimise time spent at bus stops.

SEStran is also investing in new hardware of the regional RTPI network, include a full update of PCs for the screen network and also bespoke installations around the region.

17. Hate Crime Charter

SEStran has been involved in the Transport Scotland Hate Crime Working Group. This working group, which is being led by Disability Equality Scotland, has been working on a programme aimed at tackling hate crime on public transport by raising awareness and encouraging people to report incidents of hate crime. Following a series of public consultations on the topic, the group developed a Hate Crime Charter, which was piloted in partnership with Stagecoach East, First Bus, and ScotRail. The pilot reached over 1.2 million people in an eight-week period. Awareness was raised amongst transport staff who felt better equipped to recognise and report hate crime. 70% of bus staff said they felt the Charter would make a difference. Furthermore, the post-pilot survey indicated that 79% of transport staff would welcome more training on hate crime, which is being taken forward by Disability Equality Scotland and Police Scotland. Based on the feedback from the pilot, the working group agreed the final design of the Charter which will be officially launched on 23 March 2021.

18. Regional Transport Strategy

SEStran has commenced work to develop a new Regional Transport Strategy (RTS). This is likely to be an ongoing process during the next two-year period for reporting on the Equality Duty. The RTS is a statutory document produced by SEStran and the requirement to undertake an Equalities Impact Assessment (EqIA) is an integral part of the development work. An Assessment Framing Note has been produced which is the first stage of the EqIA process being undertaken in tandem with and to inform RTS development. It will frame the application of relevant equalities duties at each stage of the RTS development process by identifying key equalities issues (and the associated equalities evidence base) which should be considered in the emerging RTS and taken account of in EqIA reporting.

19. GO e-Bike Hubs

SEStran launched GO e-Bike in 2018 with the aim of increasing usage and awareness of power-assisted cycling across the South East of Scotland and beyond. GO e-Bikes launched with 5 different projects in St. Andrew's, Buckhaven, West Lothian, Falkirk, and also encouraging employers to get involved with a 'Try a GO e-Bike Roadshow'. GO e-Bike aims to promote a healthier more active population, reduce inequalities in our communities and improve our environment. The hubs were selected on a criterion of fulfilling a local social or community benefit from their implementation.

Future hubs are being developed across the South East of Scotland awarded funding as part of the Low Carbon Travel and Transport Challenge Fund established by Transport Scotland from funds awarded under European Regional Development Fund 2014- 2020 programme and Transport Scotland funding, where relevant, to enable everyday functional journeys to be taken by walking, cycling and public transport and to support an increased proportion on ultra-low emission vehicles on Scotland's roads.

20. CLEAR Buckhaven

The community organisation CLEAR (Community-Led Environmental Action for Regeneration) sits in the heart of a rural isolated community with no rail links. Currently the organisation is limited to a van with issues of a lack of licenses and insurance, this is taking up valuable senior staff time. 6 e-bikes are being offered on short & medium-term loans to the community centre staff of 30 volunteers. An electric cargo bike will be shared by staff to move tools and produce between expanding fruit growing orchard sites comprising over 10,000 trees. The e-cargo bike will free up staff resources and provide a low carbon alternative to transport tools and various produce from the orchards.

Much of the volunteer work has been unable to function through 2020, however the e-cargo bike has continued to see use in transporting produce from the community orchards and tool shed.

21. West Lothian Bike Library

West Lothian Bike Library is a social enterprise based in Livingston. The Bike Library is working in partnership with West Lothian Council to help people to get active and connected through cycling, improving health and increasing independence, confidence, employability and skills. The catchment area is all of West Lothian which includes several areas of high deprivation according to Scottish Index of Multiple Deprivation.

9 standard e-bikes are offered on short hire periods with a try before you buy offer. 1 e-trike opens up the social inclusion to a wider all-ability audience and is available on longer term loan. The e-trike has proved to be a great asset for challenging social isolation with trained pilots regularly taking users out who live alone.

From the onset of Lockdown in 2020, WLBL have been supporting key workers through long term loans of e-bikes and providing maintenance support to those with their own bikes.

22. Socialbite Village

The Social Bite Village is an innovative, highly supported community for up to 20 people affected by homelessness. The purpose of the Village is to offer the right support, living environment and opportunities for someone from a situation of homelessness to build an independent life.

The Social Bite Village hub has eight e-bikes available for use by residents and staff. The e-bikes are in place to enable improved accessibility for residents and provide a flexible, free, and active mode of transport. The e-bikes will support improved access to employment opportunities and support services and increased opportunity for active travel with the added benefits to physical and mental health.

Throughout 2020 the use of the e-bikes has been invaluable to residents at the village with many of their other support activities unable to operate. SEStran continue to support with maintenance and training for led rides.

23. Tweeddale Youth Action

Tweeddale Youth Action is a community-focused social enterprise based in the Scottish Borders. The hub, operated through the TYA Bike Punks project, provides ten e-bike for hire in the local community, provides training in bike maintenance for young people to gain qualifications and the opportunity for community led rides. Micro-enterprise will be developed young people using two e-cargo bikes.

After successfully operating the e-cargo bikes in the collection of recycling, delivery of local produce, and other services, the hub at TYA was unable to operate after the start of Lockdown. Due to structural issues the building housing the hub was deemed unsafe and with no suitable alternative the hub closed to business. In the interim, the e-bikes were relocated to be used for key workers in West Lothian and the Forth Valley. The e-cargo bikes have since been put to use in community deliveries in South Edinburgh by Cargo Bike Movement.

The e-bikes will return to the Borders for use when restrictions are lifted to allow public hire.

24. DRT

SEStran has been working with a wide range of stakeholders, including local authorities, other public bodies (i.e. higher education), shortlisted specialist technology providers (including both Mobility as a Service and Demand Responsive Transport), shared and public transport operators, the Open Transport Initiative, community councils and Mott MacDonald's MaaS Advisory team, to prepare a Mobility-as-a-

Service (MaaS) project proposal for the Transport Scotland MaaS Investment Fund Round 2. Part of SEStran's plans to develop a region-wide MaaS platform is to integrate new Demand Responsive Transport (DRT) routes to support bus services and introduce DRT in rural areas facing transport poverty.

The SEStran DRT Strategic Study, which was carried out by SYSTRA in March 2020, considered the strengths and weaknesses of the current DRT (including community transport) sector, and identified digital innovation as an opportunity to optimise the DRT services in the SEStran region. Furthermore, it is recognised that bus patronage has dropped over the last decade. Increasing fares, longer journey times, and discontinued rural services are some of the causes of a falling patronage and Covid-19 is putting additional pressure on the viability of bus services across the region. SEStran sees DRT technology as a way of optimising and supporting transport services, particularly in areas where traditional fixed-line bus services are not commercially viable.

Recruitment and Employee Data

SEStran collects information at recruitment stage and from current employees but, is not required to publish information about the workforce for data protection reasons owing to the small number of staff employed. SEStran uses the data it collects in order to better perform the equality duty, and to better understand the recruitment and workforce profile, enabling it to identify areas of improvement and eliminate any adverse impact on equality.

This allows the targeting of support for areas of under-representation within the workforce, enables us to take positive action and produce a dataset to inform long-term workforce planning and assess current policies and procedures. To be effective in assessing equality data, data from staff is relied upon to provide the widest possible analysis. SEStran is committed to undertaking effective monitoring of equality data relative to the workforce.

Equal Pay & Gender Pay Gap

SEStran is not covered by legal obligations in respect of publishing a Statement on Equal Pay or Gender Pay Gap information.

SEStran is committed to providing a flexible working culture and there are a range of policies which enable staff to work flexibly. Our commitment to mainstreaming equality throughout our functions is demonstrated through this report.

Section 2: Equality Outcomes 2021-2025

The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012, as amended, requires SEStran to publish equality outcomes. Our equality outcomes specify a result that we aim to achieve to further one or more of the needs of the general equality duty, which are to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it, and
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

To help inform our equality outcomes, SEStran gathered and considered relevant evidence. Evidence was obtained through:

- Engagement with SEStran's Equalities and Access to Healthcare Forum who represent the interests of people with the relevant protected characteristics
- An analysis of reports and evidence finder tools published by the Scottish Government, Transport Scotland, third sector organisations that represent the interests of people with the relevant protected characteristics, public bodies and other organisations
- An analysis of our workforce data
- An analysis of our public involvement data
- Staff engagement
- Engagement with and attending workshops run by the EHRC
- Engagement with the other RTPs

The Equality Outcome which we have set primarily relate to the relevant protected characteristics of age, disability, gender re-assignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation. We have not included the protected characteristics of marriage and civil partnerships in our Equality Outcomes. After analysis of equalities monitoring data there was no evidence of inequalities relating to this characteristic. This data will be monitored, however, and actions relating to these protected characteristics are being achieved through mainstreaming activities.

Equalities Outcomes 2021-2025

SEStran's Equality Outcomes 2021-2025 build on the progress made since the implementation of our original Equality Outcomes in 2017.

1. Increase diversity of the Partnership Board	
Inequality	The representation of women, people from ethnic minorities and disabled people serving on public boards is disproportionate to population levels.
Equality outcome	Increase the representation of ethnic minorities and disabled people on the SEStran Partnership Board, whilst retaining the gender balance of the non-councillor members.
General equality duty	Will help to eliminate discrimination and advance equality of opportunity for women, disabled people, and people from ethnic minorities.
Link to strategic priority	Links to the Gender Representation on Public Boards Act, Scottish Government's Race Equality Framework, the EHRC Is Scotland Fairer.
Outputs	<ul style="list-style-type: none"> - The barriers facing women, disabled people and people from ethnic minorities identified. - Recruitment channels widened. - Application process simplified. - Use positive action to appoint Observers with relevant protected characteristics to the board.
Activities	<ul style="list-style-type: none"> - Engage with relevant equalities groups and third sector organisations. - Review application process for Non-Councillor Member and Board Observer recruitment. - Collect equalities monitoring data from board members. - Write to partner authorities to consider diversity when appointing Elected Members to the SEStran Board at the next Local Government elections in May 2022. - Arrange meetings of the Succession Planning Committee. - Host meetings virtually to reduce barriers in relation to travelling and access to physical meetings.
Measuring progress	<ul style="list-style-type: none"> - Identify base line evidence. - Monitor progress using equalities monitoring data collected from the Board members.
2. Facilitate access to Active Travel facilities for disabled people	

Inequality	There are insufficient opportunities for disabled people to take part in active travel, due to, for example, insufficient space and access to specialised equipment such as adapted bikes.
Equality outcome	To ensure design and development of all active travel initiatives deliver increased opportunities for disabled people to access active travel initiatives.
General equality duty	Will help to eliminate inequality between able bodied and disabled people in developing healthier lifestyles.
Link to strategic priority	The encouragement of and provision of active travel facilities is now the highest priority in NTS2 and will be in the emerging Regional Transport Strategy.
Outputs	Policy within the RTS that will guide development of active travel facilities to ensure that any new facilities include sufficient accommodation for disabled people to both access and use active travel provision, safely.
Activities	Consult with appropriate bodies to establish appropriate guidance and the types of provision required. Ensure policy refers to appropriate design guidance and requires facilities to make appropriate provision. Ensure LA's partners who are required to deliver RTS policies and other delivery bodies are aware of the policy requirement.
Measuring progress	Establish baseline statistics Survey use
3. Increased Access to public transport in rural areas for disabled people, the elderly and young people.	
Inequality	A lack of access to public transport in rural areas disadvantages disabled people, the elderly and reduces opportunities for young people to access education, training and employment. Many more opportunities to access public transport exist in urban areas. This is particularly relevant to people using concessionary travel cards.
Equality outcome	Increased opportunities to access public transport in rural areas for ensuring the benefits of concessionary travel are available to relevant groups, mainly disabled people, elderly and young people.
General equality duty	Will help to improve outcomes for individuals, communities and society and narrow or remove the biggest inequalities experienced by the identified groups.

Link to strategic priority	The encouragement of promoting increased public transport use is now a high priority in NTS2 and will be in the emerging Regional Transport Strategy. To ensure that the RTS policies and specific actions and projects creates a framework and actions to deliver change.
Outputs	RTS policies that promote and facilitate alternative public transport solutions. Commercial bus operators encouraged to provide demand responsive bus services in areas where timetabled services are not commercially viable.
Activities	Regional implementation needed and lead role for SEStran in seeking consistent approaches across the Region. Partnership working with tech companies and bus operators to introduce services, initially on a trial basis that increase access to services in these rural areas. Co- ordination with other Community Transport Services to maximise opportunities.
Measuring progress	Number of services introduced and or narrative on progress.
4. Develop and Promote the Thistle Assistance Programme	
Inequality	People with disabilities (seen/unseen) and mobility challenges often face difficulties when trying to access and use public transport.
Equality outcome	Develop a Thistle Assistance Journey and Wayfinding solution to help disabled people, older people, vulnerable people and women access public transport and plan their journey's more easily.
General equality duty	SEStran will help develop and promote an accessible and safer public transport system for disabled people, older people, and women, which will help to eliminate discrimination and advance equality of opportunity.
Link to strategic priority	Scotland's ten-year Accessible Travel Framework and These aims assist with delivering on the pledges within Scotland's first ever National Accessible Travel Framework published in 2016 (Going Further) .
Outputs	<ul style="list-style-type: none"> - Journey planning and Wayfinding tool to help with the door to door journey - Community/Equalities platform established to assist in journey planning - Continue promotion of Thistle Assistance (www.thistleassistance.com)
Activities	- Stakeholder engagement

	<ul style="list-style-type: none"> - Marketing activity – online/print - App development and review
Measuring progress	<ul style="list-style-type: none"> - Survey - Workshop feedback - Successful wayfinding solution developed - Thistle Assistance leaflets sent out & app downloads
<p>5. Expansion of Real Time Passenger Information (RTPI) Network and promotion of Hate Crime Charter.</p>	
Inequality	Disabled people, older and vulnerable people, people from ethnic minorities, LGBT people and women do not always feel safe using public transport and experience difficulty accessing information.
Equality outcome	Expand the RTPI network and continue to promote the Hate Crime Charter to improve safety and accessibility to public transport within the region.
General equality duty	This outcome will help to eliminate discrimination, foster good relations and advance equality of opportunity.
Link to strategic priority	This links to the NTS focus on reducing inequalities, the SEStran RTS and the Accessible Travel Framework.
Outputs	Availability of travel information to allow for better journey planning. Promotion of Hate Crime Charter with commercial bus operators.
Activities	Financial commitment to new Content Management System (CMS). Meetings with bus operators. Meetings with RTPI group. Engage with Equalities and Access to Healthcare Forum.
Measuring progress	Increase in the number of RTPI screens installed. Increased awareness of Hate Crime Charter.

