

## **Internal Audit Assurance**

### **1. INTRODUCTION**

- 1.1 The City of Edinburgh Council Internal Audit (IA) team performs one annual review to provide assurance over the controls established to mitigate certain key SEStran partnership risks.
- 1.2 The purpose of this paper is to provide an update on the outcomes of the 2020/21 SEStran IA review, and to request the Committee's insights on areas for potential inclusion in the scope of the planned 2021/22 audit.

### **2. BACKGROUND, SCOPE AND OUTCOMES OF 2020/21 IA REVIEW**

#### **Audit Background**

- 2.1 Covid-19 has resulted in exposure to new risks for all organisations. These include adapting to remote working using new digital technology solutions; ensuring continuity of projects and service delivery; long term financial sustainability; and employee wellbeing.
- 2.2 Consequently, it is important that SEStran responded to new and emerging pandemic risks and the Scottish Government's Covid-19 Strategic Framework (including lockdown) by implementing operational resilience arrangements; developing and implementing appropriate employee health, safety, and well-being measures; reassessing their business and operational delivery plans; and assessing their ongoing financial sustainability.

#### **Audit Scope**

- 2.3 The scope of the 2020/21 IA review assessed the design adequacy and effectiveness of SEStran's COVID-19 resilience arrangements, and the impacts of COVID-19 on the content of, and delivery timeframes for, finalisation of the new Regional Transport Strategy (RTS).

#### **Audit Outcomes**

- 2.4 Whilst some moderate control weaknesses were identified in the design and effectiveness of the control environment and governance, and risk management frameworks applied by SEStran to support their Covid-19 resilience response, both the arrangements established and the scale of the organisation (circa ten employees) provide reasonable assurance that SEStran has appropriately considered and responded to their COVID-19 risks and resilience challenges.
- 2.5 We also confirmed that SEStran's new working arrangements do not pose a significant risk to the new RTS completion timeframes.
- 2.6 Consequently, two medium rated findings were raised and are included at section 3 of the report.

2.7 A number of areas of good practice were also identified and are included in the opinion section of the report (section 2).

2.8 The full report is included at Appendix 1.

### 3. 2021/22 INTERNAL AUDIT REVIEW

3.1 The Internal Audit 2021/22 annual plan was approved by the Council's Governance, Risk, and Best Value Committee on 23 March 2021.

3.2 The annual plan includes one Internal Audit review for SEStran, which is consistent with the level of assurance provided in prior years.

3.3 Initial discussions with SEStran management have highlighted the potential for IA to provide further assurance in relation to the risks associated with the next stages of RTS completion, or the risks associated with the Thistle Assistance Journey Planner project.

### 4. RECOMMENDATIONS

The Committee is requested to:

- note the outcomes of the 2020/21 IA review, and the associated costs;
- confirm whether 2021/22 IA assurance should focus on the risks associated with completion of the next stages of the Regional Transport Strategy, or the Thistle Assistance Journey Planner project; and
- provide insights in relation to any other key SEStran risks and areas of concern that should be considered for inclusion in the 2021/22 IA review.

### Appendix 1: Internal Audit 2020/21 Report

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Policy Implications	None
Financial Implications	SEStran is charged an annual fee for provision of the annual IA assurance review. The fee for 2019/20 was £5,000. The fee for 2020/21 remains aligned with the 2019/20 fee at £5,000.
Equalities Implications	None
Climate Change Implications	None

# *The City of Edinburgh Council*

## Internal Audit

### **South East of Scotland Transport Partnership (SEStran) COVID-19 Resilience Arrangements**

Final Annual Internal Audit Report

26 May 2021

OO2001

**Overall report rating:**

**Some  
improvement  
required**

Whilst some control weaknesses were identified, in the design and/or effectiveness of the control environment and/or governance and risk management frameworks, they provide reasonable assurance that risks are being managed, and that SEStran's objectives should be achieved.

