

SESTRAN PARTNERSHIP BOARD MEETING

Dean of Guild Room, City Chambers, Edinburgh, EH1 1YJ
Or Microsoft Teams
10:00am Friday 17th June 2022

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

AGENDA

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Performance & Audit Committee

1:00pm on **Friday 9th September 2022** – Venue TBC

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10 June 2022

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

1. Introduction

- 1.1 The Transport (Scotland) Act 2005 placed a duty on Scottish Ministers to create Regional Transport Partnerships (RTPs) covering the whole of Scotland. This paper provides members of the Partnership Board with a summary of guidance published by the Scottish Government on the specific aspects of appointments to governance in RTP positions and membership of RTP committees. There are also references to guidance providing basic information on the role of the Board of a public body in Scotland, including specific guidance on the role of a Chairperson.

2. (a) Chairperson

- 2.1 The Scotland's Transport Future: Regional Transport Partnerships – Guidance on Membershipⁱ published in December 2005 assists all members of RTPs by amongst other matters: summarising the statutory requirements of RTPs and describing the key roles, skills and relationships required to exercise the statutory duty placed by the Transport (Scotland) Act 2005 on Scottish Ministers to create regional transport partnerships covering the whole of Scotland. The Guidance outlines that Paragraph 4(1) of Schedule 2 of The Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005 requires each RTP to elect a Chairperson from amongst its members. The Chairperson can be a councillor member or another member of the Partnership.
- 2.2 The Guidance highlights that the Chairperson will play an important role in building and leading the RTP and will be drawn from the membership (councillor or other). The appointed Chair, it is stated, will have a key role not just in guiding formal discussion and decision-making but in vital preparatory work, working closely with members and officers. The guidance goes on to suggest that the Chairperson should aim to avoid votes on matters as far as possible, find consensus by weighing up the points made in discussion by members and keeping the focus on the objectives and responsibilities of the RTP.
- 2.3 The 2005 Transport Scotland guidance also outlines that the Chairperson is also likely to be the most visible of the members i.e. the RTP's public face. This representational role will require a solid grasp of the issues and the ability to present the RTP as a serious player to a range of stakeholders, including the constituent councils. The Chairperson will also be the key point of contact for the Minister for Transport. A key part of the role will be to foster good working relationships between the Minister and the RTP Chairpersons, collectively and individually, which will help to foster open and positive collaboration between the Scottish Government and RTPs.
- 2.4 The 2005 Guidance also references "On Board: A Guide for Board Members of Public Bodies in Scotland", which it states provides a comprehensive standard induction pack covering a range of issues such as roles and responsibilities of public bodies, and accountability and governance

arrangements to supplement tailored induction and training. The “On Board” guidance was updated and re-published in March 2017. The 2017 guidance highlights that the Chair of any public body has additional responsibilities over and above those of Board members, particularly in relation to leadership and the conduct of Board business. The guidance highlights those communications between the public body Board and the Scottish Ministers should normally be through the Chair. They are responsible for ensuring that the public body’s policies and actions support the Scottish Ministers’ wider strategic policies and that its affairs are conducted with probity. Whilst not an exhaustive list, the “On Board” guidance summarises the role and key responsibilities of the Chair as follows:

- Leads representation and links with Ministers and Scottish Parliament;
- Leads the Board, ensures that the Board has the ability to carry out functions effectively and chairs Board meetings;
- Leads the Board’s approach to strategic planning;
- Leads the Board’s approach to the establishment of committees and ensures the Board considers substantive reports from any committees established;
- Ensures that the work of the Board and any committees is subject to regular self-assessment and that the Board is operating strategically and effectively;
- Ensures the Board has a balance of skills appropriate to directing the public body’s business, in accordance with recognised good practice in corporate governance;
- Ensures the Scottish Ministers are advised of the body’s needs when Board vacancies arise;
- Ensures the Board members are fully briefed on terms of appointment, duties, rights and responsibilities;
- Together with the other Board members, receives appropriate induction training, including financial management and reporting requirements and, as appropriate, on any differences that may exist between private and public sector practice;
- Ensures there is a Code of Conduct for Board members in place, approved by the Scottish Ministers;
- Assesses the performance of individual Board members on a continuous basis and undertakes a formal appraisal at least annually;
- In consultation with the Board as a whole, as appropriate, is responsible for undertaking an annual appraisal of the performance of the Chief Officer.

2.5 Standards Commission Model code and Guidance provided further advice on relations between members and employees of devolved public bodies, which includes relevant further information on the role and extent of responsibility of a Chairperson. Section 6 of the advice highlights that the Chair of the Board or any committee will often be consulted on the preparation of agendas and reports. Employees will always be fully responsible for the contents of any report submitted in their name and have the right to submit reports to members on their areas of professional competence. The advice highlights that whilst

employees will wish to listen to the views of members, they must retain final responsibility for the content of the reports. The section concludes by drawing attention to a clear distinction of role between Chair and Director:

“It is clearly important that there should be a close professional working relationship between the Chair of a committee and the director or senior manager of any service which reports to that committee. However, such relationships should never be allowed to become so close, or appear to be so close, as to bring into question an employee’s ability to deal impartially with other members, and the ability of Chairs to deal impartially with other employees”.

- 2.6 The Governance Scheme of The South-East of Scotland Transport Partnership outline a number of specific duties for the Chairperson and a number of the policies of the Partnership outline specific roles, responsibilities and powers for the Chairperson.

3. (b) Deputy Chairperson(s)

- 3.1 The office of Deputy Chairperson(s) does not have a specific remit within legislation or guidance, the main specified duty is that in the Chairperson’s absence a Deputy Chairperson, shall preside at all meetings of a Partnership. The Governance Scheme of the Partnership does outline specific duties or responsibilities for the position in line with this provision. The Partnership has previously had 3 Deputy Chairpersons but since late 2016 has progressed on the basis of 2.

4. Timescales for Chair and Deputy Chair(s) Appointments

- 4.1 The 2005 Order states that the maximum length of time a member can serve as either Chair and Deputy-Chair is two full Council terms. Transport Scotland issued updated advice on 9 June 2017 which is included as an Annex which provides further clarification on the position of maximum term of office and that as either Chair or Deputy Chair, a member’s period of service cannot extend into a third council term.

5. (c) Performance and Audit Committee

- 5.1 The remit of the Performance and Audit Committee is in summary: to scrutinise any matter relating to the Partnership having regard to the Partnership’s responsibility for best value and continuous improvement; to take certain decisions on staffing matters including appeals and disputes; to advise and maintain standards; and review the adequacy of audit matters.
- 5.2 The Committee it is proposed should 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 Chairperson of the Partnership shall not be entitled to substitute for any member of the committee. The Committee’s quorum shall be 4. At present, Doreen Steele,

Callum Hay and Simon Hindshaw are non-councillor members of the Committee.

- 5.3 The Partnership Board is asked to nominate a councillor member from each authority for the Committee and to nominate a further 1 non-councillor member of the Committee, subject to the existing non-councillor members, outlined at para 5.2 wishing to continue in their role. The Committee normally meets 2 weeks in advance of each Partnership Board meeting.

6 (d) Board Succession Planning Committee

- 6.1 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.
- 6.2 The Succession Planning Committee shall consist of the Chairperson of the Partnership, two other Board members, the Partnership Director, the Secretary and representative from SEStran's Human Resources advisers.
- 6.3 The Partnership Board is asked to agree the nomination, alongside the Chairperson, of two Board members for the Committee.

7 (e) Appointments Committee

- 7.1 In terms of the Governance Scheme, the Performance and Audit Committee is to take decisions on all staffing matters which are not otherwise delegated to the Partnership Director. This includes performance appraisal and remuneration matters related to the Partnership Director, and changes to terms and conditions. It is not intended to change this remit.
- 7.2 In March this year, the Board agreed to the creation of an Appointments Committee. The Appointments Committee is a permanent Committee in its own right and will solely be concerned with the recruitment of a Partnership Director. Its permanency will make sure that recruitment can take place quickly in the future without the need for the step of creation of a special committee or sub-committee each time.
- 7.3 The Appointments Committee's remit, therefore, will be to assess candidates for the post of Partnership Director in line with a process set out by the Performance and Audit Committee, and make a decision on appointment on completion of that process
- 7.4 The Appointments Committee will comprise the Partnership Chair, the Chair of Performance and Audit Committee, and a non-councillor member nominated by the Board.

8 Recommendations

8.1 The Board are requested to agree:

- a) The appointment of a Chairperson of the Partnership
- b) The appointment of Deputy Chairperson(s) of the Partnership
- c) The appointment of a member from each constituent council to the Performance and Audit Committee and 4 non-councillor members to the Committee
- d) The appointment of two members to the Succession Planning Committee.
- e) The appointment of a non councillor member to the Appointments Committee

Gavin King
Secretary
8th June 2022

Appendices

1. RTP Guidance on Membership (Amendment)
2. On Board Guidance March 2017

Background Papers

2005 RTPs Guidance on Membership

<https://www.webarchive.org.uk/wayback/archive/20150219083438/http://www.gov.scot/Publications/2005/12/21113337/33380>

The Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005

<http://www.legislation.gov.uk/sdsi/2005/0110697588/contents>

2017 On Board - A Guide for Board Members in Public Bodies

<http://www.gov.scot/Publications/2017/03/9182>

Standards Commission Advice Note

¹<http://www.standardscommissionscotland.org.uk/uploads/files/1452184352151218AdviceonRelationsbetweenMembersandEmployeesofDPBs.pdf>

Policy Implications	The Chairperson, Deputy Chairperson(s) and Committee members will have key and lead roles to play in leading strategic planning, in accordance with recognised good practice in corporate governance.
Financial Implications	The appointment of a Chairperson, Deputy Chairperson(s) and Committee members will have positive impact on SEStran's internal audit and governance scrutiny processes and on statutory duties.
Equalities Implications	The Chairperson, Deputy Chairperson(s) and Committee members will have key and lead roles to play in leading strategic planning on this issue and also ensuring that the Board has the balance of skills appropriate to direct business, in accordance with recognised good practice in corporate governance and SEStran's statutory duties.
Climate Change Implications	The Chairperson, Deputy Chairperson(s) and Committee members will have key and lead roles to play in leading the Board's approach to strategic planning on this issue.

Bus and Local Transport Policy
Transport Policy

Victoria Quay, Edinburgh EH6 6QQ
 T: 0131-244 7057, F: 0131- 244
 Joanne.gray@transport.gov.scot



RTP Lead Officers/relevant officer
 (by email)

Your ref:

Our ref:

Date:
 9 June 2017

Dear Sir Madam

I have recently been asked for clarity on the tenure of Chairs or Deputy Chairs of Regional Transport Partnerships (RTPs). I am therefore writing to you all to set out our interpretation of what the statute means.

The length of time a Chairperson or Deputy Chairperson can hold office is set out in Schedule 2, Section 4 of The Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005. This is supplemented with the Regional Transport Partnership, Guidance for Membership, issued in December 2005. Since the Guidance was issued there has been a change in the length of a council term, invoked by other legislation. For this this reason, and to avoid any misunderstanding we consider it appropriate to issue an amendment to the 2005 Guidance. As a result, we have updated paragraph 43 of the 2005 Guidance to describe in more detail what is intended by the 2005 Order. You should use the text below in place of the existing paragraph 43 in the Guidance. Please bear in mind that by doing so we are not altering the statute in any way

New Paragraph 43 – Regional Transport Partnership, Guidance for Membership

43. The Order restricts the maximum period that a single member can serve as either Chairperson or Deputy Chairperson to two full council terms. A member may serve in both roles at different times. For example, it may be that an RTP would want someone to serve as a Deputy before being elected Chairperson, although there is no requirement for this. A member could accordingly serve two council terms as Deputy then two as Chairperson; or any other combination within the prescribed limits. Within the limits set by the Order, this will be for the RTP to decide. As the maximum period of service is restricted to two full council terms (a full council term being the period between ordinary elections of councillors for local government areas), a member's period of service as either Chairperson or Deputy Chairperson cannot extend into a third council term.

I trust this is helpful.

Yours sincerely

JOANNE GRAY



ON BOARD

A GUIDE FOR MEMBERS OF
STATUTORY BOARDS

MARCH 2017



- Public bodies play an essential role in performing certain functions on behalf of, or alongside Government. They allow the public sector to benefit from the skills, knowledge, expertise, experience, perspectives and commitment of the members who sit on their Boards and focus in depth on clear and specific functions and purposes.

Public bodies come in a variety of forms, depending on their functions and relationship with Scottish Ministers and/or the Scottish Parliament. Public bodies are set up for specific purposes and there is no set template of what a public body should look like. **Annex A** provides an overview of the classification of public bodies. This classification has important implications for accountability and reporting arrangements. Information on individual bodies and contact details are available from the **National Public Bodies Directory**.

This guidance provides the basic information that you will need to understand your role as a member of the Board of a public body in Scotland and to help make your time with the Board fulfilling and effective. It supplements the information contained in your letter of appointment which formally sets out your specific roles and responsibilities as a Board member.

This guidance is for all those appointed under statute to be members of the Boards of our public bodies, primarily Non Departmental Public Bodies (NDPBs) and Public Corporations (which are “sponsored” by the Scottish Government and whose Boards are accountable to Ministers for the discharge of their statutory functions) and most Non-Ministerial Offices (whose Boards are directly accountable to the Scottish Parliament, rather than Ministers, for their statutory functions). Where relevant, the guide distinguishes between “sponsored” bodies and Non-Ministerial Offices.

As Management Advisory Boards in Executive Agencies and some Non-Ministerial Offices have different responsibilities to statutory Boards, **separate guidance** has been prepared for members of these Boards.

All public bodies should have in place supportive guidance which reflects the specific nature of their work and the extent to which separate arrangements may apply to the work of the Board.

INTRODUCTION

➤ Induction and Training

When a new Board member joins a public body, they may not have had much direct experience of that body. Effective induction serves as a valuable source of information and should provide material on specific job requirements, roles, responsibilities, policies and purposes. This guidance provides the starting point of your induction into the public body that you have joined. You should also receive further induction guidance and training from your public body on a range of topics, including:

- ➔ the structure, governing legislation and work of your public body and links with the sponsor Directorate (if appropriate), the Scottish Government and the Scottish Parliament
- ➔ the Ethical Standards Framework and Code of Conduct for Board members
- ➔ corporate roles and responsibilities as a Board member

Annex B provides a checklist of the types of induction guidance and training that may be available from your public body. You should refer to this checklist when discussing your induction requirements with the Chair and Chief Executive.

FURTHER GUIDANCE



Key reference materials and contacts are listed under each of the main sections of this guidance. The main source of further information and guidance will be the public body that you have just joined, particularly the Chair and Chief Executive. Between them, they will be able to provide you with most of the advice and information that you are likely to need during your time as a Board member of a public body in Scotland.

This guidance has been produced in an interactive format to allow users to view documents referenced through the use of hyper-links. The guide will be kept under review to ensure that it continues to help promote best practice for Board members. The guide will not be produced in hard copy by the Scottish Government.