Performance Reporting

SEStran will publish a Mainstreaming Report and Equalities Outcomes Progress Report before the end of the next period, i.e. 30 April 2023.

The Partnership will also continue to monitor all Partnership Board reports for any implications arising from them that may affect any equalities issues.

Providing Information in Various Formats

Information is provided in a variety of formats, including: reports provided in PDF and RTF format but can also be provided in alternative formats and/or languages such as large print or Braille.

DRAFT







Projects Performance

1 Introduction






- 1.1 SEStran provides a wide range of strategic projects within the region. The Projects Performance Report at Appendix 1 provides a quarterly update to the Board on the progress of SEStran’s projects, for noting. The report sets out where effects of Covid-19 restrictions have had an impact on delivery timescales.

2 Projects Performance

- 2.1 A high level ‘RAG’ (Red-Amber-Green) status is used to highlight the current state of progress of each project against agreed milestones. Once completed, projects are reported with a ‘Blue’ status, and then removed from future reports.

RAG Status	Meaning:
	Complete
	Progressing to plan
	Some issues or delays encountered
	Severe issues or delays

- 2.2 Each project’s alignment to one or more of SEStran’s Strategic Objectives is indicated using the following symbols.

	Economy
	Accessibility
	Environment
	Safety and health
	Corporate

3. European Projects and EU Withdrawal

- 3.1 The Withdrawal Agreement between the UK and the EU confirms that existing 2014-20 Interreg, or European Territorial Cooperation, programmes will be able to continue with UK project partners, and that UK project partners can continue delivering their projects in line with existing programme rules and timescales.

	to tackle climate change through creation of more sustainable transport options.
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SEStran Projects Performance March 2021

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1. Strategy

1.1 Regional Transport Strategy



A new Regional Transport Strategy (RTS) for the SEStran region is under development. This is proposed to cover the period up to 2035, and it will respond to and allow for alignment to new national level policies and strategies including the National Transport Strategy 2, STPR2, the National Planning Framework 4, the Climate Change (Scotland) Act 2019, as well as regional spatial and economic strategies under development across the SEStran area.

SEStran's original RTS was approved in March 2007 to cover the period from 2008 until 2023. The strategy was refreshed in August 2015 to cover the period until 2025.

To prepare for the development of the new RTS, a Main Issues Report published in May 2020 explored current issues, evidence and policy environment that together create the context for the new RTS.

The timing of the Main Issues Report meant that Covid-19 impacts were taken into consideration – highlighting the need for the RTS be able to respond flexibly to future uncertainty and impacts of travel restrictions and variable future travel demand scenarios. The lasting impacts of Covid-19 are not fully known at this stage, but it is widely acknowledged that impacts will be far reaching and include impacts on the economy, plans for land-use, transport systems and travel behaviour.

Latest developments:

- **RTS Development**

Programme revised

The development of the RTS is being delivered through consultancy support. The development will involve consulting key stakeholders, establishing of a case for change, appraising preliminary options and carrying out statutory assessments including a Strategic Environmental Assessment and Equalities Impact Assessment.

- Stantec were appointed to develop the new RTS in December 2020, following a procurement process through Public Contracts Scotland.
- Original delivery timescales were revised to remain in line with the development of other, linked strategies such as the Second Strategic Transport Projects Review (STPR2).
- The proposed final completion date of early 2022 has not changed. However the revised RTS delivery programme was agreed by the Board at its meeting on 20 November 2020.
- Desktop research has been completed, an approved Consultation and Engagement plan has commenced, and the Strategic Environmental and Equalities Impact Assessment processes are underway with scoping reports completed.

2. Strategic Active Travel Projects

2.1 GO e-Bike



In April 2018, SEStran launched GO e-Bike, a regional bike-sharing scheme funded by SEStran, with a contribution from the SHARE-North project. The first four GO e-Bike hubs were launched in St Andrews, Buckhaven, West Lothian and Falkirk. In August 2018 SEStran secured funding from the Low Carbon Travel and Transport (LCTT) Fund and Transport Scotland (TS) to expand the GO e-Bike scheme through six further hubs.

Latest developments:

- **GO e-Bike expansion with LCTT & TS funding** In progress
 - Cargo bikes have been transferred to Cargo Bike Movement, utilising the bikes in a series of projects in Edinburgh that reduce the vehicle movement and promote community sustainability.
 - The “[Do The Ride Thing](https://www.dotheridething.co.uk/)” campaign and website¹ were launched at the end of January 2021.
 - Hub installation has continued with docks completed at Jarnac Court and Eskbank, Midlothian and Brunton Hall and Musselburgh Station in East Lothian.
 - Bikes are being transferred to the sites in the first half of March and a launch date for the hubs will be agreed with local partners.

2.2 Regional Cycle Network Grant Scheme



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.

Latest developments:

- **Kirkliston to Cramond Brig Pathway** In progress
 - SEStran are supporting Edinburgh Lothian Greenspace Trust with a feasibility for the upgrade of a pathway along the Almond River.
 - The current route has a number of accessibility barriers which are to be overcome and a potential for flood mitigation.
 - The finished study will present options for further work including links to new developments around Cammo and Edinburgh Airport.
- **Edinburgh BioQuarter** Delayed
 - Additional Work on the route to prepare final design for construction was due to commence this year. This work will facilitate the transition to construction through Sustrans Infrastructure Funding.

¹ <https://www.dotheridething.co.uk/>

2.3 Regional Active Travel Development Fund – Transport Scotland



The Regional Active Travel Development Fund was established between Transport Scotland and the Regional Transport Partnerships in 2018/19. SEStran made a proposal for projects in 2020/21 to Transport Scotland in March 2020 and was awarded up to £314,000 for this third year of funding.

Latest developments:

- **Project 1: Attitudinal Survey & Data Collection** In progress
 - “The Lines Between” were appointed to carry out a longitudinal behavioural survey work, commencing in July 2020. Initial research work has been completed and the baseline survey report is in the last stages of drafting.
 - The survey work takes up half of the allocated budget (at £48,100, including Baseline survey, Longitudinal surveys and Project Management). Data Collection costs are estimated at £50,000.
 - **Total award £100,000**

- **Project 2: ‘Do The Ride Thing’ Awareness Campaign** In progress
 - SEStran has created an awareness campaign for the use of e-bikes across the region to complement the launch of a number of e-bike hubs. Do The Ride Thing seeks to create an environment where individuals look out for others and create good habits while riding a bike.
 - Procurement has commenced for creative services and the development of media package and promotions.
 - **Total award £100,000**

- **Project 3: West Lothian Active Travel Projects** In progress
 - Completion of projects from 2019/20:
 - To provide active travel provision between Ecclesmachan and Threemiletown, providing a safe link to local bus services.
 - To provide a link from Bathgate Hills quiet roads through Bangour and connect to the Livingston green network.
 - Investigate a number of potential active travel links:
 - A89 Parallel Route – Easton Road Bathgate to Armadale
 - A904 Newton – South Queensferry
 - Linlithgow – Bo’ness (Links to Blackness & Falkirk)
 - West Calder – Harburn
 - Bathgate Hills Quiet Roads Initiative
 - West Lothian Council has reported a delay to the appointment of consultants and completion of the project is now expected by March 2021, within the current financial year.
 - **Total award £64,000**
 - SEStran successfully bid for resource funding to support the breadth of active travel projects that happen across the partnership.

- Officers conducted a procurement exercise for additional resource concluding on the 4th September 2020.
- *Total Award £50,000*

2.4 Cycle Training & Development – Cycling Scotland



This workstream supports and develops the delivery of Bikeability Scotland National Standard cycle training delivered by local authority Bikeability coordinators. It promotes, encourages and develops cycle training opportunities across SEStran projects.

Latest developments:

- **Bikeability Scotland** *Delayed*
 - The current Covid-19 guidance on delivery of Bikeability and staff training means that there has been little or no delivery across the region, although this will change shortly.
 - An access to bikes fund was made available for Local Authorities to apply for bike fleets to support Bikeability Scotland delivery. This was open to applications until mid-February.
- **GO e-Bike cycle training** *In progress*
 - Training is offered to all hubs as they are completed and as part of ongoing development plans.
- **Adult and Family Cycle Training** *In progress*
 - The Essential Cycling Skills course has been adapted in order to make the purpose of the sessions clearer. This has also involved development of new promotional materials. A trial and evaluation will be carried out with employers and individuals to determine the effectiveness of this approach once restrictions allow in the SEStran region.
 - A Cargo Bike training course has been developed and three sessions were delivered for volunteers collecting and delivering food for Edinburgh based charities before Christmas.

3. Strategic Public Transport Projects

3.1 Real Time Passenger Information (RTPI)



SEStran began implementing a region wide network of RTPI screens supplying bus timetable information feeds in 2010, to help tackle declining bus patronage and make bus travel more predictable and reliable. Since 2010, SEStran has built up a comprehensive network with information screens in key travel hubs such as railway stations, park and choose / ride sites, as well as hospitals, colleges, universities, shopping centres and large employer hubs. More recently SEStran has worked with the City of Edinburgh Council to support

a move towards a new, common Content Management System that will improve the information provided in the public facing regional screen network incorporating Lothian Buses information.

Latest developments:

- **New Content Management System and hardware upgrades** *Delayed*
 - The new system passed the factory acceptance testing (FAT) in October which means that the project can now move to silent running testing.
 - The supplier delays with the FAT were due to Covid-19, integration of operator SIRI feeds will take place in March 2021.
 - Silent running testing will take place end March 2021 and if successful the new system will be handed over to CEC & SEStran in April 2021.
 - The test of the new system & new PCs undertaken at the Galashiels Interchange was successful with scheduled information displaying correctly.

- **Public Transport Capacity Information** *In progress*
 - In response to Covid-19, SEStran is working alongside Transport Scotland and Trapeze to test the feasibility of incorporating bus capacity information on public transport for use by Traveline Scotland.
 - This new feed will be integrated into the new SEStran regional RTPI system with the layouts adapted to display the new information.
 - This will 'go live' when the new RTPI feed is operational, estimate April 2021.

- **RTPI Screens Network**
 - SEStran, in partnership with West Lothian Council, made a bid for Smarter Choices Smarter places funding to refit the Centre in Livingston with new RTPI hardware using the CEC/SEStran equipment framework. £10,000 from SEStran has been contributed to this refit.
 - SEStran is also providing £57,000 for the purchase screens for key locations in Clackmannanshire, Scottish Borders and Fife. This will use the above framework to procure the screens and their installation, by the contractor 21st Century/Journeo.

3.2 Thistle Assistance Programme



SEStran has developed the Thistle Assistance Card and App to make using public transport easier for older people and those with disabilities, illness or mobility issues. SEStran is currently working to identify funding to help evolve the programme and journey planning aspect of the scheme.

Latest developments:

- **Journey Planner App - Phase Two** *In progress*
 - SEStran has been successful in an approach to Scottish Enterprise for funding to run Phase 2 of the project in 2021/22.
 - SEStran will receive £150,000 to deliver a working prototype.

- A mini procurement competition will be run amongst the 5 phase 1 developers, bids will be invited for this in March 2021. Bids can be from individual developers or consortiums.
- The winner will be announced in April with work commencing in May 2021 running for 12 months.
- **Thistle Assistance Programme Update** In progress
 - Covid-19 update – SEStran has adapted the Thistle card and App to provide an exemption message for those that cannot use a face covering when using public transport. Messaging has been developed for print, social media and on the website².
 - To date over 60,000 cards and leaflets have been distributed and there have been over 8,000 downloads of the App.
- **SEStran Website** Delayed
 - In order to comply with legislation ([Public Sector Bodies \(Websites and Mobile Applications\)\(No. 2\) Accessibility Regulations 2018](#)) SEStran updated the Partnership website to comply with Accessibility Standards Level A and AA Success Criteria of the Web Content Accessibility Guidelines (WCAG) version 2.1 and it complies with Cyber Essentials requirements.
 - A design for a new SEStran site is under development, but due to Covid-19, the timescale for identifying and addressing site management issues has not been met. A go live date for a new look site with desired new functionality, that fits with current branding is yet to be confirmed.