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This internal audit review is conducted for the South East Scotland Transport (SEStran) Partnership and is designed to help SEStran assess and refine its internal control environment. It is not designed or intended to be suitable for any other purpose and should not be relied upon for any other purpose. The City of Edinburgh Council accepts no responsibility for any such reliance and disclaims all liability in relation thereto.

The internal audit work and reporting has been performed in line with the requirements of the Public Sector Internal Audit Standards (PSIAS) and as a result is not designed or intended to comply with any other auditing standards.

Although there are a number of specific recommendations included in this report to strengthen internal control, it is management's responsibility to design, implement and maintain an effective control framework, and for the prevention and detection of irregularities and fraud. This is an essential part of the efficient management of SEStran. Communication of the issues and weaknesses arising from this audit does not absolve management of this responsibility. High and Critical risk findings will be raised with senior management and the SEStran Partnership Board as appropriate.

# 1. Background and Scope

## Background

In accordance with [Transport \(Scotland\) Act 2005](#), The South East of Scotland Transport partnership (SEStran) is the established statutory regional transport partnership for the South East of Scotland. SEStran is a body corporate that includes eight local authorities across south east Scotland (City of Edinburgh, Clackmannanshire, East Lothian, Falkirk, Fife, Midlothian, Scottish Borders, and West Lothian Councils) within its remit.

SEStran's vision is for a regional transport system that provides all citizens of south east Scotland with a genuine choice of transport that fulfils their needs and provides travel opportunities for work and leisure on a sustainable basis.

SEStran is a small organisation, operating with a revenue budget of circa £900K (mainly sourced from government grants and local authority contributions) that is used to cover operational costs and deliver regional transport projects that are aligned with both the SEStran vision and the Regional Transport Strategy (RTS). These projects are delivered by a team of ten employees.

## Risk Management

In 2008 SEStran obtained a risk management software package named Magique to allow for an efficient risk management process, ensuring full participation of all stakeholders in the process. An internal review of the Risk Management Framework was carried out in 2017 where it was identified that the risk register's 'hybrid' format, derived from the old software package, was no longer fit for purpose. It was agreed that the system was overly complex following a change in capital budget allocation in the region. A new risk register format was adopted by the Performance & Audit Committee, following Local Government elections and a newly constituted Committee in November 2017.

## COVID-19

The COVID-19 global pandemic has resulted in organisations implementing operational resilience arrangements; developing and implementing appropriate measures to ensure the health, safety, and well-being of employees; reassessing their business and operational delivery plans; and reassessing their ongoing financial sustainability.

National public transport network revenues have been adversely affected by the Scottish Government initial 'lockdown' response, and implementation of the current strategic framework that allocates local authority areas into tiers based on a number of key measures. It is expected that public transport networks will continue to be affected by ongoing general public confidence in relation to virus transmission and safety, until the vaccination programme has been completed, although some government funding has been provided to support their ongoing operation during the pandemic.

## Governance arrangements

SEStran management has advised that they continued to meet monthly during the resilience situation, with twice weekly team meetings, fortnightly meetings with the Chair and regular meetings with the Chair of P&A. They also confirmed that:

- no management meeting minutes were recorded, although an action log was maintained; and
- team meeting minutes were recorded with no action log maintained.

## **The Regional Transport Strategy (RTS)**

SEStran is responsible for producing a Regional Transport Strategy (RTS) for the South East of Scotland that is aligned with a range of applicable legislative and regulatory requirements. The current [RTS](#) covers the period 2015 to 2025, was approved by Scottish Ministers in July 2015, and includes the following four key objectives:

1. to ensure transport facilities accelerate economic growth and regional prosperity;
2. to improve accessibility for those with limited transport choices;
3. to ensure developments are achieved in environmentally sustainable manner; and
4. to promote a healthier and more active SEStran area population.

## **The New Regional Transport Strategy**

SEStran commenced a refresh of the RTS in 2019/20 in recognition of the pace of legislative change, the ongoing review and development of national and local policies (as highlighted above), and rapid economic growth. A project was established (the RTS rewrite project) to support this process.