Key to document navigation



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Guidance notes contents

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INTRODUCTION

Guidance notes

The guidance is organised into five main Sections:



Public Service Delivery and Reform Guidance Note 1



Principles of Corporate Governance Guidance Note 2



Roles, Responsibilities and Relationships Guidance Note 3



Effective Financial Management Guidance Note 4



Ethics and Standards of Behaviour Guidance Note 5



Annex A Classification of Public Bodies



Annex B Induction and Training for Board Members



Annex C The Organisation of Central Government Over Devolved Matters in Scotland

Public Service Delivery and Reform

Guidance Note 1





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Government Economic Strategy

Community Empowerment (Scotland) Act 2015

Health and Social Care Integration

Scotland's Digital Future

Best Value, Efficient Government and Relocation



➤ Overview

Scottish Ministers and all those within the wider Scottish Administration* are committed to high quality, continually improving, efficient public services that are responsive to local people's needs. To deliver on this commitment it is important that public bodies, third sector and private organisations work effectively in partnership with communities and each other.

This section explains the key policy developments and strategies on the delivery and reform of public services in Scotland, the relevance of public service delivery and reform to you as a Board member of a public body, and the influential role you can play in making a real change to the lives of the people of Scotland.

➤ Scottish Ministers, the Scottish Government and the Scottish Administration

Throughout this guidance you will see references to Scottish Ministers, the Scottish Administration or the Scottish Government. The diagram at [Annex C](#) explains the organisation of central government in Scotland.

➤ Key References and Contacts

National Performance Framework

Scottish Government Economic Strategy

Christie Report

Scottish Government's Response to the Christie Report

Scotland's Digital Future – Delivery of Public Services

Community Empowerment (Scotland) Act 2015

Key Messages

- ➔ As a Board member, you have a responsibility to ensure the effective governance and financial management of your public body within the context of public service delivery and reform for the benefit of the people of Scotland.
- ➔ Public bodies are required to demonstrate their commitment to public service delivery and reform by recognising their role in the delivery of the Programme for Government and the National Performance Framework.
- ➔ Public service reform is built on four pillars: Prevention, Performance, People and Partnership (supported by Place) – which should be reflected in public bodies' corporate strategic priorities and plans.
- ➔ The Scottish Government has developed a distinct approach to support the achievement of National Outcomes and public service reform. It is centred around empowerment and participation: enabling people to co-design, shape and deliver public services that they use; and building on the strengths of families and communities.

* The Scotland Act 1998 created the Scottish Parliament and the Scottish Administration. The Scottish Administration consists of the Scottish Ministers, including the Law Officers, and the key Non-Ministerial Offices and Officeholders in Scotland. The Scottish Administration performs its functions on behalf of Her Majesty the Queen and its staff are civil servants.



➤ PUBLIC SERVICE DELIVERY AND REFORM

In your role as a Board member of a public body in Scotland, you will be required to discharge specific duties in relation to the effective governance and financial stewardship of the body concerned. These duties are covered in sections three to five of this guidance, the body's Framework Document and your letter of appointment.

As a member of a public body in Scotland, you also have a general responsibility to discharge these duties within the context of public service delivery and reform to the benefit of the people of Scotland.

The main policy developments and strategies which have shaped the Scottish Government's approach to public service delivery and reform are:

- ➔ The outcomes-based approach of the **National Performance Framework**
- ➔ The **Christie Report** and the Scottish Government's **Four Pillars of Public Service Reform**
- ➔ The strategic priorities of the **Government Economic Strategy**
- ➔ **Community Planning** whereby local authorities, public bodies, the Scottish Government and the third sector work together and with the local community
- ➔ Increased participation and delivery of public services through digital technology as described in **Scotland's Digital Future: Delivery of Public Services**
- ➔ The **Scottish Approach** centred around the core concepts of **Participation and Co-production, Assets-based Approaches** and **Improvement Methodology**.

The next section expands upon these policy developments and strategies, and their relevance to you as a Board member of a public body in Scotland.

➤ NATIONAL PERFORMANCE FRAMEWORK

The Scottish Government's vision for a successful Scotland is set out in the **National Performance Framework**. The Framework actively supports wider engagement between the Scottish Government and its delivery partners, including local government, third sector and public bodies.

It consists of five main parts which support and reinforce each other:

- ➔ The Scottish Government's **Purpose**
- ➔ The **Purpose Targets** to track progress towards the Purpose
- ➔ Five **Strategic Objectives** to focus on action
- ➔ 16 **National Outcomes** describing what the Scottish Government wants to achieve
- ➔ 50 **National Indicators** to track progress towards the Purpose and National Outcomes.



National Outcomes

A shared approach to the achievement of National Outcomes encourages public service providers to direct attention towards the key long-term challenges for Scotland. As the achievement of shared outcomes is dependent on increased collaboration, effective partnership working and closer alignment of service provision, public bodies are required to ensure that their corporate strategies and plans support the National Outcomes described in the National Performance Framework.

It follows that all public bodies must demonstrate the role that their corporate strategies and plans have in delivering **National Outcome 16** which refers specifically to high quality, continually improving, efficient public services that are responsive to local people's needs.

Public bodies must also demonstrate their role in delivering the other National Outcomes which are relevant to the type of services they provide, working closely with partners to the benefit of the people of Scotland. This may involve crossing traditional organisational boundaries between public bodies which have separate and distinct roles but which also have a shared interest in the delivery and reform of particular areas of public service (e.g. health, justice and education). This focus on shared outcomes and partnership working can achieve outcomes which might not otherwise be possible by one body acting alone. It also opens up opportunities for sharing of limited resources to ensure more efficient, effective and sustainable public services.

Scotland Performs

The **Scotland Performs** website measures and reports on the wide range of indicators set out in the National Performance Framework. As such, it provides an open and transparent account of the progress of government in Scotland in the creation of a more successful country, with opportunities for all through increasing sustainable economic growth.

► PUBLIC SERVICE REFORM

The Christie Commission

In 2010 the Scottish Ministers invited Dr Campbell Christie to lead a Commission to identify the best ways to address the challenges of delivering public services, based on evidence of what works.

The Christie Commission concluded that to achieve the outcomes that matter most to the people of Scotland, public, third sector and private organisations had to work more effectively in partnership with communities and with each other to design and deliver excellent public services that meet the needs of local people. The need for new ways of delivering public services has never been more important than it is today.

The **Christie Report** provided an assessment of the challenges facing public services and recommended an urgent, sustained and coherent programme of public service reform.



THE SCOTTISH GOVERNMENT'S FOUR PILLARS OF PUBLIC SERVICE REFORM



In its response to the Christie Report, the **Scottish Government identified four pillars of reform** in order to deliver better outcomes for the people of Scotland, to reduce inequalities and to ensure the delivery of sustainable services now and in the future:

Prevention – reduce future demand by preventing problems arising or dealing with them early on. To promote a bias towards prevention, help people understand why this is the right thing to do, the choices it implies as well as the benefits it can bring.

Performance – to demonstrate a sharp focus on continuous improvement of the National Outcomes, applying reliable improvement methods to ensure that

services are consistently well designed, based on the best evidence and are delivered by the right people to the right people at the right time.

People – we need to unlock the full creativity and potential of people at all levels of public service, empowering them to work together in innovative ways. We need to help create ways for people and communities to co-produce services around their skills and networks.

Partnership – we need to develop local partnership and collaboration, bringing public, third and private sector partners together with communities to deliver shared outcomes that really matter to people.

The Scottish Government's approach to public service delivery and reform also focuses on the importance of "place" (locality) in the design and delivery of public services. The focus on place provides the basis for partnership and stronger community participation in the design and delivery of local services, harnessing the full spectrum of talents and capacities of public bodies, citizens, third sector organisations and local businesses.

In the next sections some of the information provided may not directly impact on your role as a Board member of a public body. However, it is essential that Board members have an awareness of work being taken forward by the Scottish Government in relation to public service reform.

➤ THE SCOTTISH APPROACH TO GOVERNMENT

The **National Performance Framework** and the **Government's response to Christie** describe 'what' we are trying to achieve, the 'Scottish Approach' describes 'how' it should be delivered; centering around three core elements of Participation and Co-production, Assets and Improvement, as summarised right. ➔

The approach seeks to safeguard essential services, preserve front-line jobs and secure higher quality services through, for example:

- ➔ greater integration of health and social care
- ➔ the move to single police, and fire and rescue services
- ➔ the reform of post-16 education.

➤ GOVERNMENT ECONOMIC STRATEGY

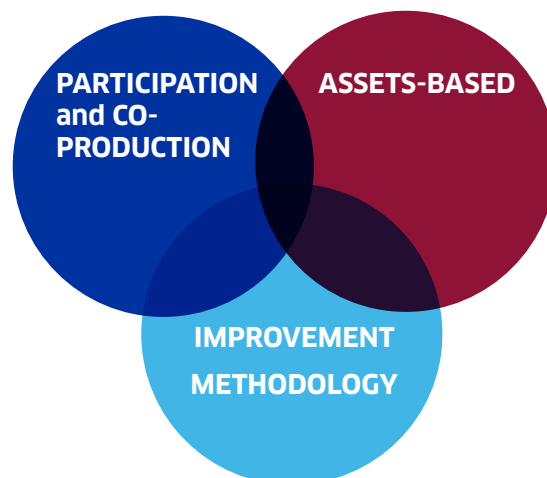
Scotland's Economic Strategy reaffirms the Scottish Government's commitment to creating a more successful country, with opportunities for all of Scotland to flourish, through increasing sustainable economic growth. It sets out an overarching framework for achieving the two mutually supportive goals of increasing competitiveness and tackling inequality in Scotland. It forms the strategic plan for existing and all future Scottish Government policy and prioritises boosting investment and innovation, supporting inclusive growth and maintaining a focus on increasing internationalisation.

➤ COMMUNITY EMPOWERMENT

Community Empowerment (Scotland) Act 2015

The **Community Empowerment (Scotland) Act 2015 (the 2015 Act)** provides a legal framework that will promote and encourage community empowerment and participation, by creating new rights for community bodies and placing new duties on public authorities. Part 2 of the 2015 Act includes duties which

The Scottish Approach



- **Participation and Co-production** – enabling people to shape and co-design the services they use.
- **Assets-based** – valuing the strengths of people and communities to build social capital and capacity, rather than focusing solely on perceived deficits.

● **Improvement Methodology:**

Creating Conditions for Change

- ➔ Setting out a compelling vision of the future to serve as a reference point as the change process moves forward;
- ➔ Backed by a story which helps people to recognise where they have been and where they are going;
- ➔ Identifying key actions towards realising the vision.

Making the Change

- ➔ A clear framework for improvement;
- ➔ A strategy to engage, empower and motivate the workforce and develop their skills;
- ➔ An understanding of how the change will work locally, recognising communities and their assets are different;
- ➔ Building the guiding coalitions, governance and data necessary to drive and sustain the change.



further strengthen community planning, replacing provisions in the **Local Government in Scotland Act 2003**.

The 2015 Act gives Community Planning Partnerships (CPPs) a statutory footing for the first time. It places specific duties on CPPs, and statutory partner bodies, in relation to improving local priority outcomes and tackling inequalities of outcome across communities within their area. The Act does a number of other things including: extending the community right to buy, making it simpler for communities to take over public sector land and buildings, and strengthening the statutory base for community planning. It also includes a new regulation-making power that will in future require that Scottish public authorities promote and facilitate the participation of members of the public in their decisions and activities, including in the allocation of their budget.

➤ HEALTH AND SOCIAL CARE INTEGRATION

Public Bodies (Joint Working) (Scotland) Act 2014

The shape of Scottish society is changing. People are living longer, healthier lives and as the needs of our society change, so too must the nature and form of our public services. New legislation in the form of the Public Bodies (Joint Working) (Scotland) Act 2014 requires Health Boards and local authorities to integrate their health and social care services.

Local teams and professionals across health and social care will work together to deliver quality, sustainable care and services resulting in improved outcomes for the people and families who use these services.

➤ SCOTLAND'S DIGITAL FUTURE

Scotland's Digital Future: Delivery of Public Services sets out the ambitions and actions including a "digital first" approach to service delivery, with public bodies working collaboratively with each other and service users to digitally transform the delivery of public services and to adopt the national products available through the digital ecosystem including **mygov.scot**, Scottish Wide Area Network and others. In addition, the Central Government Digital Transformation Service can support your organisation in understanding your digital maturity, developing your strategy and sourcing the skills and capability to deliver on your transformation ambitions.

Audit Scotland's report **Managing ICT Projects**, published in August 2012, set out recommendations for Senior Responsible Owners and Accountable Officers. In June 2015 Audit Scotland considered the Scottish Government's progress in strategic oversight and support of central government ICT programmes including the revision of the ICT Assurance framework, supporting guidance and templates. Key findings and recommendations were published in **Managing ICT contracts in central government: An update**.

➤ BEST VALUE, EFFICIENT GOVERNMENT AND RELOCATION

Best Value, Efficient Government and Relocation are all essential elements of the public service reform agenda. These issues are covered in **Guidance Note 4**.

FURTHER INFORMATION

Community Planning
Community Empowerment (Scotland) Act 2015
Improvement Framework
Improvement Service
Public bodies (Joint Working) (Scotland) Act 2014
McClelland Review
Central Government ICT Assurance Framework
Scottish Government's response to the McClelland Review
Audit Scotland Managing ICT contracts in central government: An update



**Principles of
Corporate Governance**
Guidance Note 2



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➤ Overview

Corporate governance concerns the strategic direction and effective stewardship of the organisation. A number of concerns have been raised about corporate governance in the private and public sectors in recent years, mainly relating to the perceived lack of control at the top of some organisations and inadequately designed systems that failed to prevent fraudulent, inefficient or inappropriate behaviour.

A number of initiatives have addressed these concerns and strengthened the approach to corporate governance in both the private and public sectors. This section explains the main developments that have led to the principles of corporate governance and how these translate into the conduct and management of public business.

➤ Key References and Contacts

UK Corporate Governance Code

Ethical Standards in Public Life etc. (Scotland) Act 2000

Good Governance Standard for Public Services

Key Messages

- ➔ Corporate governance is concerned with the strategic direction and effective stewardship of the organisation;
- ➔ There have been a number of reviews in the private sector which together led to the development and publication of a **UK Corporate Governance Code**;
- ➔ There are similarities between the public and private sectors in terms of corporate governance principles – but Board members should recognise that it is not always possible to draw a direct parallel between the two; and
- ➔ The **Nolan Committee** set new standards of conduct for Board members of public bodies in 1995 and the **Ethical Standards in Public Life etc. (Scotland) Act 2000** introduced the ethical standards framework, which includes Codes of Conduct for Board members, a Chief Investigating Officer and a Standards Commission.



➤ Corporate Governance

Corporate governance is the way in which organisations are directed, controlled and led. It defines relationships and the distribution of rights and responsibilities among those who work with, and in, the public body, determines the rules and procedures through which objectives are set, and provides the means of attaining those objectives and monitoring performance. Importantly, it defines where accountability lies throughout the public body.