3.3 Newburgh Train Station Study



SEStran is carrying out an options study for Newburgh, with work being delivered by consultants Systra appointed to work on behalf of SEStran. This study is funded by the [Local Rail Development Fund](#) that was introduced by the Scottish Government in February 2018, with the aim of providing funding to develop community led options to improve local rail connections.

Latest developments:

- **Initial Options Appraisal** In Progress
 - The Phase 2 stage of the study, the 'Initial Options Appraisal'³ was submitted to Transport Scotland for review on 18th of September.
 - The phase 2 stage was approved by Transport Scotland in December 2020 and published on the SEStran website.
 - Phase 3 work 'Detailed Options Appraisal' began in February 2021 and is expected to take 6 months.
 - £37,834 of the £82,000 budget has been claimed for the work to date.

3.4 South East Scotland Transport Transition Group



² <https://www.thistleassistance.com/travel-safety/>

³ https://sestran.gov.uk/wp-content/uploads/2020/02/Newburgh-Preliminary-Options-Appraisal-Report_Nov2020_revA-inclAppendices.pdf

The South East Scotland Transport Transition Group was established in June as a temporary grouping, to develop and oversee a Regional Transport Transition Plan for the transition period following Covid-19 lockdown restrictions. The Group brings together local, regional and national partners to jointly plan for the management of transport related measures needed during this period.

Latest developments:

- In progress
 - Development of South East Scotland Transport Transition Plan**
 - SEStran has a key role coordinating the development of the South East of Scotland Transport Transition Plan, and ensuring it is kept up to date as guidelines change and issues and opportunities arise.

- In progress
 - Bus Priority Rapid Deployment Fund bid**
 - Two bids by the grouping to Transport Scotland’s Transport Scotland Bus Priority Rapid Deployment Fund attracted £1.8M in total, with the City of Edinburgh Council acting as lead applicant. The second tranche of funding included a wider range of temporary bus-supportive measures across the region, with this work led by SEStran.

- In progress
 - Region-wide sub-group**
 - SEStran leads on a range of region-wide interventions including trialling public transport capacity information (as mentioned in section 3.1), exploring the feasibility of improved public transport through an expanded DRT approach, and Thistle Assistance mask exemption.

3.5 Bus Service Improvement Partnerships



The Bus Partnership Fund (BPF) is a £0.5Bn fund announced by Transport Scotland in November 2020, to fund the development of permanent bus priority infrastructure. Bids are invited from partnerships, led by a local authority, which are working towards a Bus Service Improvement Partnership (BSIP) status. BSIPs must be collaborative partnerships involving bus operators and other relevant partners.

SEStran is currently actively supporting the development of three emerging BSIPs and their bids, and is involved in other early-stage discussions that may lead to further partnerships being established by partner Councils. SEStran will continue to assist efforts to establish partnership approaches where they are required to help maximise investment in bus priority infrastructure into the SEStran region, and ensure that bids within the region are complementary.

Latest developments:

- In progress
 - Fife Bus Partnership and BPF bid development**
 - A bid to the BPF addressing serious, localised congestion issues that affect the performance of bus services within and across Fife is finalised for submission in April, led by Fife Council.
 - A partnership grouping with Fife Council, SEStran and bus operators was established in 2020, with Terms of Reference agreed, in advance of a formalised Bus Improvement Partnership.
 - SEStran is providing initial secretariat support for this partnership, and has made a contribution of £5,000 towards the analysis of evidence for a Bus Partnership Fund bid.

- In progress
 - Edinburgh and south east of Scotland BPF bid development**

- A bid growing out of the Bus Priority Rapid Deployment Fund award for temporary bus priority interventions focusses on Edinburgh-bound corridors. The bid, led by City of Edinburgh Council, will be submitted in April and involves six local authorities and operators with services on key city bound corridors.
- SEStran is involved in discussions at all levels of this grouping to help identify and prioritise a range of permanent bus-supportive measures.
- **Forth Valley Bus Alliance and BPF development** In progress
 - A bid to the BPF is planned, to address some of the more challenging congestion issues affecting the performance of bus services and affecting commuters travelling within the Forth Valley and central area of Scotland.
 - An alliance comprising key bus operators and three Councils membership and terms of reference were agreed in autumn 2020.
 - SEStran is providing initial secretariat support for the Alliance and has contributed £5,000 towards the analysis of evidence of need for a Bus Partnership Fund bid.

4. Freight and Logistics Projects



4.1 Forth Freight Study

This study, delivered by SEStran in partnership with Forth Ports, explores the potential in the region, particularly around the Forth, for developing sustainable, multimodal freight gateways. It aims to identify key locations for potential freight consolidation centres that would maximise the sustainable movement of freight at national, regional, and local levels. The study is being carried out for SEStran by appointed consultants Aecom. The study is funded by the [Local Rail Development Fund](#) that was introduced by the Scottish Government in February 2018.

Latest developments:

- **Case for Change** In progress
 - The Case for Change STAG Phase One work is complete, including data collection, desktop review and wide stakeholder engagement.
 - A further round of stakeholder engagement took place in November, prior to finalising the draft Case for Change.
 - The Case for Change was submitted to Transport Scotland in December.
 - In recognising the impacts of Covid-19, Transport Scotland has extended the delivery timescale for LRDF projects. The revised completion date for the Forth Freight Study is now June 2022. £68,000 from the £150,000 budget has been invoiced to date.

5. European-funded Projects

5.1 SHARE-North

Interreg North Sea Region – Jan 2016 to Dec 2021



SHARE-North focuses on shared mobility and its potential to address sustainable transport challenges in the North Sea region. This includes developing, implementing, promoting and assessing car, bike and ride sharing and other forms of shared mobility in urban and rural areas and employment clusters. One example is the establishment of Mobility Hubs. A Mobility Hub seeks to raise the profile of shared mobility (car club, bike-sharing, carsharing), by integrating these modes of transport with existing public transport provision. Following the completion of the Mobility Hub Strategic Study in 2020 SEStran has been working with partners to identify potential opportunities to plan for Mobility Hubs.

Latest developments:

- **Mobility Hubs** In progress
 - SEStran has committed funding to the region's first mobility hub in Musselburgh, East Lothian, to be called a 'Journey Hub' and this hub is nearing completion.
 - SEStran is supported Fife Council in identifying funding to carry out feasibility and business case development for Mobility Hubs at east Fife railway stations at Leven, Cameron Bridge, St Andrews and Leuchars. An application to Sustrans Scotland is on hold along with other applications to the Places for Everyone fund.
- **Project activities and partner meetings** Delayed
 - Due to Covid-19 various project activities and physical meetings have been cancelled. Whilst some activities have moved online, through teleconferences, other activities have been delayed. The project consortium is now seeking a 6-month extension to the project, subject to formal agreement of the Programme Secretariat.
- **Tripshare SEStran** Reduced service
 - Due to the ongoing impacts of Covid-19 and Scottish Government guidance on carsharing, SEStran is not actively promoting the Tripshare SEStran platform. A reduced level award to Liftshare provides for a one-year contract to maintain the platform and retain existing members during this period.
 - Further decisions on how trip sharing opportunities are to be procured and provided will be taken in 2021, subject to a review of national policies on public health and car sharing and other trip-sharing approaches within Scotland.

5.2 SURFLOGH

Interreg North Sea Region – Jun 2017 to Oct 2020



SURFLOGH aims to enhance the role of sustainable logistics in urban logistics networks in the North Sea Region. SURFLOGH has created a trans-national network of 'city hubs' promoting innovation in city logistics. These hubs bring together different partners to exchange knowledge and work on innovative pilot projects and business models that can work in real world urban logistics systems. SEStran's Edinburgh pilot operating near Haymarket has now been running successfully since 2018, delivering a pallet worth of small package deliveries by cargo bike weekly, and the study is in an advanced stage.

Latest developments:

- **Development of business case with Edinburgh Napier University** In progress
 - SEStran is leading on the Interreg project's work package, along with Edinburgh Napier University Transport Research Institute (TRI), developing business models for urban freight hubs.
 - To date the Literature review, Business Model Framework and Edinburgh Case study have been completed.
 - SEStran & Edinburgh Napier University are working on a proposal for an extension to the project with the project partners. This is due to be submitted to the EU Joint Secretariat in March 2021 and if successful will provide a further 18 months' work.
- **Edinburgh Pilot – ZEDIFY** In progress
 - Following the success of the early stages of the project, a procurement process for services to expand the initial pilot project was carried out in October 2020, and ZEDIFY were successful.
 - ZEDIFY have a new site in Leith in Edinburgh to run an expanded Edinburgh logistics hub following a successful pilot test.
 - SEStran via SURFLOGH & Paths for All Funding will be supporting the development of the hub with £50,000.
- **Expansion of Edinburgh Cargo-Bike delivery** In progress
 - SEStran has been working with Transport Scotland to support Cargo Bike Movement (CBM).
 - CBM are developing a community hub in Edinburgh to promote the use of cargo bikes as a fairer, healthier and greener alternative to carbon-emitting vehicles in the delivery of goods and for individuals and families.
 - This new hub approach will share information that contributes to SURFLOGH research.
 - The plans for the new hub are being finalised with a launch date of April/May 2021 in the pipeline.

5.3 BLING

Interreg North Sea Region – Jan 2019 to June 2022



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's role is to develop a pilot with the University of Edinburgh, which will showcase innovative use of the technology in a transport environment.

Latest developments:

- **Development of Edinburgh Pilot** In progress
 - The Design Informatics team at the University of Edinburgh, supported by SEStran, is prototyping ways to create Location Based Smart Contracts – agreements about the location and relations of smart objects in space that allow conditions such as proximity or co-location to trigger actions like financial transfers or opening physical locks. These systems are backed with blockchains, to explore new techniques to make location data secure without being invasive.

- The pilot is called ‘GeoPact’⁴
- The next stage of the research successfully tested a Smart Contracts interface that can be easily used and adapted in the ‘real world’.
- The latest work was presented to the BLING Partnership in November 2020 with partners participating in further testing.
- The University of Edinburgh and SEStran were successful with a submission of a full paper on the project to the Conference on Human Factors in Computing Systems (CHI)⁵ in May 2021.
- The project Mid-Term conference⁶ will be held online on the 3rd March 2021.

5.4 PriMaaS

Interreg Europe – Aug 2019 to Jan 2023



Mobility-as-a-Service (MaaS) is a concept that changes the way people travel and pay for mobility services. The main vision of PriMaaS is to promote MaaS and incorporate wider societal goals through interregional collaboration, sharing best practices, and policy development.

Latest developments:

- **Baseline Assessment and MaaS Action Plan** In progress
 - SEStran has worked with partners to feed into the Baseline Assessment Report, establishing a baseline of MaaS levels in each of the partners’ regions. This will help identify best practices and develop an Action Plan for the SEStran region.
 - The idea for a DRT/MaaS platform was presented at the Equalities & Access to Healthcare Forum on 2 October and the Integrated Mobility Forum on 8 October, inviting forum members to share their views and comments.
- **MaaS/DRT in the SEStran region**
 - SEStran has lodged a bid to the MaaS Investment Fund for an ambitious project exploring potential uses of MaaS and DRT throughout the region. The bid, which has SEStran as lead partner in a consortium of tech providers and East Lothian and Fife Councils, will if successful attract funding of c. £600K to an overall project of £1.6m. Focusing initially on the Journey Hub being developed in Musselburgh, it will seek to roll out commercial as well as community transport DRT to Fife and other parts of the region whilst developing a SEStran-wide MaaS app for the public to use, integrating as many modes of travel (bus, rail, bike hire, car club, taxi) to enable a planning, booking and payment as possible.
- **Project activities and partner meetings** Delayed
 - The project partners met online in October to discuss progress of project activities and budget. Due to Covid-19 and government restrictions, many project activities have been delayed and has resulted in underspent budget.

⁴ <https://northsearegion.eu/media/14062/geopact-pictorial-tallyn-2020.pdf>

⁵ <https://dl.acm.org/conference/chi>

⁶ <https://northsearegion.eu/bling/news/bling-conference-blockchain-public-services-across-europe-3-march/>

- The consortium as a whole is now seeking a possible 6-month extension to the project, subject to formal agreement by the Joint Secretariat of the funding programme.

5.5 CONNECT

Interreg North Sea Region – Oct 2019 to Mar 2022



[CONNECT's](https://northsearegion.eu/north-sea-connect) overall objective is to support the growth of 'smart inter-modality' in the North Sea Region, through smart efficiency enhancements within freight movement. It looks at connecting the North Sea Region's TEN-T nodes, focusing on implementing new smart processes and working tools (smart inter-modality) and development of strategies for smart efficiency enhancements (smart involvement). <https://northsearegion.eu/north-sea-connect>

Latest developments:

- **Project Kick-Off** In Progress
 - The project 'kick-off' meeting took place online on the 1st & 2nd of September 2020 hosted by the lead partner in Hamburg.
 - SEStran will be leading on a work package focussed on sharing of best practice.

6. SEStran forums & upcoming events

6.1 SEStran Forum Meetings



SEStran hosts three different forum groups, the Integrated Mobility Forum, the Equalities and Access to Healthcare Forum and the Logistics and Freight Forum. The aim of the forums is to provide a platform for interested parties to come together and to formulate a regional voice in various transport-related matters.