The 2019/20 audit (completed in February 2020) assessed the adequacy of governance arrangements and stakeholder engagement plans supporting development of the new RTS and considered whether the project was being delivered in line with applicable guidance and legislative requirements.

Following a successful tender process, a consultant has been identified to support the next stage of the drafting of the RTS, and that engagement currently being agreed will involve consideration of relevant COVID-19 RTS impacts.

## **Scope**

The scope of this audit assessed the design adequacy and effectiveness of SEStran's COVID-19 resilience arrangements and considered how the impacts of COVID-19 have been considered and reflected in both the content of, and delivery timeframes for, finalisation of the new RTS.

Follow-up was also performed to confirm that the agreed management actions supporting the medium rated finding on RTS project governance and management raised in the 2019/20 Audit have been effectively implemented and sustained.

Our areas of audit focus as detailed in our terms of reference are included at Appendix 2.

Testing was performed across the period March 2020 to December 2020.

## **Limitations of Scope**

The scope of this review was limited to the assessment of the design of the overall project management and governance arrangements for the RTS rewrite project. The review did not provide assurance on the proposed scope, content, and quality of the new RTS.

## **Reporting Date**

Our audit work concluded on 15 February 2021, and our findings and opinion are based on the conclusion of our work as at that date.

## 2. Executive Summary

Total number of findings: 2

Summary of findings raised	
Medium	1. Identification of COVID-19 Risks
Medium	2. Resilience Arrangements (including employee health, safety, and wellbeing)

### Opinion

#### Some improvement required

Our review identified some moderate control weaknesses in the design and effectiveness of the control environment, governance, and risk management frameworks applied to support SEStran's resilience response to the COVID-19 pandemic. These are reflected in the two medium rated findings raised at section 3 below.

It is important to note that the control weaknesses identified mainly relate to the need for an established risk management framework, and refreshed policies and governance documentation, and should be considered in the context of the size and scale of the SEStran organisation (circa ten employees), and the areas of good practice also noted below.

Consequently, reasonable assurance is provided that SEStran has considered and responded to COVID-19 risks and resilience challenges, and that these are being effectively managed. We have also confirmed that SEStran's new working arrangements do not pose a significant risk to timeframes for finalisation of the new Regional Transport Strategy.

The first medium rated finding raised highlights the need to implement a risk management framework to support established risk management processes, that clearly defines how risks should be identified; assessed and recorded; and the need to consider any specific COVID-19 risks that could have a potential impact on SEStran's strategic and operational objectives. Implementation of a risk appetite statement is also recommended that clearly defines the nature and amount of risk that SEStran is prepared to accept. This will add benefit by helping with the identification and consideration of the risks associated with strategic and operational decisions, and deciding which operational risks should be accepted, tolerated, or treated.

Our second finding highlights the need to review and refresh several organisational resilience; health and safety; and employee wellbeing policies to reflect the impact of COVID-19, and the need to ensure that both management and team meeting minutes and actions are recorded and tracked in a resilience environment.

Further detail is provided in Section 3.

#### Implementation of findings raised in prior year Internal Audits

Our review also confirmed that the one medium rated finding raised in the 2019/20 audit of the RTS rewrite project has been addressed.

#### Areas of good practice

- SEStran's infrastructure and working arrangements were well established prior to the COVID-19 lockdown to support working from home, enabling an immediate and effective response to the Scottish Government's 'Stay at Home' guidance.

- Following the initial cancellation of the 6<sup>th</sup> March Partnership Board meeting in response to 'Stay at Home' guidance, meetings were quickly reinstated remotely, ensuring that governance resumed in a timely manner.
- Emergency decisions made when the Partnership Board meeting was cancelled were taken in line with emergency powers and delegated authorities per SEStran's Governance Scheme documentation, and retrospectively reported to the Board.
- Management has assessed the potential risks faced by SEStran in relation to the future return to the office environment, and a comprehensive list of actions required have been documented that will be implemented to allow this transition to occur safely.