Corporate governance has been a high-profile topic in recent years, principally because of concern about ensuring control at the top of, and within, organisations. There is a perception that, in certain cases, senior managers appear to have been able to act without restraint and that inadequately designed systems have failed to prevent fraudulent, inefficient or inappropriate behaviour. **The results of poor corporate governance cannot be underestimated.** The international financial crisis was partially attributed to failures in governance within the Boards of major financial institutions.

Key Developments in the Private Sector

A number of key corporate governance reports in the private sector have contributed to the development of the **UK Corporate Governance Code**:

Reports that shaped corporate governance in the UK

Cadbury, 1992

Greenbury, 1995

Hampel, 1998

Turnbull, 1999

Myners, 2001

Smith, 2003

Higgs, 2003

Tyson, 2003

Turnbull, updated 2005

Walker, 2009

Women on Boards, 2011

Francis, 2013



The UK Corporate Code – impact on the public sector

Although there are elements of the UK Corporate Code which are relevant to Board members of public bodies, it applies primarily to companies listed on the London Stock Exchange.

While there are a number of similarities between the public and private sectors in terms of corporate governance principles, Board members should be aware that it will not always be possible to draw a direct parallel between the two. Whilst public bodies face many similar challenges as private organisations, they cannot be considered to be exactly the same.

Effective strategic engagement between the Scottish Government and the public body is essential in order that they work together as effectively as possible to maintain and improve public services and deliver improved outcomes. There is greater accountability, with control over public services handed in greater measure to those who use them, while Scottish Ministers take strategic policy decisions. The varying size and nature of ‘arm’s length bodies’ and the range of functions they carry out means that there is no one absolute template for how the relationship between Scottish Government Directorates and the public body operates. Further consideration on the relationship between Scottish Government Directorates and public bodies is examined in **Guidance Note 3**.

Findings from the Financial crisis report – lack of diversity and groupthink

Although the **Walker Report** specifically related to the collapse of banks and financial institutions its findings had significant ramifications for the Boards of all types of bodies. A key finding of the review was that ‘groupthink’, attributable in turn to a lack of diversity, had been a major contributory factor to the governance failures of the relevant Boards.

Many subsequent studies have identified that companies with Boards that are apparently more diverse, such as in relation to gender, age and industry background, perform better than those companies with less diverse Boards. The different perspectives that different types of Board members bring mean that they are more likely to be able to constructively challenge proposals. If Board members are too similar to the executives, a Board’s decision-making risks being narrow and blinkered.

It is important to understand that a Board made up of people who are ‘visibly diverse’ will not necessarily be immune to groupthink. Visible diversity is simply an indicator but no guarantee that the Board’s members have the diversity of skills, knowledge, experience and perspectives needed to make it effective. Having said that, a lack of diversity on the Boards of Scotland’s public bodies, which can be evidenced in relation to factors ranging from gender to BME status, employment sector and income, is an indicator that our Boards are not yet sufficiently diverse.



The impact for Scottish Public Bodies

Scottish Ministers are committed to redressing this imbalance with gender parity being a particular area of focus. Boards themselves should give consideration to establishing a committee to consider matters such as planning for succession and Board performance as this should lead to more diversity at Board level. **The aim should be to have 50:50 gender balance by 2020.**

Key Developments in the Public Sector

There have been a number of high-profile reports and inquiries in Scotland highlighting inadequacies in the governance of public bodies. In one report, a Parliamentary Committee concluded that the governance arrangements in a public body did not identify or prevent a crisis which it should have done. Although not the primary factor, the Committee believed that the Board failed sufficiently to challenge the Chief Executive over a significant operational development that ultimately failed.

In another report, the Scottish Parliament's Public Audit Committee concluded that, on the evidence received, members of the Board of a public body had acted with probity throughout a very difficult period but could not escape criticism for not being aware of problems of which they should have been aware.

As in the private sector, there have been a number of developments aimed at improving corporate governance in the public sector:

Nolan Principles

In 1995, the **Committee on Standards in Public Life (the Nolan Committee)** identified seven principles of conduct underpinning public life and recommended that public bodies should draw up Codes of Conduct incorporating these principles.

NOLAN COMMITTEE 1995



Recommendation

Public bodies should draw up Codes of Conduct incorporating seven Nolan Principles of:

- Selflessness
- Integrity
- Objectivity
- Accountability
- Openness
- Honesty
- Leadership.



The then Scottish Executive took the Nolan Committee recommendations one step further with the introduction of the **Ethical Standards in Public Life etc. (Scotland) Act 2000** which brought in a statutory Code of Conduct for Board Members of Devolved Public Bodies and set up a **Standards Commission for Scotland** to oversee the ethical standards framework.

The Scottish Executive also identified nine key principles underpinning public life in Scotland, which incorporated the seven Nolan principles and introduced two further principles, Duty (Public Service) and Respect. These nine principles and their practical implications for Boards and Board members are explored in **Guidance Note 5**.

ETHICAL STANDARDS IN PUBLIC LIFE ETC. (SCOTLAND) ACT 2000



Conduct for Board

- Statutory Code of Conduct for Board Members of Devolved Public Bodies;
- Appointment of a Chief Investigating Officer to investigate and report to the Standards Commission for Scotland (the Standards Commission;)
- Standards Commission to oversee ethical standards framework; and
- Seven Nolan Principles plus two further principles of Duty (Public Service) and Respect.

International Framework: Good Governance in the Public Sector

In 2014 the Chartered Institute of Public Finance and Accountancy and the International Federation of Accountants produced an updated **International Framework: Good Governance in the Public Sector**.

The 2014 Framework defines and describes one interpretation of the principles that should underpin good governance.

GOOD GOVERNANCE IN THE PUBLIC SECTOR



Core Principles

- Behave with integrity, demonstrating strong commitment to ethical values, and respect the rule of law;
- Ensure openness and comprehensive stakeholder engagement;
- Define outcomes in terms of sustainable economic, social and environmental benefits;
- Determine the interventions necessary to optimise the achievement of the intended outcomes;
- Develop the entity's capacity, including the capability of its leadership and the individuals within it;
- Manage risks and performance through robust internal control and strong public financial management; and
- Implement good practices in transparency, reporting and audit to deliver effective accountability.



➤ Translating Principles into Action

The remaining sections of this guidance provide the practical advice that is needed to enable public bodies and Board members to apply the concepts of good corporate governance to their own organisations. They pull together good practice from the private and public sectors to provide guidance to Board members across the three main dimensions of corporate governance:

- ➔ Roles, Responsibilities and Relationships (Guidance Note 3)
- ➔ Effective Financial Management (Guidance Note 4)
- ➔ Ethics and Standards of Behaviour (Guidance Note 5)

These guidance notes explain the meaning of these dimensions of corporate governance more fully and their relevance to you as a Board member of a public body in Scotland.



Roles, Responsibilities and Relationships

Guidance Note 3





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> Overview

Every member of a Board of a public body must be clear about their specific roles and responsibilities if the Board and the public body are to operate successfully.

This section outlines the roles and responsibilities of the Board, its committees, individual Board members and key internal and external stakeholders, such as the Chief

Executive, Scottish Ministers and the Scottish Government sponsor Directorate. It explains the importance of managing these relationships effectively, including a clear understanding of the strategic governance and decision-making responsibilities of the Board and the operational and statutory accountability responsibilities of the Chief Executive, including as the body's Accountable Officer.

> Key Messages

- The four main functions of the Board of a public body are: to ensure that the body delivers its functions in accordance with Ministers' policies and priorities; to provide strategic leadership; to ensure financial stewardship; and to hold the Chief Executive and senior management team to account.
- Board members must adhere to collective corporate responsibility, confidentiality and the highest standards of conduct.
- Individual Board members should contribute fully to Board deliberations and exercise a healthy challenge function. The Chair will ensure that all Board members have an opportunity to contribute to Board discussions.
- Committees are established to deal with particular areas of interest outside main Board meetings and are required to submit substantive reports to summarise issues, debates and decisions.
- The Chair has additional responsibilities to Board members, particularly leadership, directing a diverse team and harnessing the benefits of this, and the conduct of Board business.
- The Chief Executive is accountable to the Board for the overall organisation, management and staffing of the public body. Where a public body manages its own budget, the Chief Executive is normally designated as its Accountable Officer with responsibility for the proper management of public funds under the public body's control. The Board should have regard to the issues and concerns of the Accountable Officer.
- Where an Accountable Officer considers that any action that he/she is required to take is inconsistent with the proper performance of his/her duties as Accountable Officer, he/she should obtain written authority from the body for which he/she is designated.
- The Board focuses on strategy, performance and behaviour – the Chief Executive advises the Board on all matters and is solely responsible for operational issues. Board members have no authority to instruct the Chief Executive or any member of staff on operational matters.



> Key References

Audit Committee Handbook
 Audit Scotland – The Role of Boards
 Equality Act 2010
 NDPB Model Framework Document
 Scottish Public Finance Manual (Accountability)

> Fundamental Principles of Board Life

There are three fundamental principles of Board life to which all Board members (including the Chair) must adhere:

Principle 1 – Corporate Responsibility

While Board members must be ready to offer constructive challenge, they must also share collective responsibility for decisions taken by the Board as a whole. If they fundamentally disagree with the decision taken by the Board, they have the option of recording their concerns in the minutes. However, ultimately, they must either accept and support the collective decision of the Board – or resign. Board decisions should always comply with statute, Ministerial directions (where this is provided for in statute), Ministerial guidance and the objectives of the sponsor Directorate, as appropriate (noting of course that certain bodies are required to demonstrate independence in order to maintain credibility).

Principle 2 – Confidentiality

All Board members must respect the confidentiality of sensitive information held by the public body. This includes commercially sensitive information, personal information and information received in confidence by the organisation. It is also essential that debate of a confidential nature inside the Boardroom is not reported outside it.

Principle 3 – Conduct

Board members have a responsibility to set an example by demonstrating the highest standards of behaviour. It is important that nothing you do or say when you are acting as a Board member tarnishes in any way the reputation of the public body or the Board. If you have specific concerns about the manner in which the public body is being run, these should be raised with the Chair in the first instance. If you fail to achieve resolution with the Chair, it is open to you to take them to the relevant senior civil servant in the Scottish Government (usually a Director or Director-General) – but you should appreciate that this is a significant step.

> Role of the Board

The four main functions of the Board are: to ensure that the body delivers its functions in accordance with Ministers' policies and priorities; to provide strategic leadership; to ensure financial stewardship; and to hold the Chief Executive and senior management team to account. It has corporate (collective) responsibility, under the leadership of the Chair, for the following:

- ➔ Taking forward the strategic aims and objectives for the body agreed by the Scottish Ministers;
- ➔ Determining the steps needed to deal with changes which are likely to impact on the strategic aims and objectives of the body or on the attainability of its operational targets;
- ➔ Promoting the efficient, economic and effective use of staff and other resources by the public body consistent with the principles of Best Value, including, where appropriate, participation in shared services and/or collaborative service delivery arrangements;
- ➔ Ensuring that effective arrangements are in place to provide assurance on risk management, governance and internal control;



- Taking into account relevant guidance issued by Scottish Ministers;
- Receiving and reviewing regularly financial information concerning the management and performance of the public body and being informed in a timely manner about any concerns regarding the activities of the public body;
- Ensuring systems are in place to enable early notification to be provided to the Scottish Government about emerging issues which will impact on the operation or reputation of the public body;
- Appointing (with the approval of the Scottish Ministers) the public body Chief Executive and, in consultation with the Scottish Ministers, setting appropriate performance objectives and remuneration terms linked to these objectives which give due weight to the proper management and use of resources within the stewardship of the public body and the delivery of outcomes; and
- Demonstrating high standards of corporate governance at all times, including openness and transparency in its decision-making.

➤ **Providing Strategic Leadership**

The Board usually fulfils its leadership role by developing the public body's corporate strategy. The Board then agrees a corporate plan to turn the strategy into action over a period of about three years and promotes continuous improvements in corporate performance over this period. **Both the strategy and corporate plan must align with the remit of the organisation, the National Performance Framework and the National Outcomes and indicate how the public body will contribute to public service reform.**

The corporate plan will usually be approved by the Scottish Ministers. Ministers should write to sponsored bodies at least annually setting out the policies and priorities which they wish them to pursue.

➤ **Representing Ministerial Interests**

In the majority of cases, Boards of public bodies are appointed by Ministers to ensure delivery of Ministerial policies. **Board members should be clear about Ministerial policies and expectations for their public body.** If they are in any doubt on this point, they should seek clarification from the Chair or sponsor Directorate.



PROVIDING STRATEGIC LEADERSHIP



The Board

- Develops and agrees the organisation's strategy;
- Sets cost effective plans to implement the strategy;
- Ensures that the strategy and plans are aligned with the **National Performance Framework** and the public body's statutory duties, and the policies and priorities of the Scottish Government;
- Reviews the public body's corporate and business plans and performance on a regular basis, including their own performance as a Board;
- Establishes a performance management framework which enables under-performance of the body to be addressed quickly;
- Establishes the values and standards of the organisation and ensures that the organisation adopts and complies with Codes of Conduct for Staff and the Board;
- Ensures that the highest standards of governance are complied with, that the organisation complies with all Ministerial guidance, its Framework Document and legislation, and that a framework of prudent and effective controls is in place to enable risks to be assessed and managed;
- Focuses on the positive impact that the organisation is making in the outside world, i.e. effects on customers and citizens; and
- Ensures that the public body is a Best Value organisation and delivers Value for Money for the public sector as a whole.

> Ensuring Financial Stewardship

The Board is collectively responsible for ensuring that the organisation adheres to strict standards of financial propriety, and

complies with the financial requirements contained in the Framework Document and the **Scottish Public Finance Manual**.

ENSURING FINANCIAL STEWARDSHIP



The Board

- Satisfies themselves that financial information is accurate and that financial controls and systems of risk management are robust and defensible;
- Considers and approves forward budget allocations and financial targets within key strategic and planning documents, such as corporate and operational business plans;
- Monitors the financial position against budget allocations and key financial targets and takes corrective action where required;
- Has regard to the issues and concerns of the Accountable Officer; and
- Approves high value, novel or contentious expenditure proposals, for submission to the Scottish Government and Ministers for approval when it is necessary/appropriate to seek approval from the Scottish Government.



> Holding the Chief Executive to account

It is the Board's duty to hold the Chief Executive (and senior management team) to account for the operational management of the organisation and the delivery of agreed plans on time and within budget.

HOLDING THE CHIEF EXECUTIVE TO ACCOUNT ▾

The Board:

- Ensures an effective team and management arrangements are in place at the top level of the organisation;
- Oversees the development (and review) of the corporate strategies, plans and policies of the public body;
- Ensures the operation and work of the public body is closely aligned with the work of other service delivery public bodies in support of the wider aims of public service delivery and reform;
- Oversees the development of performance and key financial targets;
- Monitors performance and ensures that corrective action is taken to address any under-performance; and
- Provides continuity of direction and effective management by making appropriate arrangements for delegation.



➤ Role of the Board as an Employer ➤ Role of the Board Committees

In most cases the Board is the employer of the individuals who work for the public body, although the management of staff, apart from the Chief Executive (whose performance is appraised by the Chair), is a matter for the executive.