Latest Forum meetings in the last quarter:

- **Logistics and Freight Forum**
 - The forum last met on the 9th December 2020 and provided feedback to the draft Case for Change report produced for the Forth Freight Study.
 - The forum had presentations from SURFLOGH partners the Cities of Groningen & Mechelen on their successful approach to sustainable logistics, and from Fife, on Levenmouth Reconnected.
 - The next forum will take place in May 2021.
- **Integrated Mobility Forum**
 - It is proposed to postpone the forum meeting date of 13 April until after the school holiday period, with a date of 27 April 2021 ear marked, subject to confirmation.
- **Equalities and Access to Healthcare Forum**
 - The forum will next meet on 31 March 2021

New Regional Transport Strategy (RTS): Update Report

1 Introduction

- 1.1 The purpose of this report is to provide an update to the Board on the ongoing progress of the work to deliver the new Regional Transport Strategy. The report also updates on the status of the Second Strategic Transport Projects Review (STPR2) 2 being undertaken by Transport Scotland.

2 Background

- 2.1 Board members will recall the last update report which was presented to the board on 13 November 2020. The report noted a revised programme resulting from alignment of RTS development with the emerging timescales for STPR2. This allowed for the development and assessment of options in the RTS that fully take account of how STPR2 has developed and its findings.
- 2.2 Procurement of consultants to provide transport consultancy service to support delivery of the new RTS was also under way in November 2020, and this concluded with the successful appointment of Stantec UK Ltd.
- 2.3 The RTS Steering Group continues to meet and has discussed a number of topics including the consultation and engagement strategy and the development of the public survey.

3 Progress

- 3.1 Following a competitive tendering process, Stantec UK Ltd was appointed to provide consultancy support for the RTS development, and they commenced work on 5 January 2021.
- 3.2 Work is now under way on a number of areas needed to deliver the RTS, with several different workstreams being developed at this initial stage of the project. A 'flash' update report, which is attached as appendix one to this report, highlights progress against agreed timescales. The anticipated completion date, which sees a draft RTS considered by the Board in September 2021 prior to a statutory 12 week consultation stage should still be met. However, it is noted that engagement and consultation is slower than the original consultant's programme.
- 3.3 Given the uncertainty introduced by Covid-19 and its potential impacts on travel demand and transport choices, and the two-phased approach now being applied to the Strategic Transport Projects Review (outlined below) it is likely that any strategy developed now will be subject to an early review as transport emerges from the pandemic and impacts become clearer. Also, Scotland's Climate Change Plan 2018–2032 – 2020 update indicates a

number of key targets such as: 'Reduce car kilometres by 20% by 2030', and 'Phase out the need for petrol and diesel cars and vans in Scotland by 2030'. Therefore, to accommodate these key points within the timeframe of the strategy, the proposed lifespan of the RTS is to 2035.

3.4 Workshops have taken place, or have been arranged with, all eight of the partnership local authorities and a number of other meeting and briefing notes seeking views of interested stakeholders is ongoing.

3.5 A public survey has been launched and will run for 6 weeks finishing on Monday 19 April. To help us shape the new Strategy, we want to establish some understanding of the public views of the transport issues and how travel choices may be affected as a result of the impacts of Covid-19. The survey can be accessed via the [SEStran web pages](#).

3.6 **Strategic Environmental Assessment (SEA)**

The scoping report has been completed and submitted to the statutory authorities for comment via the SES Gateway. This is a formal stage of the SEA process with a five-week time period during which the statutory authority are required to respond. The [SEA scoping report](#) has been published on the SEStran website.

3.7 **Equalities Impact Assessment (EqIA)**

As a first stage an RTS Equalities Duties Assessment Framing Note has been prepared and will form the basis of an initial discussion exercise with stakeholders who have been identified as representing equalities interests within the SEStran area of relevance to the emerging RTS. Other relevant stakeholder groups and interested individuals will also be encouraged to engage. The [Framing Note](#) has been published on the SEStran website.

4 **Strategic Transport Projects Review 2 (STPR2)**

4.1 A comprehensive suite of publications have been issued for consultation by Transport Scotland as part of the work being undertaken for STPR2. Comments and feedback are required by 31 March 2021, and from the entire suite, the following consultation drafts are relevant to SEStran:

- [STPR2: Update and Phase 1 Recommendations Report - February 2021](#)
- [National Initial Appraisal Case for Change Report](#)
- [Initial Appraisal Case for Change Edinburgh and South East Scotland Region Report](#)
- [Initial Appraisal Case for Change Forth Valley Report](#)

4.2 The necessary level of consideration and scrutiny of these documents is being undertaken by SEStran officers, and responses will be submitted to Transport Scotland by the deadline. In advance of that, a summary reflection on the draft documents is provided for this board meeting.

4.3 The Draft Phase 1 Recommendations report focuses on the early actions that can be delivered within the next two to three years, can make a significant impact on the STPR2 objectives, support an inclusive economic recovery from Covid-19, and finally, that 'lock-in' the sustainable travel behaviours that have been evident during lockdown periods. The report arranges recommended actions under eight transport themes which are given below.

- Supporting smart and sustainable travel across Scotland,
- Creating smart and sustainable towns and villages,
- Improving accessibility in rural and peripheral areas and for vulnerable groups,
- Transforming cities,
- Enhancing public transport provision,
- Supporting transition to low-carbon transport,
- Supporting a viable freight industry,
- Enhancing safety and resilience on the strategic transport network.

These themes are developed from the definition of transport option groupings which are used consistently across the National Case for Change Report and the two Regional case for change reports. Details are contained in Appendix A of the report on the STPR2 webpages.

4.4 The National Initial Appraisal Case for Change report presents an evidence-based assessment of the challenges and opportunities that exist for transport, presented within the NTS2 policy framework at a national level. The document outlines 11 transport option groupings that have been used to form the basis of categories that will progress options to the STPR2 appraisal stage. These 11 transport option groupings are consistent throughout the regional case for change documents, as well, and are listed below.

- Active Travel
- Behaviour Change
- Bus
- Rail
- Public Transport
- Ferries / Island Connectivity
- Road
- Freight
- Technology
- Multimodal Mobility
- Mass Transit

4.5 The Case for Change document also sets out the Transport Planning Objectives that have been set at a national level, and to which regional sub objectives are aligned. Finally, [Appendix E](#) of the report includes summary descriptions of the options that are currently being taken forward for further consideration through the appraisal stages of STPR2 at a national and at a regional level. An addendum in the report includes a summary of likely future transport impacts for Scotland, arising from Covid-19.

- 4.6 There are two Regional Transport Working Groups within the SEStran Region; Forth Valley which includes Clackmannanshire and Falkirk councils and Edinburgh and South East Scotland Region which covers the remaining six of the partnership councils. A case for change report has been prepared for each of the areas.
- 4.7 The Initial Appraisal Case for Change for both these Regional Transport Working Groups presents an evidence based assessment of the challenges and opportunities that exist for transport, presented within the context and setting created by the national Case for Change but with 'regional sub-objectives' Transport Planning Objectives that have been set at a regional level.
- 4.8 The two regional case for change documents carry forward the same 11 transport option groupings identified in the national case for change document. However, the individual regional options sifted in for further consideration through STPR2 are not repeated again having already been identified in [Appendix E](#) of the National Case for Change.
- 4.8 For both the regions there are too many options sifted in at this early stage of the assessment to discuss them individually. Board members were sent resource(s) packs prepared by Transport Scotland and their consultants to help understand the process and work undertaken.

5 New RTS –next steps

- 5.1 The next key stages upon completion of the consultation will be finalising Problems Framework, Evidencing the Problems, Defining the Future, Defining the Vision and Transport Planning Objectives as part of the ongoing Scottish Transport Appraisal Guidance (STAG) process to deliver the Initial Appraisal case for Change in support of the RTS.
- 5.2 Update reports on progress will be presented to the Partnership Board meetings whenever appropriate.

6 Recommendations

It is recommended that the Board:

- 6.1 notes the continuing progress to deliver a new Regional Transport Strategy SEStran 2035;
- 6.2 notes that a number of consultations are underway for STPR2 and that the deadline for comments is 31 March 2021;
- 6.3 agrees that submission of the final response on the STPR2 consultations is delegated to the Partnership Director, in consultation with the Chair, subject to including any further recommendations incorporating the views of the Board from the meeting.

Strategy and Projects Officer

19th March 2021

Appendix 1 - Flash Report.

Policy Implications	A new RTS will impact on future strategy development and local transport authorities' plans and strategies.
Financial Implications	Sufficient funds are contained within the projects budget for delivery of the RTS
Equalities Implications	The new RTS is subject to an Equalities Impact Assessment (EQIA) which is being carried out by Stantec as an integral part of the RTS development
Climate Change Implications	The new RTS is subject to a Strategic Environmental Assessment (SEA) SEA Scoping Report
Appendices	Appendix 1 - Flash Report.

TRANSPORT PLANNING SUPPORT SERVICES – A NEW REGIONAL TRANSPORT STRATEGY FOR THE SESTRAN REGION

SESTRAN RTS FLASH REPORT 12/03/2021

PROJECT PROGRESS

Table 1 Summary of Project Progress by Task

Task	Sub-Task	Task Progress	Task Lead	% Complete	Programme Status
Task 1 – Project Management & Support	1A: RTS Scoping Workshop	Workshop held and summary note circulated to attendees	Alec Knox	100%	
	1B: Communication and Liaison	Schedule of Progress Meetings and Flash Reports	Alec Knox	Ongoing	
Task 2 – Engagement & Consultation	2A: Case for Change Stakeholder Consultation	Stakeholder workshops held with Falkirk, Midlothian and West Lothian. Arranged with all other Councils except Edinburgh. Meetings taken place with SESplan, CPT and arranged with 14 other organisations.	Chris Paterson	30%	
	2B: Case for Change Public Survey	Survey is now live. 43 responses have been received to date. End date is 19 th April.	Chris Paterson	50%	
	2C: Transport Planning Objectives, Options and Appraisal Consultation		Chris Paterson		
	2D: Draft Strategy Consultation		Chris Paterson		
Task 3 – STAG Case for Change Appraisal	3A: Policy Review	All documents reviewed and used to populate 1 st draft of Problems Framework	Alec Knox	100%	
	3B: Problems Framework	1 st draft to be submitted by 19 th March. Proposed that Monthly Progress Meeting is moved to 25 th / 26 th March to allow discussion of this prior to finalisation by end of the month	Alec Knox	60%	
	3C: Evidencing the Problems	Analysis commenced: <ul style="list-style-type: none"> Key transport trends Employment mapping Population mapping Census TTW mapping 	Rachel Thomas	70%	



TRANSPORT PLANNING SUPPORT SERVICES – A NEW REGIONAL TRANSPORT STRATEGY FOR THE SESTRAN REGION

Task	Sub-Task	Task Progress	Task Lead	% Complete	Programme Status
		<ul style="list-style-type: none"> Regional travel generators Road journey times Public transport interchange Average public transport speed Bus frequency mapping Labour market catchments 			
	3D: Defining the Future	Work commenced: <ul style="list-style-type: none"> Collation of housing allocations Review of MaaS Review of Shared Mobility 	Alec Knox	25%	
Task 4 – Vision, Transport Objectives and Options	4A: Defining the Vision and TPOs				
	4B: Option Generation				
	4C: Option Sifting				
	4D: Option Development				
Task 5 – Policies	5A: Review of Previous RTS	Initial review of previous RTS undertaken. List of previous RTS schemes sent to SEStran for status update	Alec Knox	50%	
	5B: Drafting Policies				
Task 6 - Strategic Environmental Assessment	6A: Scoping Report	Report signed off and submitted to Consultation Authorities for comment	Duncan Smart	90%	
	6B: Environmental Report		Duncan Smart		
	6C: Post Adoption SEA Statement		Duncan Smart		
Task 7 - Impact Assessments	7A: Scoping Equalities and Defining Objectives	Report finalised ahead of engagement with equalities groups	Duncan Smart	90%	
	7B: EqIA Reporting		Duncan Smart		
Task 8 – STAG Preliminary Options Appraisal	8: Preliminary Options Appraisal				
Task 9 – Draft RTS preparation and consultation	9: Draft RTS				



TRANSPORT PLANNING SUPPORT SERVICES – A NEW REGIONAL TRANSPORT STRATEGY FOR THE SESTRAN REGION

Task	Sub-Task	Task Progress	Task Lead	% Complete	Programme Status
Task 10 – Finalising the Strategy	10: Final RTS				



RISK REGISTER

Table 2 Risk Register and Mitigation

Identified Risk	Likelihood	Impact	Overall Rating	Risk Impact	Mitigation Measure
Programme is dependent on timely outputs from the client and for which subsequent tasks are dependent.	Medium	Medium	Medium	Any delays would impact on the project timescale but are considered unlikely.	Monitor through change control process and programme implications and advise SEStran accordingly.
Increase in scope (differential between bid and delivery) with implications for timescales and programme	Medium	Medium	Medium	Increase in project costs / longer timescale or additional tasks not taken forward.	Stantec will review any increases in scope carefully with SEStran and ensure the works are delivered efficiently (or if appropriate not taken forward) to minimise impact on programme and costs
Risk of negative exposure if constituent local authorities not bought into the process and / or have differing views and priorities to SEStran	Medium	High	High	RTS not accepted by constituent local authorities.	<p>Consultation and engagement with client team and stakeholders will be important throughout the study. A key issue will be to clarify scope and outputs with stakeholders early in the process, in particular highlighting that this study will not deliver a 'shopping list' of preferred options.</p> <p>Our engagement strategy allows for an extensive engagement with the constituent local authorities in the SEStran area.</p>
Complex project with multiple technical inputs and engagement requirements requires ongoing documentation and management	Medium	Medium	Medium	Risk of different strands of the project not aligning, thus undermining the credibility of the RTS.	The complexity of the project is one of the reasons we have provided a senior management partnership with a long track-record of working together. Senior Thematic Leads with experience of delivering this type of work have also been included in our team.
Uncertainty over emerging STPR2 policies and implications of such on evolving RTS	Medium	Medium	Medium	RTS does not align with national priorities.	We will work closely with SEStran, constituent local authorities and, where appropriate, Transport Scotland with regards to ensuring consistency with the emerging STPR2 outputs.
Uncertainty and limited technical insight to evolving and emerging new technologies and associated travel	Medium	High	High	RTS rooted in present day transport circumstances only and is quickly overtaken by events.	Stantec will draw on their in-house expertise as and when required and will liaise with SEStran to ensure access to field experts and academics in emerging technologies. We have also reviewed this issue in the context of NTS2 and the SPT RTS, and thus start from a strong position.