**Management Comment:**

It is also important to note that throughout the pandemic, the team maintained high levels of employee and partner engagement. This helped build a comprehensive picture of employee needs and wider issues and allowed the team to quickly implement appropriate changes or adjustments. Regular liaison with the Partnership Chair and key board members also ensured ongoing awareness of the team's working arrangements and activities.



# 3. Detailed findings

## 1. Identification of COVID-19 Risks

Medium

The SEStran Business Continuity Plan requires management to conduct adequate risk assessments for its projects and infrastructure operations to support effective business continuity planning.

Whilst SEStran maintains an organisational risk register that is presented to the Board on a six-monthly basis, there is no established and approved risk management policy or framework that clearly defines SEStran's approach to identifying; assessing; recording; and managing risk.

Review of the risk registers further highlighted that:

1. **Risk identification** – in response to COVID-19, a generic pandemic risk was initially added to the risk register that was presented to the Partnership Board in June and November 2020. However, there was no subsequent identification or recording of any other more specific COVID-19 risks that could potentially impact SEStran's ability to deliver its five core strategic themes, such as:

- employee health and wellbeing risks;
- changing national guidance and COVID-19 legislation including updates to the Scottish Government's five level strategic framework; and
- COVID-19 risks that could impact the timely delivery of its strategic projects.

2. **Risk assessment** – the generic pandemic risk was assessed as medium, with a score of 10 based on a potentially catastrophic impact (5), and unlikely probability (2).

Neither the generic pandemic risk or other risks included in the SEStran risk register have been reassessed to reflect changing national and economic COVID-19 impacts, and the ongoing impact of COVID-19 on SEStran's existing operations and associated risk profile.

3. **Risk appetite** – SEStran currently has no clearly defined risk appetite statement that details the amount of a particular type of risk that management is prepared to accept.

Consequently, it is not possible to determine whether the decision to tolerate 22 of the 23 SEStran risks (including the Pandemic risk) noted in risk register dated January 2021 is appropriate for the organisation.

4. **Mitigating actions** – while the risk register includes a broad range of mitigating actions, it doesn't include specific actions; action owners; and implementation timeframes to address the risks identified. Additionally, no action log is maintained to monitor implementation progress.

## Risks

The potential risks associated with our findings are:

- New and emerging COVID-19 may not be completely identified, assessed, recorded, and mitigated;
- The full impact of COVID-19 risks on SEStran's strategy and operations may not be not fully understood; and
- Agreed actions to address /or mitigate the risk may not be fully and effectively implemented.

### 1.1 Recommendation: Risk Management Framework and Appetite

1. A risk management framework should be developed and implemented that details how risks will be identified; recorded; assessed; and managed to support SEStran's strategic and operational objectives.

2. The framework should include a risk appetite statement that clearly defines the amount of each type of risk that management is prepared to accept.
3. Once established, the risk appetite statement should be used to set target levels for each risk identified, and support decisions on whether to accept the risk (do nothing); tolerate it until a future solution is identified; or treat the risk now.  
The risk appetite statement should also be used to consider the risks associated with significant strategic and operational decisions.
4. The risk management framework should also include a process to monitor implementation of agreed actions to address and/or mitigate risks.

### 1.1 Agreed Management Action: Risk Management Framework and Appetite

1. A Risk Assessment Framework will be developed as an introduction to SEStran's approach to dealing with risk, covering identification, recording; assessment; and management of risks.
- 2&3. The Framework will also include, as far as possible, a statement on our approach to risk tolerance appetite.
4. The Framework will also set out a process as to how agreed mitigation measures are monitored.

**Owner:** Jim Grieve, Partnership Director, SEStran

**Implementation Date:**  
November 2021

### 1.2 Recommendation: COVID-19 risk identification; assessment; recording; and monitoring

1. Management should consider if there are any further COVID-19 specific risks that have not yet been identified and recorded that could potentially impact on deliver of SEStran's strategic and operational objectives.
2. Any new and emerging COVID-19 risks identified should be recorded in the SEStran risk register.
3. Risks currently included in the risk register should be reviewed and their ratings reassessed where required, considering the current economic and working environment. Where these risks are not accepted or tolerated, appropriate actions; owners and implementation dates should be recorded.