The Board should be satisfied that the public body is meeting its moral and legal obligations to its employees and that the senior management team is fulfilling its obligations in this regard.

The Board is usually responsible for the recruitment of the Chief Executive and, in some cases, other senior staff. If you take part in a recruitment exercise, you will need to be familiar with employment legislation and any codes of best practice in relation to equal opportunities issues. You should receive training in recruitment and selection before serving in that capacity.

Many Boards establish committees to deal with particular areas of interest outside of main Board meetings. The extent to which Boards use committees will be dependent on the size of the organisation. Examples of Board committees include:

- ➔ Remuneration Committee
- ➔ Audit Committee
- ➔ Succession Planning Committee
- ➔ Area or Regional Boards where appropriate.

Committees may also be set up to deal with specific aspects of the Board's role, such as:

- ➔ Staff Governance
- ➔ Finance
- ➔ Policy
- ➔ Development
- ➔ Clinical Governance (in the NHS).

ROLE OF THE BOARD AS AN EMPLOYER



This includes ensuring that the body:

- ➔ Has policies and procedures that comply with employment law;
- ➔ Avoids discrimination of any kind against current or potential employees and has policies to guarantee equal opportunities and value diversity;
- ➔ Has in place agreed terms and conditions of employment which should reflect the general standards set out in the Model Code for Staff;
- ➔ Has in place clear policies and strategies relating to staff; and
- ➔ Complies with all health and safety requirements.

Where appropriate, committees can allow for specialist areas relating to the Board's role to be debated in detail by members with the appropriate knowledge or skills. The key points can then be presented to the full Board for ratification, making more effective use of scarce time. As the Board cannot be expected to understand the issues dealt with by the committee from the minutes alone, it will generally require substantive reports from the committee to summarise issues, debates and recommendations.

For some organisations individuals with specific skills and/or expertise may be invited to serve on committees as co-opted members. Co-opted members do not hold Board member status and must never constitute a majority of the membership of any committee.



➤ Role and Responsibilities of the Board Member

Your specific role as a Board member will depend on the role of the Board to which you have been appointed and the capacity in which you have been appointed, but will normally cover a number of general duties and responsibilities.

Individual Board members should act in accordance with the responsibilities of the Board as a whole and comply at all times with

the Code of Conduct adopted by the public body and with the rules relating to the use of public funds and to conflicts of interest. In this context 'public funds' means not only any funds provided to the public body by the Scottish Ministers but also any other funds falling within the stewardship of the public body, including trading and investment income, gifts, bequests and donations. General guidance on Board members' responsibilities will be summarised in their letter of appointment.

ROLE AND RESPONSIBILITIES OF THE BOARD MEMBER



The Board member

- ➔ Understands the operational environment in which their public body operates within the context of the wider public service delivery landscape;
- ➔ Attends Board meetings on a regular basis and is well prepared by reading relevant papers in advance and, if necessary, seeks further information to ensure their understanding;
- ➔ Attends training events and keeps up to date with subjects relevant to the public body's work;
- ➔ Contributes to the work of any committees that have been established by the Board;
- ➔ Represents the Board at meetings and stakeholder events when required;
- ➔ Contributes to strategic development and decision-making;
- ➔ Clarifies which decisions are reserved for the Board and which should be delegated;
- ➔ Monitors the reporting of performance and holds management to account through purposeful and constructive challenge and scrutiny;
- ➔ As necessary, seeks further information than that which is provided to give assurance on organisational performance;
- ➔ Questions and, as necessary, challenges proposals made by fellow Board members and the executive team constructively and carefully to reach and articulate a considered view on their suitability;
- ➔ Provides a creative contribution to the Board by providing independent oversight on issues of strategy, performance and resources;
- ➔ Behaves in accordance with the agreed Code of Conduct; and
- ➔ Establishes and promotes the public body's role in the community.



Performance Appraisal

You have been appointed to the Board because your personal skills, knowledge and experience match the criteria for the post and meet the needs of the public body. Your performance as a Board member will be regularly reviewed throughout the term of your appointment, usually by the Chair of the public body. All Board members should receive a performance appraisal every year that assesses their performance in relation to certain pre-established criteria and objectives, and provides an opportunity for meaningful dialogue.

The Chair is responsible for the annual appraisal of the Chief Executive and the Chair will be appraised on an annual basis by the relevant Scottish Government Director or Deputy Director (as appropriate).

Re-appointment to the Board

The Scottish Ministers will determine the period for which an appointment, re-appointment or extension to an appointment term is to be made, based on the needs of the public body concerned.

Ministers will consider whether the needs of a Board will most effectively be met by an appointment, re-appointment or extension to an appointment term subject to any relevant provisions in the legislation which established the public body. They will balance the continuity provided by re-appointment and term extensions with the opportunity to increase the diverse range of relevant skills, knowledge and experience on a Board by making a new appointment through open competition.

You may be re-appointed for second and subsequent terms in the same role without open competition, if you possess the skills and knowledge required on the Board at the time of re-appointment. You will only be considered for re-appointment if your performance has been properly assessed as effective during the initial period of appointment. The final decision as to whether or not you are re-appointed ultimately rests with the Minister, subject to the specific nature of your public body's constitution, the needs of the Board for the foreseen period of the re-appointment and the terms upon which you are appointed. No member's total period of appointment in the same position may exceed eight years. This eight year maximum is based on the aggregate time in post and applies regardless of whether the time in post was continuous or not. The terms and conditions of re-appointment should be outlined in a re-appointment letter.

Nomination to the Board of Another Organisation

Some public bodies have the right to nominate one or more Board members to the Board of another organisation. If you are nominated to be a Board member on a public body which is also a limited company, you will assume personal responsibilities as a Company Director under the Companies Acts. Any breach of your legal responsibilities as a Company Director could have serious consequences for you personally. If you are in any doubt as to your position, you should take legal advice from the Board's legal advisers.



Civil Liability as a Board Member

If you, as an individual Board member, incur a civil liability in the course of carrying out your responsibilities for the Board, you will not have to pay anything out of your own pocket provided that you have acted honestly and in good faith. However, this indemnity does not protect you if you have acted recklessly or in bad faith.

Removal from Office

In many cases, the founding legislation or the Board's standing orders will set out the grounds on which you may be removed as a Board member, such as:

- ➔ Bankruptcy
- ➔ Becoming incapable of performing your duties as a Board member
- ➔ Consistent absence from Board meetings
- ➔ Being convicted of an indictable offence.

Charity Trustees

Some public bodies hold charitable status. This has implications for Board members who will also act as charity trustees for the purposes of the **Charities and Trustee Investment (Scotland) Act 2005**. A charity trustee is a person who has the general control and management of the administration of a charity. A charity may refer to its charity trustees in a number of ways including management committee members, directors and Board members. If a Board member is also the trustee of the charity, they will have the same general duties of any other charity trustee as set out at section 66 of the 2005 Act. **The Office of the Scottish Charity Regulator's guidance publication, 'Guidance for Charity Trustees'**, gives further details on the duties of charity trustees.

The Role of Non-Ministerial Appointed Members

The vast majority of Board members in Scotland are appointed by Scottish Ministers; however there are instances where Board composition varies to include a mix of directly elected or local authority nominated members. Provision for such arrangements will normally be set out in the public body's enabling legislation.

In circumstances where it is considered appropriate, a mix of Board membership is generally designed to deliver a balance between local and national representation in the decision-making process.

However, regardless of composition, all Boards are expected to play a key role in the delivery of the Scottish Government's Purpose through alignment with the **National Performance Framework**, and are required to adhere to the established principles of public sector accountability and governance set out in this guidance, including collective responsibility for decisions and actions and confidentiality. Further clarification about roles and responsibilities should be provided by the Chair and/or the Chief Executive.

➤ Role and Responsibilities of the Chair

The Chair has additional responsibilities over and above those of Board members, particularly in relation to leadership and the conduct of Board business. The Chair of a sponsored body is accountable to the Scottish Ministers and, in common with any individual with responsibility for devolved functions, may also be held to account by the Scottish Parliament. The Chair of a Non-Ministerial body is only held to account by the Scottish Parliament. Communications between the public body Board and the Scottish Ministers should normally be through the Chair. They are responsible for ensuring that the public body's policies and actions support the Scottish Ministers' wider strategic policies



if these apply to the body and that its affairs are conducted with probity. The Chair is appraised by the relevant Director or Deputy Director on behalf of Ministers. Mutual investment in a constructive relationship

between the Chair and the Scottish Government sponsor Directorate is important to supporting the effective performance and delivery of the public body.

ROLE AND RESPONSIBILITIES OF THE CHAIR



The Chair

- Leads representation and links with Ministers and Scottish Parliament;
- Leads the Board, ensures that the Board has the ability to carry out functions effectively and chairs Board meetings;
- Leads the Board's approach to strategic planning;
- Leads the Board's approach to the establishment of committees and ensures the Board considers substantive reports from any committees established;
- Ensures that the work of the Board and any committees is subject to regular self-assessment and that the Board is operating strategically and effectively;
- Leads the Board's approach to succession planning to ensure the Board is diverse and effective;
- Ensures that the Board, in accordance with recognised good practice in corporate governance, is diverse both in terms of relevant skills, experience and knowledge appropriate to directing the public body's business, and in terms of protected characteristics under the Equality Act;
- Ensures the Scottish Ministers are advised of the body's needs when Board vacancies arise;
- Ensures the Board members are fully briefed on terms of appointment, duties, rights and responsibilities;
- Together with the other Board members, receives appropriate induction training, including on financial management and reporting requirements and, as appropriate, on any differences that may exist between private and public sector practice;
- Ensures there is a Code of Conduct for Board members in place, approved by the Scottish Ministers;
- Assesses the performance of individual Board members on a continuous basis and undertakes a formal appraisal at least annually; and
- In consultation with the Board as a whole, as appropriate, is responsible for undertaking an annual appraisal of the performance of the Chief Executive.



➤ Role and Responsibilities of the Chief Executive

The Chief Executive of the public body is employed and appointed by the Board (with the approval of Scottish Ministers). They are the Board's principal adviser on the discharge of its functions and will be accountable to the Board. The Chief Executive's role is to provide operational leadership to the public body, and ensure that the Board's aims and objectives are met and the public body's functions are delivered

and targets met through effective and properly controlled executive action. The Chief Executive's general responsibilities will include performance management and staffing of the public body. In summary, the Board focuses on strategy, performance and behaviour – the Chief Executive advises the Board on all matters and is solely responsible for operational issues.

ROLE AND RESPONSIBILITIES OF THE CHIEF EXECUTIVE



Chief Executive

- ➔ Advises the Board on the discharge of its responsibilities – as set out in the Framework Document, in the founding legislation and in any other relevant instructions and guidance issued by or on behalf of the Scottish Ministers – and implements the decisions of the Board;
- ➔ Ensures that financial considerations are taken fully into account by the Board at all stages in reaching and executing its decisions, and that appropriate financial appraisal and evaluation techniques, consistent with the **Scottish Public Finance Manual**, are followed;
- ➔ Prepares the public body's corporate and business plans, in the light of the strategic aims and objectives agreed by the Scottish Ministers where the body is sponsored;
- ➔ Advises the Board on the performance of the public body compared with its aims and objectives;
- ➔ Ensures effective relationships with Scottish Government officials – across the wider organisation, as necessary, and with the sponsor Directorate in particular;
- ➔ Ensures that timely forecasts and monitoring information on performance and finance are provided to the Scottish Government; that the Scottish Government is notified promptly if overspends or underspends are likely and that corrective action is taken; and that any significant problems, whether financial or otherwise, and whether detected by internal audit or by other means, are promptly notified to the Scottish Government;
- ➔ Ensures robust performance and risk management arrangements, consistent with the **Scottish Public Finance Manual**, are in place to support the achievement of the public body's aims and objectives and facilitate comprehensive reporting to the Board, the Scottish Government and the wider public;
- ➔ Ensures that the public body adheres, where appropriate, to the **Scottish Government's Programme and Project Management Principles**;
- ➔ Ensures that adequate systems of internal control are maintained by the public body, including effective measures against fraud and theft consistent with the **Scottish Public Finance Manual**; and
- ➔ Establishes appropriate documented internal delegated authority arrangements consistent with the **Scottish Public Finance Manual**.



➤ Role and Responsibilities of the Accountable Officer

The Permanent Secretary to the Scottish Government is the Principal Accountable Officer of the Scottish Administration. The Principal Accountable Officer designates Directors-General as Portfolio Accountable Officers. The Portfolio Accountable Officer has specific responsibilities with regard to a sponsored public body with its own Accountable Officer. These are set out in a Memorandum sent by the Principal Accountable Officer on appointment. The Portfolio Accountable Officer has no responsibilities in respect of Non-Ministerial bodies.

Where a public body manages its own budget, the Chief Executive will normally be designated as its Accountable Officer. Accountable Officers are personally answerable to the Scottish Parliament for the exercise of their functions, as set out in the Memorandum to Accountable Officers for Other Public Bodies issued to the Chief

Executive at the time of formal designation (normally at the same time as they are appointed as Chief Executive).

It is incumbent on the Chief Executive to combine their Accountable Officer responsibilities to the Scottish Parliament with their wider responsibilities to the Board. The Board and Chair should be fully aware of, and have regard to, the Accountable Officer responsibilities placed upon the Chief Executive.

If the Board has serious concerns about the actions and performance of the public body's Accountable Officer, it can recommend to the Principal Accountable Officer that Accountable Officer status should be withdrawn or suspended. The same option is open to the Principal Accountable Officer in the exercise of their own responsibilities.

ROLE AND RESPONSIBILITIES OF THE ACCOUNTABLE OFFICER



The Accountable Officer

- ➔ Signs the annual accounts and associated governance statements;
- ➔ Ensures the propriety and regularity of the public body's finances and that there are sound and effective arrangements for internal control and risk management;
- ➔ Ensures that the resources of the public body are used economically, efficiently and effectively, and that arrangements are in place to secure Best Value for the organisation and deliver Value for Money for the public sector as a whole;
- ➔ Ensures compliance with applicable guidance issued by the Scottish Ministers, in particular the **Scottish Public Finance Manual**;
- ➔ Has a statutory duty to obtain written authority from the Board/Chair before taking any action which they consider would be inconsistent with the proper performance of the Accountable Officer functions. The Accountable Officer should also notify, where considered appropriate, the relevant Portfolio Accountable Officer;
- ➔ Represents the public body before the **Public Audit Committee of the Scottish Parliament**; and
- ➔ May have their Accountable Officer status withdrawn or suspended if the Principal Accountable Officer has serious concerns about their actions and performance.



> Role and Responsibilities of the Minister

Every public body is expected to be aware of, and work within, a strategic and operational framework determined by the Scottish Ministers. Most fall within the portfolio of a specific Scottish Minister who will set overall policy aims, define expected outcomes arising from implementation of that policy and review progress against outcomes.

Public bodies are sometimes described as operating at 'arm's length' from Ministers but this does not mean that they are outwith Ministerial control. The Minister will decide how much independence and flexibility the public body should have, depending on its size, constitution, the nature of its functions and the legislation under which it operates.