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Identified Risk	Likelihood	Impact	Overall Rating	Risk Impact	Mitigation Measure
behaviour, which needs to be inherent in future RTS scenarios					
The approach to the RTS diverges from the equivalent reports prepared by other RTPs.	Low	Medium	Low	The RTS diverges from other RTS documents, leading to significant inconsistency in the regional approach sitting under the NTS2.	Stantec is drafting the SPT RTS, supported the South-West Scotland Transport Study in the SWESTRANS area, and is currently working closely with HITRANS, NESTRANS and ZetTrans. We are therefore well-placed to ensure that the RTS aligns with the approaches being adopted at the regional level elsewhere in Scotland. The other RTPs will also be consulted as part of the engagement process.
The study team encounters 'group think' when setting objectives and undertaking the appraisal.	Medium	Medium	Medium	The key outputs of the RTS (e.g. the record of problems, the objectives and the options / option packages and options appraisal) are not sufficiently challenged and unravel during the later RTS process.	We have included Paul McCartney in our project team as a Peer Reviewer. Whilst he will act as a Technical Adviser on the study, his role will be largely strategic and thus he will provide a challenge function at key points in the appraisal.
A conflict emerges between this study and other Stantec commissions.	Low	High	Low	Stantec advice in the RTS is not considered independent and its credibility is undermined.	We actively manage conflicts within the company. We have already issued a notification of the SEStran RTS work around the company and no conflicts have been identified. If a conflict does arise, our management team would inform SEStran immediately and agree an appropriate course of action.
Loss of a key member of the project team	Low	Medium	Low	In the event of a key team member leaving, we have considerable resource depth in this field of work, including staff members who have worked on other regional appraisal studies of this nature – for example Emily Seaman who managed the South-West Scotland Transport Study and Graham Bell who managed the Borders Transport Corridors Study.	Replacement with an equally skilled individual from our staff or, if necessary (although unlikely), sourced externally.
Computer or system failures	Low	Low	Low	We back up all of our systems daily and so data losses are minimised.	We will store separate copies of all documents to ensure any system failure will not affect all stored documents
Inadequate or inappropriate resourcing following a review of requirements at inception, or as the project progresses	Low	High	Medium	We have carefully selected our team members on the basis of the tasks we feel will be carried out and the skills, knowledge and experience of staff to deliver these. Our Project Managers typically undertake a weekly review of progress and resources on all projects and	If it is concluded that we need additional or different resources, we have additional, well qualified, staff available within the company to be deployed to meet timescales.



TRANSPORT PLANNING SUPPORT SERVICES – A NEW REGIONAL TRANSPORT STRATEGY FOR THE SESTRAN REGION

Identified Risk	Likelihood	Impact	Overall Rating	Risk Impact	Mitigation Measure
				report this internally and to the client. We will therefore be aware of and address any risks at an early stage.	
Fire and flood	Low	Low	Low	We have established procedures for fire safety and we back up all of our systems daily and so data losses are minimised.	Our daily back up of systems ensure any system failure will not affect stored documents.
Analytical work can't be completed within timescales impacting on programme and outputs	Low	High	Low	The RTS is not completed within the required timescales	We have considered timescales carefully in the preparation of the work programme and our approach is designed to minimise risk through using proven techniques, methods and capable staff resource. Additional skilled resource can be deployed if required from within Stantec
Uncertainty around options to be considered and option appraisal leading to resource and programme impacts	Low	High	Low	Options cannot be developed or appraised suitably meaning the RTS cannot be finalised	Our methodology, budget and project management is cognisant of this risk and seeks to address it as far as reasonably practicable at this stage. We would liaise with SEStran and work collaboratively during refinement of all Project and Quality Management Plan documents
Unforeseen changes to the emerging RTS may require components to be reassessed to ensure compliance with SEA and EqIA statutory requirements, with implications for timescale, programme and budget	Medium	Medium	Medium	The development of the RTS is delayed to take account of the SEA and EqIA feedback.	An iterative approach to undertaking the SEA and EqIA will be adopted to allow changes in emerging RTS components to be considered at the earliest opportunity.
Through the SEA process consultees could request changes to the RTS for environmental reasons which do not align with its intended content, potentially resulting in the need to amend the RTS or impacting the viability of individual proposals.	Low	Medium	Low	The RTS needs amended to reflect feedback received through the SEA process.	Early engagement with the SEA Consultation Authorities is proposed. Each version of the Environmental Report will explain the proposed RTS component and define any reasonable alternatives, which will be subject to the same level of analysis. All SEA consultation responses received will be evaluated promptly and any wider implications will be addressed by the project team.



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Identified Risk	Likelihood	Impact	Overall Rating	Risk Impact	Mitigation Measure
Impacts of COVID-19 pandemic undermine the ability to develop a credible RTS	Low	Medium	Low	Uncertainty around future travel patterns and what the 'new normal' will entail make it difficult to develop a RTS	Consider a range of sensitivity scenarios and likely futures then test the RTS against them to identify the extent to which it would be impacted under those circumstances



PROJECT WORK PROGRAMME

Table 3 Project Milestones and Invoicing Schedule

Milestone	Date	Invoicing Schedule	Invoiced?
M1 – Inception Report	Week beginning 18 th January 2021	10% of Total Fee - £17,536.50	Issued
M2 – SEA Scoping Report	Week beginning 15 th February 2021	5% of Total Fee - £8,768.25	To Be Issued By 31 st March
M3 – Equalities Scoping Report	Week beginning 15 th February 2021	5% of Total Fee - £8,768.25	To Be Issued By 31 st March
M4 – Problems Framework	Week beginning 29 th March 2021	10% of Total Fee - £17,536.50	To Be Issued By 31 st March
M5 – Initial Appraisal: Case for Change Report	Week beginning 3 rd May 2021	15% of Total Fee - £26,304.75	
M6 – SEA Case for Change Report	Week beginning 3 rd May 2021	5% of Total Fee - £8,768.25	
M7 – EqIA Reporting	Week beginning 19 th July 2021		
M8 – Preliminary Options Appraisal Report	Week beginning 19 th July 2021		
M9 – Draft RTS for RTP Board	Week beginning 9 th August 2021	20% of Total Fee - £35,073.00	
M10 – SEA Report	Week beginning 9 th August 2021	10% of Total Fee - £17,536.50	
M11 – Final RTS for RTP Board	Week beginning 14 th March 2022	20% of Total Fee - £35,073.00	
M12 – Post Adoption SEA Statement	Week beginning 14 th March 2022		

Table 4 Dates for Project Meetings and Flash Reports

Date	Description
19th March	Flash Report
25th/26th March	Monthly Progress Meeting - TBC
2nd April	Project Managers Progress Meeting
9th April	Flash Report
23rd April	Monthly Progress Meeting
30th April	Flash Report
7th May	Project Managers Progress Meeting
14th May	Flash Report



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Date	Description
21st May	Monthly Progress Meeting
28th May	Flash Report
4th June	Project Managers Progress Meeting
11th June	Flash Report
17th June	Monthly Progress Meeting
25th June	Flash Report
2nd July	Project Managers Progress Meeting
9th July	Flash Report
23rd July	Monthly Progress Meeting
30th July	Flash Report



Response ID ANON-G69J-DDYH-9

Submitted to **Scotland's Road Safety Framework to 2030 Draft Public Consultation**

Submitted on **2020-12-01 17:38:33**

Questions

1 Is the vision set out for the next 10 years the right one?

Yes

Please explain your answer:

The vision to have a road traffic system which becomes free from death and serious injury is fully supported by SEStran.

2 Are the outcomes of Safe Road Use, Safe Speeds, Safe Vehicles, Safe Roads & Roadsides and Post-Crash Response to deliver the vision the right ones?

Yes

Please explain your answer:

The outcomes are all linked and achieving these outcomes will deliver a road system that seeks to ensure that the impacts of collisions are minimised and have the least impact on people involved.

SEStran supports the key objective of the approach; to manage vehicles, the road infrastructure, speeds, all road users and the interactions between these components, to ensure that in the event of crashes, crash energies will remain at levels that minimise the probability of death and serious injury.

3 Do you agree that the Safe System Approach is fundamental to the success of the Framework?

Yes

Please explain your answer:

The outcomes are all linked and achieving these outcomes will be most successfully deliver a road system that seeks to ensure that the impacts of collisions are minimised and have the least impact on people involved.

4 Are the 12 key challenges for road safety, from Climate Emergency, Health to Emerging technologies and Post-crash response, the correct ones?

Yes

Please explain your answer:

The 12 key challenges reflect the main issues which are evolving and will have an impact on transport safety during the next 10 years till 2030.

5 Do you think the strategic actions will deliver the outcomes and address the identified challenges?

No

Please explain your answer:

Not fully. It is unclear how some of the actions can be implemented and have the desired affect on outcomes.

Future funding in the current economic conditions will remain challenging. It is unclear how the development of a Road Safety Improvement Fund would assist. How would it be managed and who would determine funding allocation and on what basis? This could centralise funding as opposed to continuing with the current partnership arrangements at all levels.

The ability to deliver on attitude, behaviour change, education are all dependant on resources both financial and skilled people to deliver such initiatives. A long term commitment for the duration of the framework is also required.

It is unclear how the Active Travel Strategic Actions and outcomes will address the needs of vulnerable road users . The increase in funding is welcomed but there is no clear strategy for how the current bidding process for Active travel schemes supports road safety improvement for vulnerable users.

Does the approach fully address the paradox where on the one hand we have the goal of zero fatalities, but on the other we have to ensure that a road safety intervention does not act as a barrier to active healthy modes of transport like cycling and walking, even if the road safety intervention is effective?

There must be a strategic focus; where all elements of a safe systems approach are integrated across all levels of government, national, regional and local. To further confirm the system should:

-Recognise people do and will continue to make mistakes. The aim is to minimise the impacts of these mistakes.

-There is no 'one solution'.

-All approaches and stakeholders need to work together to minimise road trauma.

6 Are some of these actions more important than others?

No

Please explain your answer:

All the actions are equally important since they are interconnected .

However, The measures to change behaviours and attitudes and to gain the full support across all the different partners is crucial, e.g. Road Safety learning within the Curriculum for Excellence will be challenging given CfE learning priorities and the impacts that COVID-19 has had on classroom teaching. This is very relevant for primary education.

In addition the changing demographics with an increasing aging population will be an important area to monitor and research. How increasing active travel affects the number and types of collisions must be carefully monitored to be fully integrated within the safe system approach.

The actions need to look at an all modes & users' solution, it should not discriminate against any group or focus resource at a particular mode because it is easier to 'make that mode 100% safe'.

7 What are your views on the proposed 2030 Interim Targets?

Yes

Please explain your answer:

These are challenging targets but seem appropriate within the context of the 2050 Long-term goal.

8 Do you think that the Intermediate Outcome Targets and Key Performance Indicators are appropriate to monitor the progress towards the 2030 interim targets?

No

Please explain your answer:

The targets generally are appropriate. However, the validity of a 60% reduction, for children (aged<16) killed, is doubtful when the base level is two (averaged over 3 years).

The Key Performance Indicators are relevant measures related to the outcomes. However, all but the final three Key Performance Indicators are extremely challenging to measure and monitor with any accuracy and great care will be needed to enable robust statistics to be collected and used for monitoring purposes.

It will be important that targets account for different user groups and modes so that relevant & useful comparisons can be made.

9 Do you think that the proposed Governance Structure is appropriate?

Yes

Please explain your answer:

How will LPF's be constituted and what are the criteria for organisation and forums etc to be acceptable for the LPF? Not all LA's are reflected in the groups suggested in the framework and not all LA areas will have such RS forums. This type of approach could have some benefits at a regional level.

10 Would road safety performance be improved across Scotland as a result of systematically sharing information and best practice between local authorities and/or local/regional partnerships through Local Partnership Forums?

Yes

Please explain your answer:

There are some existing examples of good practice showing the benefits of this approach.

11 In your opinion what aspects of road safety work well at the moment?

Please explain your answer:

No comment

12 What practical actions would you like to see taken to encourage and promote these aspects?

Please explain your answer:

No comment

13 In your opinion what aspects of road safety do not work well in general and as a result of Covid-19?

Please explain your answer:

The issue of resources to deliver education based road safety teaching within the school context. Pressures on teachers to be involved in delivering this type of initiative within a CfE setting is a limiting factor on how successful it can be in the future. This has been exacerbated by the challenges of on line teaching.

14 What practical actions would you like taken to overcome these aspects?

Please explain your answer:

The Safe System approach to road safety delivery is has been successful in other countries where there has been a substantial investment in education , training and investment in marketing to support the aims of the approach.