### 1.2 Agreed Management Action: COVID-19 risk identification; assessment; recording; and monitoring

SEStran currently has a full suite of policies related, inter alia, to staff welfare and health and safety. What needs to be considered now is the extent to which policies need to be updated to take account of the circumstances experienced during the Covid-19 pandemic. In response to the above, therefore:

1. Management will consider if there are any further pandemic related risks that should be addressed, applying experience and lessons learned over the past year;
2. The Risk Register will be updated accordingly;
3. Risks in the register will be reviewed and ratings reassessed where required. This will follow the established 6 monthly review routine, which as always will be in the context of the current economic and working environment. Where appropriate, we will include implementation dates and identify risk owners; and
4. Any proposed changes to the risk register template will be presented to the November Performance and Audit Committee for approval, with a refreshed register implemented thereafter.

**Owner:** Jim Grieve, Partnership Director, SEStran

**Implementation Date:**  
November 2021

### 2.1 Business Continuity Plan

SEStran's Business Continuity Plan (BCP) sets out a range of action plans to be followed in resilience situations. The BCP was due to be refreshed in May 2020 however this has not yet been completed.

Management has advised that their response to the COVID-19 'lockdown' situation was in line with their established BCP procedures, however no evidence is available to confirm that they were consistently and effectively applied.

### 2.2 Employee Wellbeing and Health and Safety Guidance

Currently, SEStran has no specific employee guidance in relation to long term working from home arrangements and associated mental and physical health and staying active. It is acknowledged that SEStran sought and shared guidance developed by its HR provider Falkirk Council with its employees, however the 'signposts' included within the documents, detailing where further support, information, or guidance is available was specific to Falkirk Council. Management has confirmed that SEStran employees have ongoing access to Occupational Health support.

### 2.3 Health and Safety/Wellbeing Policies and Risk Assessments

SEStran's health and safety policies require completion of several risk assessments to identify and manage employee health, safety, and wellbeing risks. However, no formal risk assessments related to the COVID-19 home working arrangements have been developed and used to assess employee wellbeing, including assessing whether employees have the necessary equipment to support safe home working arrangements.

Management has advised that their close working relationship with the small team allows them to maintain regular contact with staff on an individual basis and to informally assess employee health and wellbeing, and that they are aware of staff needs and requirements.

SEStran's health, safety, and wellbeing policies should be reviewed annually, however there was no evidence of review since their last update in September 2019.

Review of these policies highlighted that some sections are no longer relevant in the new COVID-19 operating environment and should be updated. These include:

- **Sickness Absence Policy** – the policy includes no guidance on absence relating to shielding; isolation; testing; vaccination; travel; bereavement; or grief resulting from the COVID-19 pandemic.
- **Home Working Policy** – the policy requires employees to take the actions noted below, and these are no longer appropriate or relevant in the current COVID-19 operating environment:
  - seek manager approval for working from home;
  - ensure that their home contents insurance covers SEStran equipment; and
  - not conduct meetings (virtual) with non-SEStran employees while working from home.
- **Flexible Working Policy** – the policy requires employees to complete an application for flexible working including work from home, which is no longer applicable given the ongoing Scottish Government's guidance to work from home, where possible.

### 2.4 Team and Management Meetings - Record keeping

We noted issues with completeness of management and team meeting records, and the process applied to monitor implementation of actions during 2020.

Management has advised that this was attributable to employee absence and has confirmed that this has now been addressed for meetings held from January 2021 onwards.