Ministers may seek to increase their understanding of the public body through formal meetings with the public body's Chair and Board and other more informal events. The founding legislation for a public body may also give Ministers the power to issue a formal direction requiring it to take particular action. However, the use of such formal powers is extremely rare.

As Ministers are responsible to the Scottish Parliament, they may be asked at any time to attend Parliament or one of its Committees to answer questions from Members of the Scottish Parliament (MSPs) about the activities of public bodies within their remit.

ROLE AND RESPONSIBILITIES OF THE MINISTER



The Minister

- ➔ Considers and approves the public body's strategic objectives and the policy and performance framework within which it operates;
- ➔ Secures and approves the allocation of public funds for public bodies;
- ➔ Approves key documents such as the Framework Document and corporate plan for most public bodies;
- ➔ Makes appointments to the Board;
- ➔ Approves the terms, conditions and remuneration of the Chair and Board members;
- ➔ Approves the Chief Executive's and staff pay remit in line with Scottish Government Pay Policy;
- ➔ Lays accounts, together with the annual report, of sponsored public bodies before Parliament (Non-Ministerial public bodies do this themselves);
- ➔ Fulfils any responsibilities specified in the founding legislation, charter or articles of association, such as approving the appointment of the Chief Executive; and
- ➔ Issues letters of strategic guidance to sponsored public bodies.



➤ The Role of the Scottish Government Sponsor Directorate

The day-to-day link between a sponsored body and the Minister is provided by the sponsor Directorate. Within the sponsor Directorate, a sponsor team will ensure that the public body is adequately briefed about the Scottish Government's policies and priorities. That team will monitor the body's activities on behalf of the Minister. However, civil servants from the sponsor Directorate will not normally attend Board meetings of the public body. On any occasion that they do, they should do so as observers, not participants, and are not party to decisions taken by the Board.

Responsibility for ensuring Non-Ministerial public bodies are appropriately briefed about the Scottish Government's policies lies with the relevant Director-General.

The sponsor team prepares a Framework Document which sets out formally the relationship between the public body and the Minister and officials. While Framework Documents vary according to the functions, powers and finances of the public body, the **Model Framework** in the **Scottish Public Finance Manual** provides a useful template.

The Framework Document for a Non-Ministerial public body is prepared by the body itself based on good practice examples in existence.

Where appropriate the Framework Document will be drawn up by the Scottish Government, in consultation with the public body, and it will be reviewed at least every two to three years.

The key focus for much of the sponsorship role is to support sponsored bodies in being accountable, high performing organisations, delivering Value for Money services, which meet people's needs, as outlined in their business plan. An excellent sponsorship function is underpinned by two key elements:

- ➔ good governance structures and processes; and
- ➔ good relationships with the public body, based on openness, trust, respect and mutual support.

MODEL FRAMEWORK DOCUMENT



Contents:

- ➔ The legislative basis under which the public body was established and its statutory functions, duties and powers;
- ➔ Aims and objectives, how these are to be delivered and the key targets to be achieved;
- ➔ The roles and responsibilities of Ministers, a sponsor Directorate, the Chair, Board members, the Chief Executive and other senior officials; and the public body's accountability to Ministers (where appropriate) and to the Scottish Parliament;
- ➔ Arrangements for the planning, budgeting and control of the public body's activities and expenditure, including funding, preparation of corporate and business plans and setting of performance targets;
- ➔ Arrangements for preparation and publication of the annual report and accounts and external audit procedures; and
- ➔ Responsibilities of the public body for recruitment, pay, grading and other personnel matters.



➤ Managing Relationships

Strategic and Operational Responsibility

It is important that the Board maintains a focus on strategy, performance and behaviour and is not diverted by detailed operational matters which are the responsibility of the Chief Executive and the Senior Executive Management Team.

The Board should clearly differentiate their role in strategic governance and leadership from that of operational management. The Board should protect the Chief Executive and Senior Executive Management Team from individual Board members becoming involved in operational matters. Individual Board members have no authority to instruct the Chief Executive or any member of their staff on such matters.

Decision-Making

The Board should give all matters reserved to them due consideration and take ownership of the decisions taken. For instance, the Board should not simply 'rubber stamp' strategy proposals or a draft corporate plan put forward by the Chief Executive. It is important that both the Chief Executive and the Board understand the distinct nature of their roles.

Audit Scotland's report on The Role of Boards provides useful information about the operation of Boards in the public sector, including a series of questions at Annex 3 for Boards and individual Board members to ask themselves about how well they are working.

The Chair and Board Members

Individual Board members should contribute fully to Board deliberations and exercise a healthy challenge function. This expectation extends to Executive Directors (where, as is the case in many NHS bodies, they are Board members). However, it is important that no individual Board member (or Chair) dominates the debates or has an excessive influence on Board decision-making. The Chair has an important role to play in ensuring that all Board members are enabled and encouraged to contribute to Board discussions.

As a Board member, you should support the Chair in their efforts to conduct Board business in an efficient and effective manner. However, you should not hesitate to challenge the Chair if you believe that a decision is wrong (even illegal) or is in contravention of the Framework Document or formal instruction from Ministers, or has been taken without a full and proper debate.

Relationships with Stakeholders

The Board needs to consider the concerns and needs of all stakeholders and actively manage its relationships with them. Stakeholders – and the general public – should have access to full and accurate information on the decision-making processes and activities of each public body and have the opportunity to influence decisions and actions.

Scottish Ministers expect all public bodies to communicate clearly with their stakeholders, make information widely available, consult thoroughly and imaginatively and seek feedback on the public body's performance, acting on it as appropriate.

COMMUNICATION WITH STAKEHOLDERS



The Board should consider:

- ➔ Holding an Annual Open Meeting;
- ➔ Holding Board meetings in public, unless there is a good reason not to;
- ➔ Publishing summary reports and/or minutes of meetings;
- ➔ Inviting evidence from members of the public in relation to matters of public concern;
- ➔ Consulting stakeholders and users on a wide range of issues; and
- ➔ Making business and corporate plans and the Annual Report and Accounts widely available.



➤ Diversity, Equality and Human Rights

Diversity

The Scottish Ministers expect all public bodies to champion diversity and mainstream equal opportunities. Equality, diversity and inclusion need to become central to the work and the way the public bodies operate. The Board should give specific consideration to the impact on equality of opportunity when developing policies and making decisions. The Board should also look at how information can be presented to different groups in formats that best suit their needs and find ways of consulting effectively with people with different needs and backgrounds.

Scottish Ministers particularly welcome applications for public appointments from groups that are under-represented on Scotland's public bodies, with the aim of ensuring that Boards of public bodies are broadly reflective of the wider Scottish population **and have a gender balance by 2020**. Public bodies are expected to take positive action to support and enable greater diversity of Ministerial appointments, through:

- ➔ taking an active role in **succession planning**, and providing advice to Ministers about the Board's membership needs, both for new and re-appointments;
- ➔ ensuring that suggested criteria for the selection of new Board members meet the needs of the body, are unbiased and are not unnecessarily restrictive;
- ➔ taking action both during and between Board member recruitment exercises to attract the broadest range of candidates to the work of the Board;

- ➔ providing mentoring, shadowing and training opportunities for potential Board members; and
- ➔ establishing a succession planning committee.

From April 2017, public authorities are required to report on the steps they are taking towards diversity amongst their members in terms of relevant protected characteristics. This will be through the mainstreaming reports that are published every two years as part of the requirements of the **Equality Act 2010 (Specific Duties)** (Scotland) Regulations 2012 and should form part of Board succession planning.

Equality

Equality and fairness are at the heart of the Scottish Government's ambition for a socially just and inclusive Scotland. They are central to its purpose, outcomes and approach to public service reform.

The public sector equality duty in the **Equality Act 2010** came into force in April 2011 – this is often referred to as the general duty. Scottish public authorities must have 'due regard' to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations. Scottish Ministers made regulations in May 2012 placing specific duties on Scottish public authorities, as defined in the regulations, to enable the better performance of the public sector equality duty. These are also known as the Scottish Specific Duties.

Public bodies should ensure that they operate in a way which promotes equality of opportunity and all policies must meet the requirements of equality legislation.



Human Rights

Under the **Human Rights Act 1998**, it is unlawful for a public body to act in a way that is incompatible with a right under the European Convention on Human Rights. The Board should seek assurances from the Chief Executive that the policies and procedures in place within the public body are compatible with Convention rights. The Board should also be committed to protecting the privacy of individuals in relation to how personal information is used as required by the **Data Protection Act 1998**.

FURTHER INFORMATION AND CONTACTS



The Data Protection Act 1998

Equality Act 2010

Equality Act 2010 (Specific Duties) (Scotland)
Regulations 2012

Guidance on Succession Planning for Public Bodies

Freedom of Information (Scotland) Act 2002

Information Commissioner's Office (Data
Protection)

Human Rights Act 1998

Principles of Strategic Engagement – December
2011

The Commissioner for Ethical Standards in Public
Life

Scottish Information Commissioner (FOI)

Standards Commission for Scotland



Effective Financial Management Guidance Note 4





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Further Information



> Overview

The Board, Chief Executive and senior management team must demonstrate effective financial stewardship of public funds. They must meet the requirements of the [Public Finance and Accountability \(Scotland\) Act 2000](#) and the [Scottish Public Finance Manual](#), including the need to account for the use of public money and the safe keeping of public assets.

This section explains key aspects of the [Scottish Public Finance Manual](#) which aim to ensure proper stewardship of public funds. It covers the allocation of funds to public bodies by Scottish Ministers, the requirement for robust financial monitoring and reporting systems, the importance of effective risk management and internal controls, and the processes by which internal and external audit provide assurance on the proper management of public funds and resources.

> Key Messages

- The Board satisfies itself that the public body has proper processes, systems and controls in place and receives assurances from the Chief Executive that the [Scottish Public Finance Manual](#) is being complied with. The Board also seeks assurance that systems are in place to provide accurate and timely information to the Scottish Government as part of the management of the Scottish Budget.
- The Board receives regular financial reports showing expenditure against planned budgets and progress towards financial targets and efficiency savings.
- The Board scrutinises financial and corporate plans and provides challenge on performance against these plans and any underlying assumptions.
- The Board satisfies itself that the public body has systems in place to secure Best Value in the performance of its functions.
- The Board satisfies itself that systems are in place for risk management and internal control extending from front-line services through to the Board.
- Where an organisation is responsible for expenditure, an Audit Committee must be established to advise the Board on internal control (including corporate governance) and audit matters.
- The Board is responsible for approving the annual accounts;
- The Board of a sponsored body is responsible for ensuring the Minister is provided with the annual report and accounts to be laid before the Scottish Parliament. In the case of a Non-Ministerial body, the Board is responsible for ensuring the annual report and accounts are laid before Parliament. The Chief Executive as the Accountable Officer of the public body is responsible for signing the accounts and ultimately responsible to the Scottish Parliament for their actions.
- On completion of the external audit of the annual accounts, the appointed auditor sends a copy of the accounts and the audit opinion to the Auditor General, who may add a report of their own, before the accounts and reports are laid before the Parliament.
- The [Public Audit and Post-legislative Scrutiny Committee](#) uses reports of the Auditor General as the basis for conducting enquiries.



> Key References and Contacts

Scottish Public Finance Manual

Scottish Public Finance Manual (Best Value)

Audit Scotland

Audit Scotland (Improving Public Service Efficiency)

Public Finance Accountability (Scotland) Act 2000

Scottish Parliament (Public Audit and Post-legislative Scrutiny Committee)

> The Scottish Public Finance Manual

The primary document that governs all matters relating to public finance and reporting in Scottish public bodies is the **Scottish Public Finance Manual** (SPFM).

The SPFM provides guidance to your public body and its sponsor Directorate on the proper handling of public funds. It is mainly designed to ensure compliance with statutory and parliamentary requirements (in particular, the **Public Finance and Accountability (Scotland) Act 2000**) to promote Value for Money and high standards of propriety, and to secure effective accountability and good systems of internal control.

The Board must ensure that the public body has processes and systems in place to ensure compliance with the SPFM. Board members should look to the Chief Executive (Accountable Officer) and staff of the public body for advice and assurance that the SPFM is being complied with.

The Accountable Officer has a personal responsibility for the propriety and regularity of the finances under their stewardship and for the economic, efficient and effective use of all related resources. Accountable Officers are personally answerable to the Parliament for the exercise of their functions and have a statutory duty to obtain written authority from, as the case may be, the Scottish Ministers or relevant governing body before taking any action that they consider may be inconsistent with the proper performance of their functions. The system is designed to promote good governance.

It is important to recognise that the Accountable Officer's role in relation to Value for Money is not a narrow one, restricted to considerations affecting that body, but, as defined by the SPFM, **Value for Money is to be judged for the public sector as a whole.**

This wider consideration of Value for Money would be relevant to considerations of property and accommodation, for example, in relation to shared services.

> Budgeting in a Public Body

The resources allocated to bodies by Scottish Ministers are determined as part of the Spending Review process. Spending Reviews take place every few years.

This process dovetails with the United Kingdom Spending Review which largely sets the overall Scottish budget for each Spending Review period. After deduction has been made for the costs of the Scotland Office plus the Scottish Parliamentary Corporate Body and Audit Scotland, the Scottish Government has full discretion to decide how the Scottish budget should be divided between its various portfolios, Non-Ministerial Offices and programmes. The grant-in-aid necessary to support the agreed budgets of sponsored bodies is authorised by the Scottish Parliament in the annual Budget Act.

Sponsored bodies are expected to provide supporting material to the sponsor Directorate as part of the latter's contribution to both the Spending Review and the annual budgetary process. Non-Ministerial Offices provide supporting material to the Finance Directorate within the Scottish Government. Wherever possible, this should be done as part of their own annual planning arrangements and they should therefore take



all reasonable steps to harmonise the planning process with those of the Spending Review and annual budgetary process.

The Scottish Government should write to sponsored bodies at least annually setting out the policies and priorities which Ministers wish them to pursue. Where a public body receives grant-in-aid, this is most commonly done through a Budget Allocation and Monitoring letter issued in advance of the financial year. This letter confirms the resources that Ministers have allocated to the body and sets out the priority areas of work that Ministers wish the body to pursue.

Where a sponsored body does not receive grant-in-aid, an equivalent letter should be received from the Scottish Government covering the priority areas to be pursued. The letter should draw on material from the corporate plan and the Spending Review and any further instructions from Ministers.

Typically the Board of a sponsored body will be responsible for the approval of the corporate plan (and possibly operational plans) before submission to the sponsor Directorate. The Board should receive regular financial reports (at least quarterly) showing expenditure/use of resources against planned budgets and progress towards financial targets including projected efficiency savings. Board members should provide the 'challenge function', carefully scrutinising plans, performance against plans and underlying assumptions.

The Board will also approve high value, novel or contentious expenditure proposals for submission to the Scottish Government and Ministers for approval when it is necessary/appropriate to seek approval from the Scottish Government.