About you

What is your name?

Name:

Jim Stewart

What is your email address?

Email:

jim.stewart@sestran.gov.uk

Are you responding as an individual or an organisation?

Organisation

What is your organisation?

Organisation:

South East of Scotland Transport Partnership (SEStran)

The Scottish Government would like your permission to publish your consultation response. Please indicate your publishing preference:

Publish response only (without name)

We will share your response internally with other Scottish Government policy teams who may be addressing the issues you discuss. They may wish to contact you again in the future, but we require your permission to do so. Are you content for Scottish Government to contact you again in relation to this consultation exercise?

Yes

I confirm that I have read the privacy policy and consent to the data I provide being used as set out in the policy.

I consent

Evaluation

Please help us improve our consultations by answering the questions below. (Responses to the evaluation will not be published.)

Matrix 1 - How satisfied were you with this consultation?:

Slightly satisfied

Please enter comments here.:

Matrix 1 - How would you rate your satisfaction with using this platform (Citizen Space) to respond to this consultation?:

Very satisfied

Please enter comments here.:

Union Connectivity Review

Response on Behalf of SEStran

Assessing the need for cross-border connectivity

- 1. If you represent a place, what is your current strategy for growing the economy and improving the quality of life there? Please provide a summary, but you are welcome to append or link to published strategies.**

This response is made on behalf of the South East Scotland Transport Partnership (SEStran) established in terms of the Transport (Scotland) Act 2005.

All RTPs have as one of their functions the production of a Regional Transport Strategy (RTS). In terms of the Act, these are set out at [section 5\(2\)](#). In summary, the Strategies should set out how transport in their area should be provided, developed or improved having regard to various issues including well-being, social inclusion, sustainable development and 'to integrate with transport elsewhere.'

SEStran's RTS Executive Summary can be found [here](#). This is now to be further refreshed in the light of the most recent [Main Issues Report](#), published in June this year.

There is strong alignment between the RTSs and the [National Transport Strategy for Scotland](#) (NTS2).

- a) What is necessary to achieve this strategy and what evidence do you have that improved connectivity is needed in this instance?** We expect that transport is not the only factor necessary to achieve regional strategies and would like to understand what else might need to be in place to see benefits from improvements in connectivity.

The [Delivery Plan](#) for SEStran's current RTS sets out what is necessary to achieve the Strategy.

- 2. Please provide any information you hold about current multi-nation journeys within the United Kingdom.**

Please provide information relating to current journey volumes, assessments of future demand, journey reliability and locations/corridors of particular strategic importance. In particular, please provide information about current journey levels, assessments of future demand, locations of important strategic transport corridors and the reasons for importance

[Tactran's Monitoring Framework 2018 Progress Report](#) contains information regarding travel to/from major destinations in Scotland (pages 27 to 33).

3. In general terms, is there a need for new or improved transport links between the nations of the United Kingdom?

If so, please explain why and provide evidence to support your view. Please ensure that your response relates specifically to multi-nation transport links and not to improvements in connectivity in general.

Rail

The north of England and Scotland will be severely disadvantaged if the benefits of HS2 infrastructure being gradually extended northwards in increments from a London base do not reach the north of England and Scotland until well into the 2040s. An earlier investment in high speed rail infrastructure in the north of England should align with the Scottish Government's ambition for high speed rail in Scotland to release the latent economic growth potential that is being suppressed by relatively poor connectivity.

Sea and Air

There are detailed responses from other Scottish respondents which cover the Scottish position in general. However, in relation to SEStran, protecting and enhancing the role of Edinburgh Airport will be important.

In addition, developing the role of the ports in the region - particularly Grangemouth, Rosyth, and Leith, will have positive benefits for the transition to low carbon and sustainable modes of transport both for passengers and freight.

Restoration of the passenger and freight ferry to Rosyth would provide a direct link to mainland Europe from the region.

In addition, cross-border connectivity corridors of interest would be

- Cross Rail services including sleeper services - increase in sleeper services
- Freight access by rail in and out of Scotland, issues with network constraints, limited existing rail services to Grangemouth intermodal rail terminal
- Potential for direct ferry routes from the East of Scotland to near continent ports with early forward investment by Government to enable viability.
- Access to deep sea ports by rail or road or from existing port facilities such as Rosyth and Grangemouth.
- Improvement of the A1 corridor (see below).

Multimodal Hubs: Developing a network of multimodal hubs across Scotland and the UK, serving rail, road and water traffic, to allow for the consolidation of freight and movement through sustainable modes of transport.

Rail Freight Enhancements: Interventions to remove the barriers preventing the growth of rail freight in Scotland, particularly with regards to improving capacity alongside passenger services, and putting gauge enhancements in place to allow the transportation of larger containers.

4. What are the main obstacles and challenges in improving transport connectivity between the nations of the United Kingdom?

Please provide evidence relating to any specific challenges that prevent or hinder the development of additional or improved transport links. Please consider socio-economic, political, organisational and practical issues.

The [Borders Transport Corridors Study](#), published in March 2019 by the Scottish Government, sets out, in some detail, the context for the appraisal of transport options for the Scottish Borders and its key connections to Edinburgh, Newcastle and Carlisle.

5. What evidence exists to demonstrate the potential impacts of improved transport connectivity between the nations of the United Kingdom?

Please ensure that your answer relates directly to transport connectivity between the nations of the United Kingdom and not to transport connectivity in general. Please consider economic, social and cultural impacts and provide documents or links. Please also highlight specific potential growth areas such as housing or wages.

Major housing expansion is anticipated across the SEStran area over the next 10 – 20 years.

Fuller reference to evidence to support the contention that transport connectivity improves the economy is referenced in the joint RTP response to this consultation.

Transport connectivity is a fundamental element of The Borderlands (Dumfries & Galloway, Scottish Borders, Northumberland, Carlisle and Cumbria) Growth Deal and the indicative Regional Spatial Strategy (iRSS) for the South of Scotland. Full information is available at <https://www.borderlandsgrowth.com/> and <https://dumfriesgallowayintranet.moderngov.co.uk/documents/s23664/South%20of%20Scotland%20Regional%20Spatial%20Strategy%20-%20Appendix.pdf>

The combined investments of the UK and Scottish Governments will commit up to £350 million to the Borderlands Growth Deal. Local authority partners will contribute up to £44.5 million towards the deal. Taken together this will result in a significant overall growth deal package worth up to £394.5 million for the region.

The Growth Deal recognises the following key points in relation to transport:

- Transport Connectivity is vital for joining up the communities and maximising the economic potential of the Borderlands region.
- The UK and Scottish Governments will work together through the deal to consider the potential to extend the Borders Railway.
- Up to £5 million of funding will be made available by each Government through the deal to progress the evidence base, options appraisal and feasibility work on Carlisle to Tweedbank rail options.
- The Scottish Government will progress the evidence base through the Strategic Transport Project Review process already under way through Transport Scotland.

The UK Government Department for Transport will progress complementary feasibility work on these options with a wider UK perspective.

- The two Governments will work together to align their work, enabling a shared understanding of the cross border benefits and challenges of these options.

As regards the penultimate bullet point, the STAG appraisal already undertaken by consultants on behalf of the Scottish Government identifies differing appraisal and delivery mechanisms for transport schemes between the two national transport authorities, as well as other differences in such things as planning policies and funding sources, as potential restraints. That makes the last bullet point even more relevant.

Similar evidence linking the need for transport infrastructural improvements to help drive other economic benefits can be found e.g. in the Edinburgh City Deal strategies. It is understood that the Edinburgh City Deal Joint Committee is making its own response to this consultation.

6. When making transport investment decisions which aim to improve connectivity between the different nations of the United Kingdom, does the current appraisal framework capture all the potential impacts?

Please provide evidence such as links to existing reviews or analysis that may have already considered this.

A robust and consistent appraisal framework would be required that would be suitable for the whole of the UK.

The Scottish Government are currently consulting on a Draft Infrastructure Investment Plan which covers the financial years 2021/22 to 2025/26 and outlines their approach to delivering on the National Infrastructure Mission, recognising the role infrastructure has to play in enabling inclusive, net zero and sustainable growth. The full consultation is available through <https://www.gov.scot/publications/national-mission-local-impact-draft-infrastructure-investment-plan-scotland-202122-202526/>

Opportunities for Improved Transport Connectivity between the nations of the United Kingdom

7. Which specific journeys would benefit from new or improved transport links?

Please identify two or more specific points within the United Kingdom for each journey and provide details as to why each journey has been identified. Please list these journeys in order of priority. Please ensure that these journeys traverse two or more nations. If none then please go to Question 8.

Two key journeys for the SEStran region would be, firstly, the journey both north and south to Aberdeen and London which is principally served by the East Coast Main Line; and, secondly, the connection between the region and the cities in the north east of England such as Newcastle, which is principally served by road.

Both of these journeys are crucial to the economic well-being of the region.

As regards the rail based journey to Aberdeen and London, SEStran has seen, and is supportive of, the Transport North East (TNE) response to this consultation. The work undertaken by East Coast Mainline Authorities (ECMA) identifies the interventions required and the benefits this will bring to the economy. It is understood that ECMA will be responding separately to this call for evidence, and rather than duplicate that response, it is noted that it is supported.

As regards the road based journey to the north eastern English cities, again the TNE response and the Borderlands study referenced above make the case for improved links. Specifically, the A1 between Newcastle and Edinburgh is a key route and would, ideally, be dualled completely.

A fully sustainable road/dedicated public transport/Active Travel link which is future proofed for the low carbon EV, autonomous and High Speed Rail future should be a UK wide priority delivered at RTP level. Future infrastructure will need to blend an enhancement of existing networks as well as new, bold and sustainable solutions.

Specifically, an improved EV charging network that ensure compatibility throughout the whole of the UK, and consideration of how to incorporate the rapidly evolving hydrogen based technologies into future developments would be beneficial.

There are interdependencies across all public policy areas from Climate Change, Planning, Transport to Public Health. An assessment of how they need to change is the remit of devolved administrations.

8. Is there a need for the development of a national strategic transport network to replace the European TEN-T network within the UK?

Please consider the specific strategic benefits of a replacement national network which would connect strategically important regions, and places in the United Kingdom in order to support economic growth and quality of life. View maps of the existing TEN-T [inland waterways and ports](#) and [railways and airports](#) network within the UK.

a) How should such a network be defined?

Please consider which criteria should be considered when identifying transport links for inclusion and how these should be assessed. Please also consider which specific transport modes should be included.

b) What would be the potential impact of such a network?

Please consider possible economic, social and environmental impacts

c) How should a network of this nature it be managed or financed?

Please consider the role of the Government, Devolved Administrations and local transport authorities in your response.

d) Do you have any further comments on the potential development of a national strategic transport network?

SEStran and Transport Scotland's respective strategies are seeking to improve connections between sea and air ports, urban and industrial areas, and creating multimodal platforms to improve logistics: principles that are core to TEN-T.

The freight sector tends to lead on new freight sector innovation, with a need for the public sector to provide supportive infrastructure / investment in sustainable links to / from freight and commerce locations.

It is important that any 'replacement' to TEN-T extends to cover all of Scotland and therefore links the whole country to the broader UK-wide network, and that it covers all modes, including ports within the SEStran region.

Connections to Northern Ireland

9. With reference to the unique geographical position of Northern Ireland please set out how best to improve cross-border transport connectivity with other nations

Please consider all possible transport options including maritime, air and rail or road via a fixed link and provide evidence as to the cost, benefits and environmental impact of these options.

There should be good road/rail/freight connections between the SEStran region and Northern Ireland to link into broader national network. In this regard, improvements to the A75 would improve connections from the region to Cairnryan and beyond to Northern Ireland.

10. Other than geographic, are there any other specific restrictions to improving connectivity between Northern Ireland and other nations in the United Kingdom?

Please consider legal, policy and practical restrictions. Please set these out and provide evidence as to how they may limit opportunities for improved transport connectivity. Please also consider this in the context of the United Kingdom's departure from the European Union.

As above.

Final questions

11. What else can be done to support greater transport connectivity between the nations of the United Kingdom?

Please consider legal, political, structural and economic factors in your response as well as other opportunities for the UK Government to directly support improvements to transport connectivity.

Clearly close working between the UK and Scottish Governments will be crucial to some of the suggested improvements being delivered.

12. Do you have any further comments?

Whilst this review focuses on physical transport connectivity, the COVID pandemic and pre-existing gaps in digital infrastructure provide a clear argument for digital connectivity to both property and premises level to be a significant economic enabler. For communities which experience issues of physical connectivity to the wider UK geography and economy, investment in reliable digital infrastructure can enable the creation of new, and growth of indigenous, businesses, supporting local jobs and supply chain opportunities.

The pandemic and attendant reduction in travel has yielded significant carbon reduction and efficient digital infrastructure reduces both the need for routine business travel, and maintenance expenditure for road infrastructure. This needs to be sustained in the future and form part of future investment decision-making.

In the new 'normal' it is likely mobility in all its forms will need to address safety and public health for all modes of travel with capacity issues a major concern particularly for the private sector operators and impact on revenues. Public Transport with rail and bus in particular has been hit hardest with the pandemic and it is likely operators will need to change business models significantly to return to some degree of normality. The role of national and local government may also be required to radically change its relationship with the private sector. Greater flexibility of services, increases in demand responsive services and more effective contractual arrangements mitigating risks will all likely have to play a part in the new normal for operators.