## Risk

The potential risks associated with our findings are:

- Insufficient guidance available to SEStran employees in relation to specific arrangements and assessments to confirm their ongoing health, safety, and wellbeing during the pandemic.
- Out of date SEStran policies and guidance could potentially result in employee confusion;
- Unique health and safety risks associated with Covid-19 leading to potential long-term staff absence;
- Non-compliance with specific Covid-19 health and safety regulatory requirements and guidance; and
- Decisions taken and actions agreed in meetings are not recorded, monitored, and implemented.

### 2.1 Recommendation: Business Continuity plan

A review of SEStran's Business Continuity Plan should be performed together with a COVID-19 'lessons learned' exercise to ensure the experience and knowledge gained from the ongoing emergency resilience situation are captured and incorporated in the Business Continuity Plan for use in response to future situations.

### 2.1 Agreed Management Action: Business continuity plan

The recommended review will be carried out.

**Owner:** Jim Grieve, Partnership Director, SEStran

**Implementation Date:**  
September 2021

### 2.2 Recommendation: Employee health, safety, and wellbeing

1. **Policy/guidance:** Management should review SEStran's policy documents to ensure that they remain relevant in the current homeworking environment, and should include specific guidance on shielding, isolation, testing, vaccination, travel, bereavement, and grief.
2. Ongoing policy reviews should also be performed to consider and reflect any future changes to COVID-19 legislation or guidance, and should also be informed by recently performed workplace risk assessment for the future return of employees to the office.
3. **Risk assessments:** Management should ensure that health, safety, and wellbeing risk assessments designed and applied to confirm the ongoing health and wellbeing of employees whilst working from home. This should include (but should not be limited to) ensuring that all employees have appropriate equipment to support effective working from home.

### 2.2 Agreed Management Action: Employee health, safety, and wellbeing

1&2. SEStran will follow the guidance issued by the Scottish/UK Government and Public Health Scotland and its policy and guidance will be reviewed and updated as required. Additional guidance will be added where considered necessary. It is not our intention to make specific reference to Covid-19 although lessons learned from that experience will be considered. Specific guidance on shielding, isolation, testing, vaccination, travel, bereavement and grief will only be added where it is felt that existing guidance does not cover the resulting staff absence effects on SEStran's operations and strategies.

3. SEStran staff have been provided with additional guidance in respect of working from home, during the course of the pandemic and have been provided with additional furniture and equipment when

requested and as it became evident that the lockdown had extended into a relatively long-term event.

That said, it is acknowledged that our working from home guidance does need to be updated to reflect the long term and unavoidable nature of what's been experienced through the Covid-19 lockdown. We will liaise with our HR advisors (Falkirk Council) in reviewing our Health & Safety policy and update where required.

**Owner:** Jim Grieve, Partnership Director, SEStran

**Implementation Date:**  
September 2021

### **2.3 Recommendation: Management and Team Meetings – Minutes/Action Logs**

Management should ensure that minutes are recorded for both management and staff team meetings, and that all decisions taken, and actions agreed are recorded and monitored. These minutes and actions logs should also be made available to all SEStran employees.

### **2.3 Agreed Management Action: Management and Team Meetings – Minutes/Action Logs**

Action logs will be agreed and recorded for each formal management and staff meeting and these will be made available to all staff.