➤ **Best Value, Efficient Government and Relocation**

Best Value

Best Value provides a common framework for continuous improvement in public services in Scotland, and is a key foundation of the Scottish Government's public service reform agenda.

The principles of Best Value complement good governance standards and offer a sound approach to running a public service organisation.

The duty of Best Value, as set out in the SPFM, is to make arrangements to secure continuous improvement in performance whilst maintaining an appropriate balance between quality and cost and in making those arrangements and securing that balance, to have regard to economy, efficiency, effectiveness, the equal opportunities requirements and to contribute to the achievement of sustainable development. Best Value ultimately is about creating an effective organisational context from which public bodies can deliver their key outcomes.



Accountable Officers appointed by the **Principal Accountable Officer for the Scottish Administration** have a specific responsibility to ensure that arrangements have been made to secure Best Value. The Scottish Ministers expect all Accountable Officers to comply with the duty of Best Value and for any associated matters relating to Value for Money, judged for the public sector as a whole placed upon them. In addition the Boards (or equivalents) of relevant public service organisations have corporate responsibility for promoting the efficient and effective use of staff and other resources by the organisations in accordance with the principles of Best Value. Under the terms of the Public Finance and Accountability (Scotland) Act 2000 the implementation of the duty of Best Value by relevant public service organisations is subject to scrutiny by the Auditor General for Scotland.

As a Board member, you should always bear in mind the need for your public body to continually secure Best Value in the performance of its functions. In a tight financial climate, service improvements may need to be funded from internal efficiencies.

Audit Scotland has adopted a generic framework for Best Value for all public bodies. This enables a consistent approach to auditing against Best Value principles across the public sector. Sustainable development and equalities are themes that run through the framework. It is a risk-based approach, recognising the increasing focus on partnership working, with the specific aim of:

- ➔ Reporting on overall governance and management arrangements
- ➔ Reporting on the delivery of outcomes
- ➔ Protecting taxpayers' interests by examining the use of resources
- ➔ Increasing the emphasis on self-assessment by public bodies with audit support and validation.

Efficient Government

The **Public Services Reform (Scotland) Act 2010, section 32(1)(b)** provides that as soon as is reasonably practicable after the end of each financial year each listed public body must publish a statement of the steps it has taken during that financial year to improve efficiency, effectiveness and economy in the exercise of its functions. Efficiency is not about making cuts, it is about enhancing Value for Money, improving public service and raising productivity and as such efficient Government is focused on the sound management of resources and ensuring that public bodies continually review their operations to identify opportunities for efficiency improvements. Efficiency improvements are about improving the ratio of resource inputs to outputs and can be made in any area, including the administration and delivery of services and in the procurement of goods and services. By making efficiency savings, more resources are available for re-investing in the delivery of public services.

Opportunities for efficiency improvements within your body should be identified as part of the corporate and business planning processes. As a Board member you should ensure that such opportunities are being identified and that arrangements are in place for measuring, monitoring, and reporting on the delivery of efficiency savings to the Board.

This should include having efficiency performance indicators (such as a range of input/output ratios) that will allow you to routinely monitor the efficiency of your public body's operations.



Audit Scotland's report on Improving Public Service Efficiency identified that public bodies will need to improve productivity and efficiency in the delivery of public services to meet continued demands on public spending. Audit Scotland concluded that public bodies will need to take a more fundamental approach to identifying priorities, improving the productivity of public services, and improving collaboration and joint working. A **Good Practice Checklist** was produced to help leaders in public bodies check and challenge their approach and ultimately support better productivity and efficiency.

Relocation

Relocation policy is related to Best Value and Efficient Government. Location reviews are triggered by the creation or reorganisation of bodies, as well as by property events (such as lease breaks). Relocation remains an option as part of streamlining the public bodies landscape, but should only be pursued following a rigorous and transparent process that shows any move provides best possible Value for Money for the public finances and optimum service delivery. Ministers will expect Board members to have regard to this policy in decisions they make on the most efficient and effective way of delivering services.

> Annual Report and Accounts

The accounting guidance issued to those bodies that are subject to reporting requirements set by the Scottish Ministers will set out the applicable accounting policies and principles and disclosure requirements.

Where the Scottish Government makes funds available to a sponsored body the Scottish Government will account to the Parliament

for the provision of those funds in the Scottish Government's annual accounts. A body which is a separate accounting entity, such as a Non-Ministerial body, will account for the use of those funds (and of other funds in its stewardship) in its own annual accounts.

The Board of a sponsored body is responsible for approving the body's annual accounts and ensuring that the Minister is provided with the annual report and accounts to be laid before the Scottish Parliament. The Chief Executive as the Accountable Officer of the public body is responsible for signing the accounts and ultimately responsible to the Scottish Parliament for their actions.

The accounting requirements for a public body will normally be set out in its founding legislation and/or its Framework Document.

Performance Measurement and Reporting

Key targets for efficiency and effectiveness of operations and quality of service provided will be agreed as part of the planning process. The Board should ensure that robust systems are in place to monitor performance against these targets. A report on the extent to which performance targets have been achieved should be incorporated in the Annual Report, where appropriate giving a summary of trends over a five-year period.

> Risk Management and Internal Controls

Risk concerns uncertainty of outcome. The delivery of an organisation's objectives is surrounded by uncertainty which both poses threats to success and offers opportunities for increasing success. Risk is defined as this uncertainty of outcome, whether positive opportunity or negative threat, of actions and events.



Each public sector organisation's internal control systems should include arrangements for identifying, assessing and managing risks. Risk management should be closely linked to the business planning process and performance monitoring arrangements.

Public bodies are required to provide a **Governance Statement** in order to comply with best practice as recommended by the **Turnbull Committee Report**. As part of that process, Directors (in the case of public bodies, the Board) are required to review, at least annually, the effectiveness of all controls, including financial, operational and compliance controls. Organisations need to show that they have established and maintained effective and on-going procedures for identifying, evaluating and managing business risks.

The Board must ensure that there is a system in place for continuous risk management which extends from the front-line services through to the Board. This involves having a framework of prudent and effective controls in place to enable risks to be identified, assessed and managed. The Board itself should regularly review key business risks affecting the organisation.

Audit Committee

Where a body is responsible for a budget, an **Audit Committee** must be established to advise the Board and Accountable Officer on internal control (including corporate governance) and audit matters.

All accounting entities to which the **SPFM** is directly applicable should establish an Audit Committee. The Board (or Accountable Officer) should establish an Audit Committee of at least three members, all of whom should be either Board members or independent external members.

All Audit Committees in organisations to which the **SPFM** is directly applicable are subject to the guidance in the **Audit Committee Handbook** published by the Scottish Government. A degree of flexibility will be appropriate in applying the guidance in the Handbook, particularly with regard to smaller accounting entities.

The exact role of the Audit Committee will depend on the particular circumstances of the organisation. Examples of issues affecting the role of the Audit Committee include the strategic risk management arrangements that the Board and/or Accountable Officer have established, whether or not there is a separate Risk Committee and the whistleblowing arrangements which have been put in place as part of the anti-fraud and corruption arrangements. An Audit Committee should not have any executive responsibilities or be charged with making or endorsing any decisions, although it may draw attention to strengths and weaknesses in control and make suggestions for how weaknesses might be dealt with. The overarching purpose of the Audit Committee is to advise the Board and/or Accountable Officer; it is then the Board and/or Accountable Officer who makes the relevant decisions.

To fulfil its role, an Audit Committee should generally meet around three or four times per year. Additional meetings should be convened as deemed necessary, reflecting the needs of the organisation.

All Audit Committee members, whatever their status or background, will have training and development needs. Those who have recently joined the Audit Committee will need induction training, either to help them understand their role; or if they have audit committee experience elsewhere, to help



them understand the organisation. In particular, those joining a public sector Audit Committee for the first time will need training to help them understand public

sector standards, especially those relating to governance and accountability.

AUDIT COMMITTEE



The Audit Committee should:

- Have written terms of reference from the Board, which encompass all the assurance needs of the Board and Accountable Officer. Within this, the Audit Committee should have particular engagement with the work of Internal Audit, the work of the External Auditor and with financial reporting issues;
- Support the Board and Accountable Officer by reviewing the scope, reliability and integrity of the assurances provided to them;
- Highlight those aspects of risk management, governance and internal control that are functioning effectively and, just as importantly, those that need to be improved;
- Have at least three non-executive members, under the chairmanship of a non-executive member who should be someone other than the Chair of the public body or of any other sub-committee of the Board;
- Own corporately an appropriate skills mix to allow it to carry out its overall function. At least one of the Committee members should have recent and relevant financial experience;
- Have a Chair whose role goes beyond chairing meetings – this is key to achieving Committee effectiveness. The additional workload should be taken into account in the appointment of the Chair;
- Have a Chair who is involved in the appointment of new Committee members, including providing advice on the skills and experience being sought by the Committee, and is responsible for ensuring that the work of the Audit Committee is appropriately resourced;
- Be independent and objective; in addition each member should have a good understanding of the objectives and priorities of the organisation and of their role as an Audit Committee member;
- Encourage the Accountable Officer, Head of Internal Audit and Director of Finance to attend meetings (though not as members of the Audit Committee);
- Should have regular and on-going liaison with External Auditors; and
- Should ensure it has effective communication with the Board and Accountable Officer, the Head of Internal Audit, the External Auditor, and other stakeholders. In addition, the role of the Chair and provision of appropriate secretariat support are important elements in achieving Audit Committee effectiveness.



Internal Audit

In any government related organisation there will be two significant sources of assurance that the Audit Committee can be certain will be present: Internal Audit and External Audit. Internal Audit provides an independent, objective assurance and consulting activity designed to add value and improve an organisations operations.

Internal Audit is an internal appraisal service, established by the management of an organisation, to review the internal control system. It objectively examines, evaluates and reports on the adequacy of internal control as a contribution to the proper, economic, efficient and effective use of resources. The scope of the Internal Audit service should be unrestricted across the organisation's operations. The Internal Auditors should have sufficient authority to access assets, records and personnel as necessary for the discharge of their responsibilities.

The work of Internal Audit is likely to be the single most significant resource used by the Audit Committee in discharging its responsibilities. This is because the Head of Internal Audit, in accordance with the Public Sector Internal Audit Standards, has a responsibility to offer an annual opinion on the overall adequacy and effectiveness of the organisation's risk management, control and governance processes. There is consequently a major synergy between the purpose of the Head of Internal Audit and the role of the Audit Committee.

The role of the Audit Committee in relation to Internal Audit should include advising the Board and Accountable Officer on:

- The Audit Strategy and periodic Audit Plans, forming a view on how well they support the Head of Internal Audit's responsibility to provide an annual opinion on the overall adequacy and effectiveness of the organisation's risk management, control and governance processes;
- The results of Internal Audit work and the management response to Internal Audit findings; and
- Internal Audit coverage.



External Audit

External Audit provides independent scrutiny of an organisation's finances, performing an audit of the financial statement of an organisation. External Audit can also give assurance that organisations have used their resources in discharging their functions properly, efficiently and effectively e.g. through a performance audit. The Audit Committee should engage with the activity of the External Auditor, ensuring that examinations are carried out effectively. As well as considering the results of External Audit work, they should enquire about and consider the External Auditor's planned approach and the way in which the External Auditor is co-operating with Internal Audit to maximise overall audit efficiency, capture opportunities to derive a greater level of assurance and minimise unnecessary duplication of work.

The **Auditor General for Scotland** is the External Auditor of a number of public bodies.

The Auditor General may appoint a member of the staff of Audit Scotland or an appropriately qualified professional firm as the auditor of your body. Where a public body is incorporated under the Companies Act, the auditor is appointed by the members of the company (i.e. the Board members).

External Audit of the Annual Accounts

An External Audit of the annual accounts undertaken by the Auditor General is conducted in accordance with the **Public Finance and Accountability (Scotland) Act 2000** and the **Code of Audit Practice issued by Audit Scotland** on behalf of the Auditor General.

On completion of the External Audit, the appointed auditor sends a copy of the accounts and the audit opinion to the Auditor General. The Auditor General may then add a report (for example, on a qualification of the auditor's opinion or other matter drawn to their attention by the auditor) before sponsored bodies send their accounts and reports to the Scottish Ministers

for laying before the Parliament. Non-Ministerial bodies lay their accounts directly before the Parliament.

EXTERNAL AUDIT OF THE ANNUAL ACCOUNTS ▼

The appointed auditor will:

- Issue an opinion as to whether the accounts give a true and fair view of the state of affairs of the public body at the year end and of its income and expenditure for the year and whether the accounts have been prepared in accordance with any applicable legislation and accounts direction;
- Issue an opinion (known as the "regularity" opinion) as to whether the income and expenditure has been properly received or incurred in accordance with legislation, the Budget Act for the relevant year and any other guidance issued by the Scottish Ministers;
- Review the Governance Statement prepared by the body and report if it is not in accordance with the auditor's understanding of the body;
- Review the body's arrangements in relation to financial sustainability, financial management, governance and transparency and Value for Money;
- Consider the body's governance arrangements and arrangements for prevention and detection of fraud; and
- Provide reports to the Board, Audit Committee and/or management on matters arising during the course of the audit.



Performance Audit

Performance audits look at the performance of a public body and include a Value for Money audit which is an examination of the economy, efficiency and effectiveness with which a body has used its resources to carry out its functions.

The **Auditor General** has powers to conduct performance audits. These audits examine the economy, efficiency and effectiveness of aspects of the public sector. They can assess:

- performance across several public bodies in a particular theme – for example, managing changes in the workforce; or
- performance of an individual public body or a particular aspect of that body's performance.

Performance audits may be conducted by Audit Scotland staff, the appointed auditor, consultants or any combination of these. A draft report on the audit will be discussed with the public body (or bodies) to ensure factual accuracy. Once finalised, the report will be laid before the Scottish Parliament and published with an accompanying news release. In most cases, the **Auditor General** will present the report to the **Scottish Parliament's Public Audit and Post-legislative Scrutiny Committee**. Performance audit reports may contain material such as checklists to assist non-executive Board members in holding management to account.

For many public bodies, the founding legislation provides that the **Auditor General** will appoint the auditor. In such circumstances, the **Auditor General** has a statutory right to carry out a Value for Money examination.

Where the **Auditor General** is not the auditor of a public body and has not appointed the auditor, they should have rights under statute or by agreement to carry out an inspection of the use of resources by those bodies.

➤ The Public Audit and Post-legislative Scrutiny Committee of the Scottish Parliament

The **Public Audit and Post-legislative Scrutiny Committee** of the Scottish Parliament is one of the committees established under the Standing Orders of the Parliament. The Public Audit and Post-legislative Scrutiny Committee uses the reports of the Auditor General, which are laid before the Parliament, as the basis for conducting enquiries. It is chaired by a senior member of the Opposition and conducts its business on non-party political lines.