Building on the UK Government's smart motorways investment programme, digital infrastructure requires to be built into major transport infrastructure investment, with consideration of sensor and Internet of Things based opportunities for more productive use of existing infrastructure, and provision of real-time data on usage, asset condition and traffic status to both reduce inspection revenue costs and information decision making on maintenance and investment.



Proposed amendments to the Model Code of Conduct for Members of Devolved Public Bodies

RESPONDENT INFORMATION FORM

Please Note this form **must** be completed and returned with your response.

To find out how we handle your personal data, please see our privacy policy:
<https://www.gov.scot/privacy/>

Are you responding as an individual or an organisation?

- Individual
 Organisation

Full name or organisation's name

South East of Scotland Transport Partnership (SEStran)

Phone number

Address

Area 3D (Bridge),
Victoria Quay
Edinburgh

Postcode

EH6 6QQ

Email

angela.chambers@sestran.gov.uk

The Scottish Government would like your permission to publish your consultation response. Please indicate your publishing preference:

- Publish response with name
 Publish response only (without name)

Information for organisations:

The option 'Publish response only (without name)' is available for individual respondents only. If this option is selected, the organisation name will still be published.

If you choose the option 'Do not publish response', your organisation name may still be listed as having responded to the consultation in, for example, the analysis report.

**Partnership Board Meeting
Friday 19th March 2021
Item B1.3 Model Code Consultation Response**

Do not publish response

We will share your response internally with other Scottish Government policy teams who may be addressing the issues you discuss. They may wish to contact you again in the future, but we require your permission to do so. Are you content for Scottish Government to contact you again in relation to this consultation exercise?

Yes

No

CONSULTATION QUESTIONS

The consultation questions set out below focus on changes that have been made to the Model Code.

We are specifically seeking your views on the amendments that have been made to the Model Code. However, your views on any aspect of the revised Model Code are welcome. When making general comments please specify which sections of the Model Code you are commenting on. If your response refers to a particular paragraph, rather than the section as a whole, please provide a reference to that paragraph(s) following your response i.e. (paragraph 3.10).

General questions

1. Have you used the Code before?

Yes

2. If Yes, in what capacity have you/do you use the Code? If you used the Code as a Board Member could you please name the public body?

Please provide your comment

SEStran Board Members

3. Do you agree that there is a need to review and update the current Model Code?

Yes

Could you provide information to support your response?

The Code has not been significantly reviewed since 2010 and (amended 2014) this provides an opportunity to update the Code to make it more user-friendly for Board Members and the public. The use of the first person and plain English is welcomed.

A review also provides an opportunity to take account of developments in our society such as the role of social media and strengthen key areas including bullying and harassment.

4. In Section 1, and throughout the Model Code, we have removed unnecessary information to make it easier to understand. Do you have any comments on the changes proposed for Section 1: Introduction to the Code?

Yes

Please provide your comment

The proposed removal of guidance, explanatory and background information from the existing Code is welcome to make the Code more user-friendly, however it should be included in the Standards Commission's guidance on the revised Code. We support the use of case examples within this guidance and within support and training materials provided by the Standards Commission.

5. In Section 2, the Model Code has a new heading “My Responsibilities” which aims to ensure that members accept and endorse that it is their personal responsibility to be aware and comply with the provisions in their Board’s Code of Conduct. Do you have any comments on this change in Section 2: Key Principles?

Yes

Please provide your comment

SEStran welcome the changes in this section. The ‘My Responsibilities’ section clearly sets out Board Members’ responsibilities and distinguishes responsibilities from background/introductory information as set out in the current version.

SEStran supports the inclusion and wording of the key principles of the Code of Conduct, as set out in the consultation.

6. In Section 3, General Conduct, the respect provision has been extended to everyone that a member could come into contact or engage with when acting as such, e.g. employees of other public bodies as well as other board members and the general public. We have also included information relating to the use of social media and highlighted that bullying and harassment is totally unacceptable.

This section also cover Gifts and Hospitality. These provisions have been amended to make it clear that they should not be sought or accepted with the exception of minor gifts or hospitality that a member would normally be expected to be offered in their everyday role.

Do you have any comments on the proposed changes in Section 3?

Yes

Please provide your comment

SEStran supports the intention to strengthen this section of the Code. The wording proposed is an improvement of the current content. We have made comments below to further strengthen the proposed wording.

Respect and Courtesy

3.1 SEStran welcomes the expansion of this provision but should read I will treat everyone with courtesy and respect. This includes in person, in writing, at meetings, when I am representing my public body and when I am online and/or using social media.

3.2 This provision may benefit from being simplified to: I will advance equality of opportunity; not discriminate unlawfully and will seek to foster good relations between different people.

Gifts and Hospitality

SEStran suggests a full redraft of this section. It is confusing and contradictory at points. For example:

3.12 I will never ask for any gifts or hospitality including money raised via crowdfunding or sponsorship, material benefits or services.

3.19 I will refuse any hospitality offered other than that which would normally be associated with my duties as a board member

3.17(a) Guidance should include a description and examples of minor items

There is also a question on what the benefits are of not including a gifts and hospitality register in the revised Code. This seems to provide little benefit to the Board Member, public body or the public and risks undermining confidence in a public body or individual. SEStran believes the current practice of recording gifts and hospitality should remain.

Confidentiality

SEStran is supportive of the further clarity provided concerning the obligation to keep certain information confidential and the clarity that the provisions apply to all to all confidential information, not just information deemed to be confidential by statute.

SEStran also welcomes the clarity for Board Members' that the onus is on the Board Member to check whether they have consent to disclose such information and that they cannot assume it can be disclosed if they are unable to obtain such consent.

7. Section 4 has been amended to reflect the changes made throughout the Model Code and to make clearer what kind of information needs to be registered. Do you have any comments on the changes proposed for Section 4: Registration of Interests?

No

Please provide your comment

SEStran is supportive of the changes set out in this section.

8. Do you have any comments on the changes proposed for Section 5: Declaration of Interests? The changes have been made to make it clearer that members need to take responsibility for declaring matters of interest.

Yes

Please provide your comment

If the Connection – Interest – Participation approach is pursued, the Code should clarify that a connection must include the Board Members' consideration of their being a *reasonable perception* of a connection.

Supporting guidance should also make clear the meaning of 'leaving the room' in an online meeting e.g. disconnecting from the meeting or simply turning camera and sound off.

9. Public bodies aim to be open and accessible to the views and opinions of others, and to make their decisions based on the widest possible evidence and arguments. As a Member you will probably be approached by those wishing to make their views known. This is perfectly legitimate but care is needed. We have looked to simplify the Model Code in Section 6 covering Lobbying and Access. Do you think the proposed changes achieve this aim?

Yes

Please provide your comment

SEStran welcomes the changes in this section. This section provides Board Members with additional clarity and examples of different types of lobbying that may take place.

10. The information in Annex A has been extended to include information about the role of the Ethical Standards Commissioner and the sanctions available to the Standards Commission following a finding of a breach of the Code and what these mean. Do you have any comments on the changes proposed to Annex A?

No

Please provide your comment

N/A

11. Overall, how clear and easy to understand do you find the revised Model Code?

Sometimes unclear

Please tell us where you think the clarity of the code could be improved, and how?

Section 3 - General Conduct, Gifts and Hospitality

This section should receive a full re-draft. The current wording (and layout) is confusing and is contradictory.

SEStran believes the current practice of recording gifts and hospitality should remain.

12. Do you have any other comments on the proposed revisions to the Model Code?

No

Submitted to **Consultation on the M8 and M9 Trunk Roads (Newbridge to Hermiston Gait) (Actively Managed Hard Shoulder and Speed Limit)**

Regulations

Submitted on 2021-01-13 15:14:21

Questions

1 We welcome comments on the proposal to make the Regulations, and in particular comments in relation to the bus lane provisions contained within. Any specific reference to operational or safety considerations by consultees in support of their comments would also be welcomed

Please explain your answer:

Thank you for the opportunity to participate in Transport Scotland's consultation on the M8 and M9 trunk roads (Newbridge to Hermiston Gait) (actively managed hard shoulder and speed limit) Regulations 2021. Please note this is an officer response to the consultation.

It is noted that the AMHS initiative is linked to the autonomous bus demonstration Project CAV Forth and it is noted that this is initially focussed along a 14-mile route across the Forth Road Bridge between Fife and Edinburgh.

Although the AMHS are only being introduced over relatively short lengths of the M8 and M9 they will have benefits for bus operators entering West Edinburgh from the Central Belt motorway network. The measures are welcomed in terms of them providing and improving bus priority infrastructure which will help tackle the impacts of congestion on bus services whilst supporting and encouraging future bus usage following a return to more normal travel patterns after the current COVID 19 pandemic.

This as a positive initiative to promote bus travel and one which it is hoped can be extended quickly to other sections of the Central Belt motorway network and is supported by SEStran.

SEStran has seen the West Lothian Council response to the consultation and fully support their suggestions to extend the AMHS proposals to the west on the Central Belt M8 and M9 motorway network, including the extension of the proposals on the M8 out of the City; particularly between Hermiston Gait and Newbridge.

There are major development areas in West Lothian with local development plan requirements in place to provide substantial bus-based park and ride facilities adjacent to the motorway network at Winchburgh and Linlithgow on the M9 and at Heartlands and Livingston on the M8.

Early introduction of AMHS on further sections of the Central Motorway network would support the delivery of new development in a way that forms part of a sustainable transport future and making bus services greener and more punctual and reliable in support of the aims of NTS 2. Early delivery would provide positive support for public transport, which will be critical in the recovery of bus based public transport usage in an uncertain future.

About you

What is your name?

Name:

Jim Stewart

What is your email address?

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jim.stewart@sestran.gov.uk

Are you responding as an individual or an organisation?

Organisation

What is your organisation?

Organisation:

South East of Scotland Transport Partnership (SEStran)

The Scottish Government would like your permission to publish your consultation response. Please indicate your publishing preference:

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Yes

I confirm that I have read the privacy policy and consent to the data I provide being used as set out in the policy.

I consent

Evaluation

Please help us improve our consultations by answering the questions below. (Responses to the evaluation will not be published.)

Matrix 1 - How satisfied were you with this consultation?:

Very satisfied

Please enter comments here.:

Matrix 1 - How would you rate your satisfaction with using this platform (Citizen Space) to respond to this consultation?:

Very satisfied

Please enter comments here.:

Submitted to **Scotland's Economic Performance - The contribution of place-based economic development zones**

Submitted on **2020-12-18 13:59:14**

Introduction

Background

Place-based economic development initiatives and wider economic policy developments

Your views matter

Incentives

1 Has your organisation/sector/locality benefited from any of the following incentives? If so, please detail the type and context of the relief (e.g. business located within an Enterprise Area or authorised by HMRC for customs relief) and evidence of the impact this lever has had on your organisation/sector/locality:

Please enter your answer below.:

No.

As a Regional Transport Partnership, SEStran is a statutory body. The SEStran region (covering the council areas of City of Edinburgh, Clackmannanshire, East Lothian, Fife, Midlothian, Scottish Borders and West Lothian) is home to a wide variety of businesses and business sectors and includes a number of enterprise investment areas and assisted areas.

SEStran's interest in place based economic initiatives, (and incentives) is in ensuring that their development is clearly aligned to the strategic plans for land use, and to the Regional Transport Strategy, and aims for a more sustainable transport network (including freight movement).

This response is an officer based response to the consultation questions.

The Regional Transport Strategy has four main aims. A new RTS is currently being developed. A Main Issues Report study produced in advance of this work illustrates the strong link between the siting of economic development / employment opportunities and implications for access and transport.

1.a Which of the incentives mentioned in question 1 do you think is the most effective and best value in creating employment, fair work, and advancing innovation and productivity? Please provide evidence of the impact these incentives could have on you.

Please provide evidence below (if applicable).:

This would depend on the nature, scale and sector of industry or business.

Incentives in wider geographical area

2 Has your business/sector/locality benefited from any of the following incentives based in wider geographical areas? If so, please detail the type and context of the relief, and evidence of the impact this lever has had on your organisation/sector/locality:

Please enter your response below.:

Across the SEStran region, Councils and industry have benefitted from a range of transport infrastructure investment from Transport Scotland, across rail, light rail, roads and bridges, public transport and active travel infrastructure and waterways development, focussed mainly on improving mobility for people – this all supports economic activity and increases access to employment opportunities across a range of skills levels. Funding and infrastructure investment that supports industrial cluster developments around the Forth is particularly important in expanding and increasing employment centres within the region; the aim of these is to support sustainable growth.

2.a Which of the incentives mentioned in question 2 do you think is the most effective and best value in creating employment, fair work and advancing innovation and productivity? Please provide evidence of the impact these incentives could have on you.

Please provide evidence below (if applicable).:

SEStran can't provide evidence for the effectiveness of all these different incentivisation schemes.

However, SEStran's recently produced Main Issues Report highlights that across the region there is a disparity in transport access to centres of employment and provides compelling evidence for the link between areas of poverty, low levels of economic activity / employment opportunity, and transport poverty. There is a need to increase transport accessibility across the region, and funding support for infrastructure and regeneration is the most effective way to help create access to employment

Spatially designated areas, or place based economic development, can identify appropriate opportunities to spreading out centres of employment – in the interest of inclusive and sustainable economic growth.

Additional tools

3 The Scottish Government is considering whether to extend, expand or enhance any existing economic development zones (such as the network of Enterprise Areas, Regional Growth Deals, etc) or potentially create new such zones – including around the Freeport model. Additional tools (reserved or devolved), such as the following, could potentially build on these initiatives:

Please provide evidence below.:

As a statutory regional transport body, SEStran does not undertake detailed assessment of the effectiveness of various regulatory tools in promoting economic growth.