**Owner:** Jim Grieve, Partnership Director, SEStran

**Implementation Date:**  
June 2021

# Appendix 1: Basis of our classifications

Finding rating	Assessment rationale
<b>Critical</b>	<p>A finding that could have a:</p> <ul style="list-style-type: none"> <li>• <b>Critical</b> impact on operational performance that would prevent SEStran from being able to operate in the long term*;</li> <li>• <b>Critical</b> material monetary or financial statement impact in excess of external audit's financial statements materiality threshold that would impact SEStran's ability to continue as a going concern;</li> <li>• <b>Critical</b> breach in laws and regulations that could result in material fines or long term consequences; or</li> <li>• <b>Critical</b> impact on the reputation of the organisation which could threaten its future (long term) viability.</li> </ul>
<b>High</b>	<p>A finding that could have a:</p> <ul style="list-style-type: none"> <li>• <b>Significant</b> impact on operational performance that would prevent SEStran from being able to operate in the medium term**;</li> <li>• <b>Significant</b> monetary or financial statement impact that is below the external audit's financial statements materiality threshold, but requires an adjustment to the financial statements;</li> <li>• <b>Significant</b> breach in laws and regulations that could result in material fines or medium term consequences; or</li> <li>• <b>Significant</b> impact on the reputation of the organisation which could threaten its future (medium term) viability.</li> </ul>
<b>Medium</b>	<p>A finding that could have a:</p> <ul style="list-style-type: none"> <li>• <b>Moderate</b> impact on operational performance that would prevent SEStran from being able to operate in the short term***;</li> <li>• <b>Moderate</b> monetary or financial statement impact that is below the external audit financial statements materiality threshold, but requires an adjustment to the financial statements;</li> <li>• <b>Moderate</b> breach in laws and regulations resulting in moderate fines and short term consequences; or</li> <li>• <b>Moderate</b> impact on the reputation of the organisation that could threaten its future (short term) viability.</li> </ul>
<b>Low</b>	<p>A finding that could have a:</p> <ul style="list-style-type: none"> <li>• <b>Minor</b> impact on operational performance that does not prevent SEStran from being able to operate;</li> <li>• <b>Minor</b> monetary or financial statement impact that is below the external audit financial statements materiality threshold, and does not require an adjustment to the financial statements;</li> <li>• <b>Minor</b> breach in laws and regulations with limited consequences; or</li> <li>• <b>Minor</b> impact on the reputation of the organisation that does not threaten its future viability.</li> </ul>
<b>Advisory</b>	<p>A finding that does not have a risk impact but has been raised to highlight areas of inefficiencies or good practice.</p>

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

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

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

# Appendix 2: Areas of audit focus

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

Audit Area	Control Objectives
Identification of COVID-19 risks	<ul style="list-style-type: none"> <li>1.1 Initial risks associated with the Scottish Government's 'lockdown' response to COVID-19 were identified; assessed and recorded.</li> <li>1.2 Appropriate actions were implemented to ensure that these risks were and continue to be effectively managed.</li> <li>1.3 Existing risk management processes were augmented to identify any new and emerging risks for SEStran associated with national COVID-19 legislation and relevant guidance published by Health Protection Scotland, Scottish Government, and other relevant organisations.</li> <li>1.4 All new risks are assessed and recorded, and appropriate actions implemented to ensure that they are effectively managed.</li> </ul>
Implementation of COVID-19 resilience arrangements	<ul style="list-style-type: none"> <li>2.1 SEStran operational resilience arrangements were initiated immediately in response to national lockdown measures.</li> <li>2.2 The established management team met regularly to support implementation of resilience arrangements.</li> <li>2.3 Any new and significant emergency resilience decisions taken were aligned with applicable delegated authorities or emergency powers.</li> <li>2.4 All resilience decisions taken and agreed actions were recorded.</li> <li>2.5 Resilience actions were appropriately allocated and monitored to confirm that they were completed.</li> <li>2.6 Appropriate assessments were performed to confirm that employees have the necessary equipment to work safely from home.</li> <li>2.7 Appropriate measures have been implemented to assess and support ongoing employee wellbeing.</li> <li>2.8 Appropriate arrangements have been implemented to support remote governance meetings.</li> <li>2.9 All resilience decisions and actions have been retrospectively reported to the Partnership Board.</li> </ul>
RTS Development	<ul style="list-style-type: none"> <li>3.1 COVID-19 impacts on the RTS have been considered, including the potential requirement for any further public consultation given COVID-19 impacts on transport networks.</li> <li>3.2 The procurement tender for the consultant to support drafting the RTS includes the requirement to assess any further COVID-19 impacts and reflect these in the draft RTS.</li> <li>3.3 RTS delivery and approval timeframes have been reviewed and amended where required.</li> <li>3.4 All planned significant changes to RTS content and delivery have been advised to the Partnership Board.</li> </ul>