PUBLIC AUDIT AND POST-LEGISLATIVE SCRUTINY COMMITTEE

The key stages:

- The Auditor General's report is discussed with the body concerned and the facts are agreed;
- The report is laid before Parliament and published together with a Press Release;
- If an enquiry is to be conducted by the Public Audit and Post-legislative Scrutiny Committee, witnesses are called to give evidence – usually the Accountable Officer of the public body and the Accountable Officer of the sponsor Directorate. It is possible that the Chair or a Board member of a public body will be required to appear as a witness, where appropriate;
- After the evidence session, the Committee drafts and approves a report which is published; and
- A formal response to the Committee's report is provided by the Scottish Government (or by the body in consultation with the Scottish Government) within two months of the Committee's report being published.

FURTHER INFORMATION



Audit Committee Handbook

Audit Scotland (Auditing Best Value in Central Government Bodies)

Audit Scotland (Code of Audit Practice)

Audit Scotland (Efficient Public Services Good Practice Checklist)

Public Finance Accountability (Scotland) Act 2000

Public Services Reform (Scotland) Act 2010

Scottish Public Finance Manual (Best Value)

Scottish Public Finance Manual (Risk Management)

Scottish Public Finance Manual (Spending Reviews)

ISSUES ON WHICH BOARD MEMBERS SHOULD SEEK ASSURANCE

Typically the range of issues on which Board members should seek assurance will include:

- compliance with the SPFM, Framework Document and legislation (e.g. founding legislation, Equality Act 2010);
- financial monitoring and reporting arrangements and arrangements for delivering and reporting on efficiency savings;
- arrangements for securing Best Value for the organisation and Value for Money for the public sector as a whole;
- systems for identifying, assessing and managing risks;
- processes for preventing and detecting fraud, and, linked to this, whistleblowing procedures;
- arrangements for business continuity and disaster recovery;
- information management systems, including in relation to protection of personal data and compliance with Freedom of Information legislation;
- propriety and regularity of public finances;
- management systems that have clear lines of delegation and accountability;
- arrangements for meeting procurement requirements;
- arrangements for meeting the body's moral and legal obligations to its employees; and
- complaints handling procedures.

Boards will require to supplement these areas of assurance having regard to the purpose of the organisation and the nature of the business conducted.



Ethics and Standards of Behaviour

Guidance Note 5





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> Overview

The Scottish public has high expectations of those who serve on the Boards of public bodies and the way in which they conduct themselves in undertaking their duties. As a Board member, it is your personal responsibility to ensure that you meet these expectations by ensuring that your conduct is above reproach.

This section outlines how the Board exercises leadership in determining the values and standards of the organisation.

It describes the ethical framework introduced by the Ethical Standards in Public Life etc. (Scotland) Act 2000, particularly the nine key principles of the Model Code of Conduct which all Board members are required to observe when discharging public duties. Through this framework, the Scottish Ministers aim to ensure confidence in Scottish public bodies, the Boards of those bodies and individual Board members.

> Key Messages

- Board members of bodies listed in **Schedule 3 of the Ethical Standards Act** are subject to the nine key principles outlined in the **Model Code of Conduct**.
- It is important to take care when expressing views so you do not compromise your position as a member of a public body.
- All public bodies have a duty to publish a Register of Board Member Interests. There are specific interests which you must register and it is your personal responsibility to ensure that your entries are current.
- Board members must declare financial and non-financial interests which might be perceived to influence their contribution to a discussion or decision in Board proceedings. This requirement also applies to interests held by your close family, friends and business associates.
- The test on making a declaration is whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your discussion or decision-making.
- You must ensure that the reputation of your public body is not damaged by the receipt (or provision) of inappropriate gifts and hospitality.
- The **Commissioner for Ethical Standards in Public Life in Scotland** (the Commissioner) considers complaints about members of devolved public bodies who are alleged to have contravened the Code of Conduct. On finding a contravention of the Code, the Commissioner reports to the **Standards Commission** for adjudication. Where a hearing is held by the Standards Commission and a contravention of the Code is established, the Standards Commission determines the level of sanction to be applied.
- **Part 4 of The Ethical Standards in Public Life etc. (Scotland) Act 2000** makes provision for Codes of Conduct for bodies not listed in Schedule 3 – such bodies and Board members are not subject to investigation by the **Commissioner**, or sanction by the **Standards Commission**.

> Key References and Contacts

The Commissioner for Ethical Standards in Public Life in Scotland

The Standards Commission for Scotland

Model Code of Conduct for Board Members
Standards Commission Guidance Note



> Introduction to Ethical Standards in Public Life

The Ethical Standards in Public Life etc. (Scotland) Act 2000 (Ethical Standards Act) introduced the power to specify the principles and rules that underpin public life in Scotland, putting ethical standards and probity at the heart of decision-making in public service. The principles set out below should be observed by all Board members of public bodies in Scotland.

> Key Principles

Duty

You have a duty to uphold the law and act in accordance with the law and the public trust placed in you. You have a duty to act in the interests of the public body of which you are a member and in accordance with the core functions and duties of that body.

Selflessness

You have a duty to take decisions solely in terms of public interest. You must not act in order to gain financial or other material benefit for yourself, family or friends.

Integrity

You must not place yourself under any financial, or other, obligation to any individual or organisation that might reasonably be thought to influence you in the performance of your duties.

Objectivity

You must make decisions solely on merit and in a way that is consistent with the functions of the public body when carrying out public business including making appointments, awarding contracts or recommending individuals for rewards and benefits.

Accountability and Stewardship

You are accountable for your decisions and actions to the public. You have a duty to consider issues on their merits, taking account of the views of others and must ensure that the public body uses its resources prudently and in accordance with the law.

Openness

You have a duty to be as open as possible about your decisions and actions, giving reasons for your decisions and restricting information only when the wider public interest clearly demands.

Honesty

You have a duty to act honestly. You must declare any private interests relating to your public duties and take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership

You have a duty to promote and support these principles by leadership and example, and to maintain and strengthen the public's trust and confidence in the integrity of the public body and its members in conducting public business.



Respect

You must respect fellow members of your public body and employees of the body and the role they play, treating them with courtesy at all times. Similarly you must respect members of the public when performing duties as a member of your public body.

Board members should apply these principles in their dealings with fellow members of their public body, its employees and other stakeholders. Similarly Board members should also observe these principles in their dealings with the public when performing duties as a member of a public body.

➤ The Ethical Standards Framework

The key elements of the ethical framework introduced by the **Ethical Standards in Public Life etc. (Scotland) Act 2000** are:

- ➔ A **Standards Commission for Scotland** (Standards Commission) and a Chief Investigating Officer (now the **Commissioner for Ethical Standards in Public Life in Scotland**) to oversee the ethical framework;
- ➔ A **Model Code of Conduct for Members of Devolved Public Bodies** on a statutory basis for those bodies listed in Schedule 3 of the Act;
- ➔ Codes for smaller bodies; and
- ➔ Publicly available Registers of Members' Interests.

Through this ethical framework, the Scottish Ministers aim to ensure that Scottish public bodies and all who serve on them conduct their business in a way which merits and sustains public confidence.

➤ The Commissioner for Ethical Standards in Public Life in Scotland

The **Public Services Reform (Commissioner for Ethical Standards in Public Life in Scotland etc.) Order 2013** came into force on 1 July 2013. The Order transferred the functions of the Public Standards Commissioner for Scotland and the Public Appointments Commissioner for Scotland to a single **Commissioner for Ethical Standards in Public Life in Scotland** (the Commissioner).

The Commissioner is an independent office holder who works in two areas:

- ➔ Public appointments, regulating how people are appointed to the Boards of public bodies in Scotland; and
- ➔ Public standards, where the Commissioner can investigate a complaint about a councillor or a member of a devolved public body who is alleged to have contravened the councillors' or the appropriate public body's Code of Conduct.



Where the Commissioner identifies that a breach or breaches of a Code or Codes may have occurred, the Commissioner will report on the outcome of these investigations to the Standards Commission for adjudicatory action and application of sanctions, where appropriate.

➤ The Standards Commission for Scotland

The **Standards Commission** is an independent statutory body which has responsibility for enforcing compliance with the Codes of Conduct and providing general guidance on their interpretation. It adjudicates on cases of alleged contravention of the Codes of Conduct referred to it after investigation by the Commissioner and, where a hearing is held, has the power to impose sanctions. The Standards Commission has responsibility for various aspects of the ethical framework including:

- ➔ adjudicating on cases of alleged contravention of the Codes of Conduct for Members of Devolved Public Bodies reported to it by the Commissioner following investigation of a complaint;
- ➔ promoting and enforcing Codes of Conduct and providing guidance on the operation of Registers of Interests;
- ➔ providing **guidance** to public bodies on:
 - ➔ the promotion and observance of high standards of conduct by members of devolved public bodies and assisting them in that task;
 - ➔ the Commission's relationship with public bodies in carrying out its functions; and
 - ➔ the Registers of Interests for Members of Devolved Public Bodies.

On finding a contravention of a Code of Conduct for bodies listed in Schedule 3 of the **Ethical Standards in Public Life etc. (Scotland) Act 2000**, the **Standards Commission** can impose sanctions ranging from censure, or suspension from meetings of the public body for up to one year, to disqualification for up to five years. Details of the full range of sanctions available to the Commission are listed in **Annex A of the Members' Model Code of Conduct**.

The **Standards Commission** can also consider particular circumstances where it would be contrary to the spirit of the Code for it to be applied. In exceptional circumstances, it can issue dispensations to allow Members of public bodies, including councillors, to participate in discussion and vote on certain matters where, due to financial or non-financial interests, they would otherwise be prohibited from such participation.

➤ Code of Conduct for Board Members

Upon appointment to the Board, you should have been provided with a copy of your public body's Code of Conduct for Board Members, which forms part of your terms and conditions.

You must not at any time advocate or encourage any action contrary to the Code of Conduct. It is your personal responsibility to make sure that your actions comply with the provisions of the Code at all times as the Code contains the standards against which your conduct will be measured. You should review regularly, and at least annually, your personal circumstances against the requirements of the Code.

If you are uncertain about any aspect of the Code, you should seek advice from the Standards Officer in your public body. You



may also choose to consult your own legal and financial advisers. The **Standards Commission** also provides advice and guidance on the Code.

The nine key principles of public life are mentioned earlier in this section. The **Standards Commission guidance** to devolved public bodies will provide you with more detailed information on these principles. The following paragraphs provide a brief snapshot of information about parts of the Model Code of Conduct which Board members will require to give care and consideration to when undertaking their duties.

> Gifts and Hospitality

As a Board member, you should ensure that the reputation of your public body is not damaged through the receipt (or provision) of inappropriate gifts and hospitality. →

> Bribery

Board members must be familiar with the provisions of the **Bribery Act 2010** which came into force on 1 July 2011 and their organisation's policy in this area. The Act makes it a criminal offence for a person to take part in active bribery (making a bribe) or passive bribery (receiving a bribe). All public bodies operate a zero tolerance approach to bribery, with any allegations investigated in accordance with the relevant procedures and reported to the appropriate authorities.

> Conflicts of Interest

Public bodies should have in place clear rules and procedures for managing conflicts of interests. Together with the rules on registration of interests, this ensures transparency of your interests which might influence, or be thought to influence, your actions. You should note that the appearance of a conflict of interest in terms of public perception can be every bit as damaging as an actual conflict – both should be avoided.

GIFTS AND HOSPITALITY



- Do not canvass or actively seek gifts or hospitality;
- Your conduct should not foster the suspicion of any conflict between your official duties and your private interests;
- Your actions, when acting in an official capacity, should not give the impression of having been influenced by a gift or consideration to show favour or disfavour to any person or organisation;
- Do not accept any offer of a gift or hospitality from any individual or organisation that stands to gain from a decision that your public body may be involved in determining or that is seeking to do business with your public body;
- You should usually refuse offers of gifts and/or hospitality except in the following cases: gifts of an isolated and trivial character under £50; normal hospitality associated with your duties and reasonably regarded as appropriate; or gifts received on behalf of the public body;
- Do not accept repeated hospitality or repeated gifts from the same source; and
- If you are in doubt about the propriety of accepting a gift or an item of hospitality you should contact the Standards Officer and/or the Chair for advice.



Handling Conflicts of Interest

Public confidence in your public body and its Board members depends on it being clearly understood that decisions are taken in the public interest and not for any other reason. In deciding whether to declare an interest, the key test is whether a member of the public, acting reasonably, might think that a particular interest could influence you.

> Registration of Interests

All devolved public bodies subject to the **Ethical Standards in Public Life etc. (Scotland) Act 2000 (Register of Interests) Regulations 2003**, as amended, have a duty to set up, maintain and make available for public inspection a register of Board member interests. The regulations describe the detail and timescale for registering. The **Model Code** is very specific about the interests that you, as a Board member, must register and these include:

REGISTRATION OF INTERESTS



- Remuneration from employment, self-employment or directorships;
- Related undertakings i.e. certain unremunerated directorships;
- Contracts with the public body;
- Gifts and hospitality;
- Houses, land and buildings that you own or have an interest in which are of significance or relevance to, or bear upon the work and operation of, the public body;
- Shares and securities – holdings in a company or organisation which are of significance or relevance to, or bear upon the work and operation of, the public body; and
- Non-financial interests including membership or holding office in other public bodies, clubs, societies and organisations such as Trade Unions and voluntary organisations.

Your Code of Conduct will contain definitions of what is required under each of these categories and if you are in any doubt as to what you should or should not be registering, you should discuss this with the Standards Officer, the Chair and/or the Standards Commission.

The Register should also be available for inspection by the public (electronic and paper version). Public bodies should prepare a page for this purpose on their website and ensure that it is operational. The electronic version of the Register does not need to include any personal information that would compromise personal security although the full details would be made available for public inspection in hard copy.

Board members are required to keep their entries in the Register of Interests up-to-date and this involves notifying the Standards Officer of any new interest or change to an existing interest within one month of the change.

Declaration of Interests

In deciding whether to declare an interest, the key test is whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your discussion or decision-making in your role as a member of a public body.

If you have a financial, or non-financial, interest you must declare your interest at Board meetings and withdraw from decision-making on the basis of such an interest when it is appropriate to do so.



Non-Declaration of Interest

Where a material conflict of interest exists and a Board member does not declare their interest and withdraw, the Chair should take appropriate action to ensure that the Board (and the Board member concerned) is not compromised. In the event that a Board member refuses to leave the room when asked by the Chair to do so, the Chair should suspend the meeting and reconvene without the Board member concerned being present. Board members should bear in mind that any such action on their part may lead to an investigation by the Commissioner and the matter thereafter referred to the Standards Commission, which may apply a sanction in the event that it determines a breach of the Code of Conduct has occurred.

Frequent Declarations of Interest

If as a Board member you are frequently declaring interests at meetings, you should consider whether it is appropriate for you to continue in your role. In such circumstances, you may wish to discuss your continued appointment as a Board member with the Chair.

Dispensations

The **Standards Commission** does have the power to issue dispensation (where it is deemed to be in the public interest) to allow Board members to participate in a discussion and vote, despite the fact they have financial or non-financial interests which would normally prevent them from participating in discussion and voting.

In addition to general dispensations, individual applications for dispensations in exceptional circumstances can be made to the **Standards Commission** and may be granted where it is in the public interest to do so. However, Board members must not take part in any discussion or vote on a matter (in which they are conflicted) unless and until they have actually received a dispensation.