However, it is clear that any regulatory incentives for significant scale development must not be at the expense of carrying out early involvement and consultation with the relevant statutory Regional Transport Partnership(s), and carrying out both detailed and strategic transport appraisal, to ensure that the impacts on the transport network are managed, and support net zero targets.

Transport considerations are vital and need to progressed from the outset of any place based economic developments, in order to achieve fair, accessible and sustainable economic activity. Masterplanning and strategic land use planning processes in particular need to ensure there is strategic transport input throughout the process, from early concept stage onwards.

Incentives in the wider context

4 Which incentives or categories of incentives included in questions 1 to 3, or others not listed here , would have the most significant impact on your organisation / sector / locality? Please provide details of the impact and be as specific as you can in terms of value / jobs etc.

Please enter your answer below.:

The SEStran region is very diverse –no single incentive listed would apply across the board.

However, at a more localised level, in relation to the development of new industry and jobs around Grangemouth and Falkirk, it may be that more direct engagement with regulators could help deliver faster establishment of new industry and this would involve some import, export and warehousing activities. There may be several ways of achieving the aims of transitioning to sustainable industry growth, and job creation without tax elements. No incentives or 'relaxed' regulation should be at the expense of the aims around fair access to employment, net zero carbon and other national priorities.

Again, the introduction of additional freight related and access related transport activity must be developed within the context of the regional transport strategy. Further; in April 2020, SEStran and Forth Ports commissioned Aecom to produce a Forth Freight Study. The Case for Change report should be available in late January. A number of issues and opportunities were identified within the study, which provides important context for any discussion on place based enterprise development within the SEStran region.

Issues aligned to freight identified in the region:

- Road freight contributing to poor air quality, carbon emissions, road safety issues and congestion
- Congestion disrupting the supply chain in the region
- Road freight contributing to uneven road surfaces
- Empty vehicle running
- Lack of network resilience
- Lack of adequate lorry parking facilities.

Opportunities identified included:

- Interregional goods movements (between Scottish regions)
- Consolidation of loads
- Reintroduction of rail heads and extend tracks (e.g. at sea ports for purposes of freight transfer to rail as a sustainable mode)

5 How would we best ensure that the Scottish Government's economic agenda of fair work, high productivity and innovation, and making a just transition to a net zero, wellbeing economy is supported by these economic incentives and support?

Please enter your response below.:

Recognising the interrelationship between place based economic models for growth, land planning decisions and the statutory Regional Transport Strategies is essential in order to achieve fair and sustainable economic growth that does not have a negative impact on carbon emissions in an area, or on communities sited near significant growth opportunities.

It is vital to deliver sustainable transport access and freight requirements in the planning and development of successful place-based economic development zones. (Areas like the BioQuarter Life Sciences Enterprise area show the importance of developing suitable appropriate locations and the need for sustainable transport infrastructure).

6 What investment timescales and/or other milestones important for your organisation, sector or locality should the Scottish Government be aware of when considering potential new or enhanced, spatially-designated enterprise models in Scotland?

Please enter your response below.:

The Scottish Government will already be well aware of the 20 year horizon (to 2040) for the National Transport Strategy (NTS2), and for the Second Strategic Transport Projects Review (STPR2) investments, as for the Fourth National Planning Framework (NPF4).

Place based development models should also take account of the applicable Regional Transport Strategy. SEStran's new Regional Transport Strategy is in the very early stages of development but is more likely to deliver a ten year strategy within the context of a longer (20 year) vision.

The immediate challenges of Covid-19 recovery may be short to medium term, Joint work across statutory bodies at all levels, to encourage more use of sustainable and public transport, will have an impact on the levels of access around spatial growth areas.

7 What are the main lessons to be learned from Enterprise Areas and other spatially-designated enterprise models, including freeports, that might apply to the future operation of similar initiatives in Scotland? How do you think the 'offer' could be improved in Scotland? What new features would you suggest, and why?

Please enter your response below.:

The need for careful integration between these zones and their immediate surrounding areas is key. Similarly, the transport 'enablers' (freight consolidation / transfer centres, resilience infrastructure, sustainable, available, affordable and sustainable access for employees) must be planned and developed in a way that supports the integration of these zones into the wider region to ensure people can benefit from new opportunities.

Single industry development areas tend to create opportunities for a narrower range of skills levels and profiles. Multi – industry development zones may achieve integration with surrounding areas by offering a wider range of employment opportunity.

Freeports

8 The UK Government's model of freeports involves a number of the above incentives. What impact could a model like this in Scotland have on sustainable, inclusive economic growth - in particular, on job creation, fair work and our transition towards a net zero economy?

Please enter your response below.:

It is understood that the nature of freeports and their impacts are complex, and they can be of benefit for some forms of enterprise, but not all. Impacts may include:-

- unequal distribution of opportunities for businesses and employers (geographically, sector-wise or by type of business); e.g. creating a two tier system where those that can't benefit from the freeport incentivisation grow at a slower rate / pay higher tax / are less resilient.
- increases in freight related movement or additional challenges in transport access to the freeport area including congestion can have a range of wider impacts on communities or transport networks.
- secondary impacts from congestion on the reliability and resilience around goods movement which could affect productivity and job retention for business of all sizes.

It is fully expected that any introduction of these policies or zones will involve a full and detailed strategic transport appraisal (and equalities impact and strategic environmental assessments). It is important to identify, and minimise any negative economic, environmental or impacts that may come from introducing a freeport, and to harness all potential opportunities to shift to more sustainable movement of goods and good access / mobility for people, employees, etc.

9 What would be the impact on your organisation/sector/region if a competitor location were designated as a freeport / if a competitor business established a premises within a freeport (e.g. with tax reliefs and other incentives) within 100 miles of your operation? Or elsewhere in the UK/Scotland?

Please enter the response below.:

There would likely be a change to inter regional transport movements and that would need to be assessed and understood.

There may be a net loss of job openings around the freeport location if industry or enterprise were to follow the opportunities of a free port.

Additional measures would possibly be required, to sustain growth around other existing ports and remove any potential dis-benefits reduce displacement, (e.g. additional benefits in existing enterprise zones or other ports) as well as enhancement that could also help to deliver more efficient and sustainable (carbon reducing) freight movements.

10 Has your organisation/sector/region been or interacted with freeports that existed in the UK until 2012? What lessons could be learned to apply to potential new freeports in Scotland?

Please enter your response below.:

No

About you

What is your name?

Name:

Anna Herriman

What is your email address?

Email:

anna.herriman@sestran.gov.uk

Are you responding as an individual or an organisation?

Organisation

What is your organisation?

Organisation:

SEStran - South East of Scotland Transport Partnership

The Scottish Government would like your permission to publish your survey response. Please indicate your publishing preference:

Publish response with name

We will share your response internally with other Scottish Government policy teams who may be addressing the issues you discuss. They may wish to contact you again in the future, but we require your permission to do so. Are you content for Scottish Government to contact you again in relation to this survey?

Yes

I confirm that I have read the privacy policy and consent to the data I provide being used as set out in the policy.

I consent

Evaluation

Please help us improve our survey by answering the questions below. (Responses to the evaluation will not be published.)

Matrix 1 - How satisfied were you with this survey?:

Slightly satisfied

Please enter comments here.:

Matrix 1 - How would you rate your satisfaction with using this platform (Citizen Space) to respond to this consultation?:

Very satisfied

Please enter comments here.:



**Remote Chief Officer Liaison Group Meeting
 2:00pm Wednesday 17th February 2021
 Microsoft Teams**

Present:

Jim Grieve (JS) (Chair)

Iain Shaw (IS)
 Peter Forsyth (PF)
 Kevin Collins (KC)
 Ken Gourlay (KG)
 Lindsay Haddow (LH)
 Graeme Malcolm (GM)
 Lesley Deans (LD)
 Andrew Ferguson (AF)
 Jim Stewart (JS)
 Hannah Markley (HM)
 Julie Vinders (JV)
 Anna Herriman (AH)
 Keith Fiskin (KF)

SEStran

City of Edinburgh Council
 East Lothian Council
 Falkirk Council
 Fife Council
 Midlothian Council
 West Lothian Council
 Clackmannanshire Council
 SEStran
 SEStran
 SEStran
 SEStran
 SEStran
 SEStran

Apologies:

Ewan Kennedy
 Nicola Gill

City of Edinburgh Council
 West Lothian 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 and Matters Arising	
2.1	<i>Wednesday 21st October 2020</i> Agreed as a correct record.	
3.	Financial Reports	
a)	<i>Revenue Budget 2021-22 to 2022-23</i>	

b)	<p>IS confirmed Scottish Government have confirmed the grant will be the same for the next financial year. IS shared the appendix of the projects report that went to the board in November 2020. The budget lines will be presented to the March Partnership Board for approval.</p> <p>Some EU projects will be running to conclusion in the next calendar year, although certain EU projects may be extended due to Covid. JG also noted SEStran have secured another £150k from Scottish Enterprise for Thistle Assistance.</p> <p><i>Finance Officer's Report</i></p> <p>IS noted there was an underspend on projects due to the pandemic. There was an underspend of just under £100k. The proposal would be to carry it forward into the next financial year.</p>	
4.	Tripshare/Liftshare	
4.1	<p>JS mentioned Liftshare is currently not an option due to the Government guidelines advising against car sharing. If any partner authorities are thinking ahead about promoting Liftshare post Covid, this would be for further discussion.</p> <p>JS noted the other RTPs are also in the same position and are not currently pushing or promoting Liftshare, however there is a possibility of doing a joint procurement approach. Meantime SEStran will need to determine what to do about the existing contract which is up for renewal in autumn.</p>	
5.	DRT/ MaaS Investment Fund Update	
5.1	<p>AF highlighted the MaaS investment fund deadline is Friday 26th February (1-year funding). The first demonstrator project will be in East Lothian and tech partners and bus operators will be tied into a collaboration agreement. SEStran have a meeting with Fife Council to discuss their north east Fife flexibus service and there are also other opportunities coming up in other council areas.</p> <p>One of the other outcomes of the project is how best to deal with procurement issues, which will be funded from the PriMaaS project.</p> <p>JV mentioned the core element of the Musselburgh hub is to develop the MaaS platform and trial DRT. JV has had some discussions with TS about the potential of including a flexible pot for additional DRT-related activities.</p>	
6.	RTS Update	
6.1	<p>JS noted STANTEC have been appointed to develop the RTS going forward. JS has written to the Chief Executives and Council Leaders detailing the process of the new RTS for the South East of Scotland Region. Elected members have also been informed. STANTEC have</p>	

	<p>completed their inception and engagement strategy report. LAs will be involved in a multi-disciplinary meeting.</p> <p>JS asked each LA can forward a lead contact (excluding West Lothian) so that STANTEC can organise a meeting with each LA. JS also asked Chief Officers if they could forward any contacts from Community Planning leads. GM suggested creating doodle polls for arranging meetings.</p> <p>KG asked JS to send an email to Chief Officers with more information about what he has asked for.</p>	<p>Chief Officers</p> <p>JS</p>
7.	RTPI Update	
	<p>KF highlighted the new system is being developed in partnership with City of Edinburgh Council. Work has progressed and the feed is coming together nicely. The system will be handed over in the beginning of April if successful. Then the RTPI feed will be live, feeding into travel line and beyond.</p> <p>KF proposed to reconvene some training on Novus FX.</p> <p>The new PCs will be ready to be distributed in April once the feed is working so the old PCs will be replaced by windows 10 PCs. West Lothian, Fife Council and Clackmannanshire will be given additional screens with new hardware.</p>	
8.	EU Projects	
	<p>AH gave an update on the SEStran EU projects. There are currently 5 active EU projects. The EU withdrawal agreement will allow SEStran to extend project timescales and delivery which have been delayed as a result of Covid.</p>	
9.	Bus Partnership Fund	
	<p>JG noted the Regional Transport Transition group will be submitting a bid through a corridor based approach. Forth Valley have formed an alliance to submit a separate bid as have Fife. SEStran are involved in each partnership</p>	
10.	Freight Study Update and Presentation	
	<p>KF presented the Forth Freight Study. HM will circulate slides to Chief Officers along with minutes.</p>	HM
11.	Consultation Responses	
	<p>a) Road Safety b) Union Connectivity c) M8 and M9 Trunk Roads (Newbridge to Hermiston Gait) (Actively Managed Hard Shoulder and Speed Limit)</p> <p>SEStran are also doing a report on the STPR2 Case for Change.</p>	

12.	AOCB	
	<p>LH raised the issue regarding the Cycle and Walking Safer Streets funding. Due to Covid, LAs haven't managed to spend the money. Scottish Government have noted if LAs do not spend the funding, it cannot be transferred to next year and will be taken back. LH called for collaborative work to deal with this issue.</p> <p>GM noted that West Lothian have looked at their projects carried out last year and changed them around to maximise the grant offers.</p> <p>JG noted that SEStran are happy to take this on and asked LH to send an email with a draft response with some reasons and context about the fund.</p> <p>GM noted the Scottish Government's Regional Recovery and Acceleration Fund. The fund (£420k) has to be spent by 31st March 2021. Scottish Government plan to send letters to each LAs to look for bids.</p>	JG/LH
13.	Date of Next Meeting	
	The date of the next meeting is scheduled for 2:00pm on Wednesday 26th May 2021.	