> Confidentiality

On occasions, Board members will be required to treat discussions, documents and other information relating to the work of the body in a confidential manner. It is imperative that Board members respect this duty of confidentiality at all times. In particular, as a Board member you should never use information to which you have privileged access for personal or financial gain or in a way that brings the public body into disrepute.

> Lobbying

The Code of Conduct sets out clear guidance in respect of dealing with lobbyists and lobbying. If you have any concerns over the approach or methods used by anyone in their contacts with you, you should discuss the matter with your body's Standards Officer and/or the Chair.

> Use of Social Media

When using social media the distinction between work and private life can become blurred, and speedily made comments can be misconstrued. It is important to take special care when expressing views on social media not to compromise your position as a member of a public body. Social media offers many benefits in communicating with stakeholders and interested parties. However, you should always remember that hastily expressed views through social media can reach large (sometimes unintended) audiences instantaneously and can be difficult to retract if required to do so. Your public body should have a policy in place about the use of social media. You should familiarise yourself with the content of that policy to protect the public body's reputation, its legal obligations, its information and its systems. You will be expected to approach any use of social media platforms responsibly and with care.



> Whistleblowing

Although not directly covered by the Ethical Standards Framework, Board members have a responsibility to ensure that staff have confidence in the fairness and impartiality of procedures for registering and dealing with their concerns and interests. **The Public Interest Disclosure Act 1998** gives legal protection to employees who raise certain matters or concerns, known as 'qualifying disclosures', without fear of reprisal. As a Board member, you should ensure that your public body has a whistleblowing policy and appropriate procedures in place. This will allow staff to raise concerns on a range of issues such as fraud, health and safety etc. without having to go through the normal management structure. **Audit Scotland has published guidance on employers' and employees' responsibilities in relation to whistleblowing.**

Public Bodies not covered by the Ethical Standards in Public Life etc. (Scotland) Act 2000

The **Ethical Standards in Public Life etc. (Scotland) Act 2000** makes provision for Scottish Ministers to introduce a Code or Codes of Conduct under the Public Authorities Regime for bodies not listed in Schedule 3 to the Act. While such public bodies and their Board members will be expected to act in accordance with this Code of Conduct, they will not be subject to investigation by the Commissioner or to sanctions by the Standards Commission.

Irrespective of the extent to which a public body is covered by the Ethical Standards Act, Board members are required to adhere to the principles that underpin the ethical standards framework and have regard to the provisions set out in the **Model Code of Conduct** in carrying out their public duties.

> Complaints Handling

The Scottish Public Services Ombudsman (SPSO) is the independent body that provides the final stage for complaints from members of the public about devolved public services in Scotland.

As a Board member, you have a responsibility to ensure that complaints are considered as part of your organisation's overall governance and assurance arrangements.

You should be aware of the importance of having an effective complaints policy in place. You can also help to promote a culture which values complaints and has a proactive approach to effective resolution, monitoring and learning from complaints.

The Board has a collective responsibility and Board members, the Chair and the Chief Executive are also individually responsible for ensuring the public body has an effective, efficient, customer-focused approach to complaints resolution in place.

You should also be aware of the issues and concerns people are raising in their complaints. Your scrutiny of these issues will help to ensure that service users receive a high quality service and that taxpayers receive value for money.

The SPSO has a duty to publish model **Complaints Handling Procedures (CHP)** which public bodies have a statutory requirement to adopt. The CHP includes a commitment for public bodies to publish information against performance indicators, which will provide consistent complaints data across the various sectors of the public service in Scotland.

The SPSO has produced a **short briefing note** for Board members which will help you to consider complaints as part of your organisation's governance arrangements.



COMPLAINTS HANDLING



- Ensure the public body and executive team are learning from service failures and customer insight provided by complaints, with systems in place to record, analyse and report on complaints outcomes, trends and actions taken;
- Ensure that processes are in place for the public body and executive team to identify and respond immediately to critical or systemic service failures identified from complaints handling;
- Take an active role in monitoring and reviewing learning from complaints and reviewing individual complaints to obtain an understanding of how any failures occurred and have been addressed;
- Provide the necessary challenge and hold the senior officer(s) to account for the public body's performance in complaints handling, with Board / Board members themselves regularly monitoring and reviewing the complaints handling performance of the public body; and
- Ensure that service improvements are agreed, actioned and reviewed, possibly on a quarterly basis.

FURTHER INFORMATION



Audit Scotland – Employer's Guide to Whistle Blowing

Bribery Act 2010

Ethical Standards in Public Life Etc. (Scotland) Act 2000

Ethical Standards Registration of Interests (Regulations) 2003

Scottish Parliamentary Commissions and Commissioners etc. Act 2010

The Scottish Public Services Ombudsman

The model Complaints Handling Procedure (CHP) for the Scottish Government, Scottish Parliament and associated public authorities in Scotland

SPSO's Valuing Complaints



Annex A Classification of Public Bodies



There are occasions where bodies carrying out public functions should operate more at 'arm's-length' from Government. This may be appropriate for a variety of reasons. This can be to provide independent advice and expertise on technical, scientific or other complex issues and take this outside the political arena, e.g. on ethical issues, or funding decisions. Tribunals and other quasi-judicial bodies are set up to meet specific requirements for separation of decision-making and appeals. Public bodies carry out a wide range of functions such as independent regulation, advice, investigation, adjudication, ombudsman services, appeal, funding, partnership, commercial and health services. Such 'arm's-length bodies' focus in depth on clear and specific functions and purposes. These bodies have been established to meet particular needs and situations. This flexibility and responsiveness means that the landscape of public bodies is necessarily both complex and diverse.

The following provides a snapshot of the features of public bodies operating in Scotland.

Executive Agencies – although an integral part of the Scottish Government, Executive Agencies generally have a strong focus on the management and direct delivery of public services which do not require day-to-day ministerial oversight; in some cases they may also have responsibility for a discrete area of government policy. They are staffed by civil servants, including the Chief Executive who is directly accountable to Ministers. They are not statutory bodies but operate in accordance with a Framework Document approved by Ministers, which may be reviewed, amended or revoked at any time. This has the advantage that they can normally be set up by administrative action without the need for legislation.

Executive Non Departmental Public Bodies (NDPBs) – are not part of the Scottish Government or the Scottish Administration. They perform administrative, commercial, executive or regulatory functions on behalf of Government and operate within a framework of governance and accountability set by Ministers. They are funded by the Scottish Government through grant or grant-in-aid, but many generate additional income through provision of services. They are normally established by statute, employ staff (who are not civil servants) on their own terms and conditions subject to Scottish Public Sector Pay Policy, and manage their own budgets. They are accountable to a Board whose members are normally appointed by Ministers and publish their own annual report and accounts.



Advisory NDPBs – provide independent expert advice to Ministers and others or input into the policy-making process in relation to a particular subject. They are normally established by Ministers on a non-statutory basis, do not normally employ staff (administrative support is usually provided by the Scottish Government) and are not normally responsible for budgets or expenditure other than remuneration for Board members. They are accountable to a Board whose members are normally appointed by Ministers. Ministers are answerable to Parliament for the activities of the body and can dissolve the body at any time.

Tribunals – are established by statute and have specific responsibilities for prescribed judicial functions. They are not part of the court system and are independent of the Scottish Government. They have both specialist and lay members, do not employ staff and are not responsible for budgets or expenditure other than the remuneration of Tribunal members.

Non Ministerial Departments (NMDs) – are headed by non-ministerial offices (NMOs) (Boards or statutory officeholders) who are not part of the Scottish Government but are part of the Scottish Administration in their own right. Staff are civil servants. The NMOs are generally funded by Parliament and are required to publish their own annual report and accounts. They are directly accountable to the Scottish Parliament, not Ministers, for the discharge of their statutory functions.

Public Corporations – are industrial or commercial enterprises under Government control which recover more than 50% of their costs through fees charged for services provided to customers. They employ their own staff, who are not civil servants, manage their own budgets and report to a Board whose members are appointed by Ministers.

Health Bodies – currently comprise 14 territorial health boards, 8 special health boards and the Mental Welfare Commission for Scotland (MWCS). With the exception of MWCS, health bodies are part of NHSScotland and provide healthcare services or management, technical or advisory services.

Parliamentary Commissions, Commissioners and Ombudsman – are typically responsible for safeguarding the rights of individuals, monitoring and reporting on the handling of complaints about public bodies, providing an adjudicatory role in disputes and reporting on the activities and conduct of public Boards and their members. Commission Members, Commissioners and Ombudsmen are appointed by the Parliamentary Corporation. They are accountable, and report directly, to the Scottish Parliament.

Other Significant Bodies – do not fall within the recognised categories of public bodies set out above but they have a direct relationship with either the Scottish Government or the Parliament and operate within a framework set by Ministers.



Annex B Induction and Training for Board Members



Induction programmes, events and material should be a standard feature, with a public body providing information on a range of topics, e.g. policies, procedures, roles, responsibilities, rules and key personnel.

The following list of induction guidance and training is not prescriptive but is designed to give you an idea of the type of support that may be provided by your public body.

Meetings

A one-to-one meeting should take place with the Chair immediately following appointment to discuss in broad terms what is expected of a Board member in the first year and any individual role he or she is expected to play. (The Chair and Board member should meet on a regular basis as part of the appraisal process.)

An induction session within one month of appointment should explain:

- The legislative framework for the organisation and its remit
- Organisational structure
- The collective role of the Board
- Arrangements, formats etc. of Board meetings including agenda planning
- Details of any subsidiary Boards and committees (e.g. Regional Boards, Audit Committee) and their responsibilities
- The long-term strategy of the organisation
- The corporate planning system
- The role of the Chief Executive as the Accountable Officer
- Current priority areas of work
- Budget and financial information, including the monitoring role of the Board
- The public body's policies on openness – where appropriate, including the role of Board members in promoting the public body to the public and in the media
- Links between the public body/Board and the Scottish Government and the Scottish Parliament. This should include details of where the sponsor Directorate fits within the Scottish Government structure, details of sponsor Minister(s) etc
- Links to other key partner organisations and an outline of who the key stakeholders and customers are
- Arrangements for Board members' remuneration and expenses
- The organisation's Code of Conduct for Board members and Code of Conduct issues, including policies on the registration and declaration of interests, gifts and hospitality, use of social media by Board members etc. This should include guidance on completing the Register of Interests
- Whistleblowing procedures – how to raise concerns and how to respond to concerns being raised
- Details of arrangements for monitoring and reporting on the performance of Board members
- The Corporate Risk Register and approach to risk management

Ideally, this session should be attended by all new Board members and by some existing Board members to allow the latter to pass on experience. Some other members of the senior management team may also attend, including the Board secretary.

New Board members may require support in certain areas. The induction process should explore development needs for all new Board members and agree a development plan.

It may also be appropriate for a Board member to meet with other key staff in the organisation – for example the Chief Executive who will be able to advise of their role in their capacity as the Accountable Officer and, where the Board member is to sit on the Audit Committee, they may wish to meet audit and finance staff.



Obtaining feedback from new Board members on the induction they received will provide a useful source of information and will help ensure the process remains effective.

Publications

- The latest Annual Report and Accounts
- The latest Corporate Plan and Operational/Business Plan
- The Corporate Strategy or similar strategic document
- Any significant recent policy or consultation documents which the public body has published.

Written Material

- Guide to any legislation under which the public body was established
- Copy of the Budget Allocation and Monitoring letter from the sponsor Minister for the coming year
- National Performance Framework
- Strategic guidance from the Scottish Government
- Copy of the public body's current Framework Document
- Standing Orders for the conduct of Board meetings
- Organisational structure, staff directory, office addresses etc
- Biographical and contact details of other Board members (and, where appropriate, those in subsidiary Boards and Committees)
- Summary of key roles and responsibilities within the organisation – Board, subsidiary Boards and committees, Chief Executive/ Accountable Officer, management team, other senior staff
- Forward programme of Board meeting dates and any other key events (press launches, conferences etc.)
- The organisation's Code of Conduct for Board members
- The Standards Commission Guidance on the Model Code for Members of Devolved Public Bodies

- Copy of the organisation's Data Protection, Freedom of Information and other relevant policies and procedures relating to corporate governance and accountability – and if they exist:
 - Policy for Board members in dealing with the media
 - List of acronyms relating to the public body's area of work, partner organisations etc.
- The Corporate Risk Register
- Schedule of Matters Reserved for the Decision of the Board and Scheme of Delegation
- Action plan arising from most recent review of Board effectiveness
- The **Scottish Public Services Ombudsman** model Complaints Handling procedure and briefing note for Board members
- Minutes from at least the last four Board and Audit Committee meetings
- Copy of Corporate Parent Plan (should the public body be classified as a Corporate Parent in **Schedule 4** of the Children and Young People (Scotland) Act 2014

Terms and Conditions

- Guidance on claiming **travel and subsistence** expenses
- Guidance on claiming other allowances where appropriate (e.g. child care)
- Guidance on **tax issues** (e.g. for home to office travel)
- Guidance on Register of Interests, and Gifts and Hospitality

First Board Meeting

Time should be included so that the new Board member can be formally introduced to all present. In advance of this meeting, the new member should be made aware of any protocols, for example in relation to making points at meetings, presenting information and overall expectations as to behaviour (being inclusive, respecting others etc.). At the end of the Board meeting, the Chair should spend a few minutes with the new Board



member to allow them the opportunity to ask any questions or raise concerns that they may have.

Training

The public body should consider providing any further training deemed necessary to assist the Board, individually or collectively, to carry out its duties, particularly covering areas such as their roles and responsibilities, the financial management and reporting requirements of public bodies, appraisal systems both for individual members and collective functionality, ethical standards and any other differences which may exist between private and public sector practice.

To complement the induction that a Board member will have received from their own public body, they will find it beneficial to also attend any induction workshops for newly appointed members organised by the Scottish Government Public Bodies Unit and the Public Appointments Team.

Induction for Board Chair

The induction of a new Chair is the responsibility of the sponsor division and the Chief Executive of the body in question.

When a new Chair is appointed, sponsor teams should ensure that an early meeting is arranged with the appropriate Director-General, Deputy or Deputy Director to ensure that there is mutual agreement about what is expected of the body. It may also be appropriate for an early meeting to be arranged between the Chair and the Minister.

The induction of the new Chair should cover all the topics already mentioned. In addition, there are some topics that are specific to new Chairs including:

Appraisal

The relevant Scottish Government Director or Deputy Director (as appropriate) is responsible for setting objectives for the Chair and conducting their appraisal. There is **guidance on appraisal for Chair and Board members**.

Leadership

An important part of the induction process will be to explore with the Chair the experience they have, any training that is required and any development opportunities which may be appropriate for them.

Recruitment and Selection

It is likely that the Chair will be involved in the selection of other Board members. It is important to ensure that he/she has undertaken appropriate training in conducting interviews, including equality awareness training.



Annex C The organisation of central government over devolved matters in Scotland



The organisation of central government over devolved matters in Scotland: The Scottish Parliament, the Scottish Administration and bodies outwith the Scottish Administration

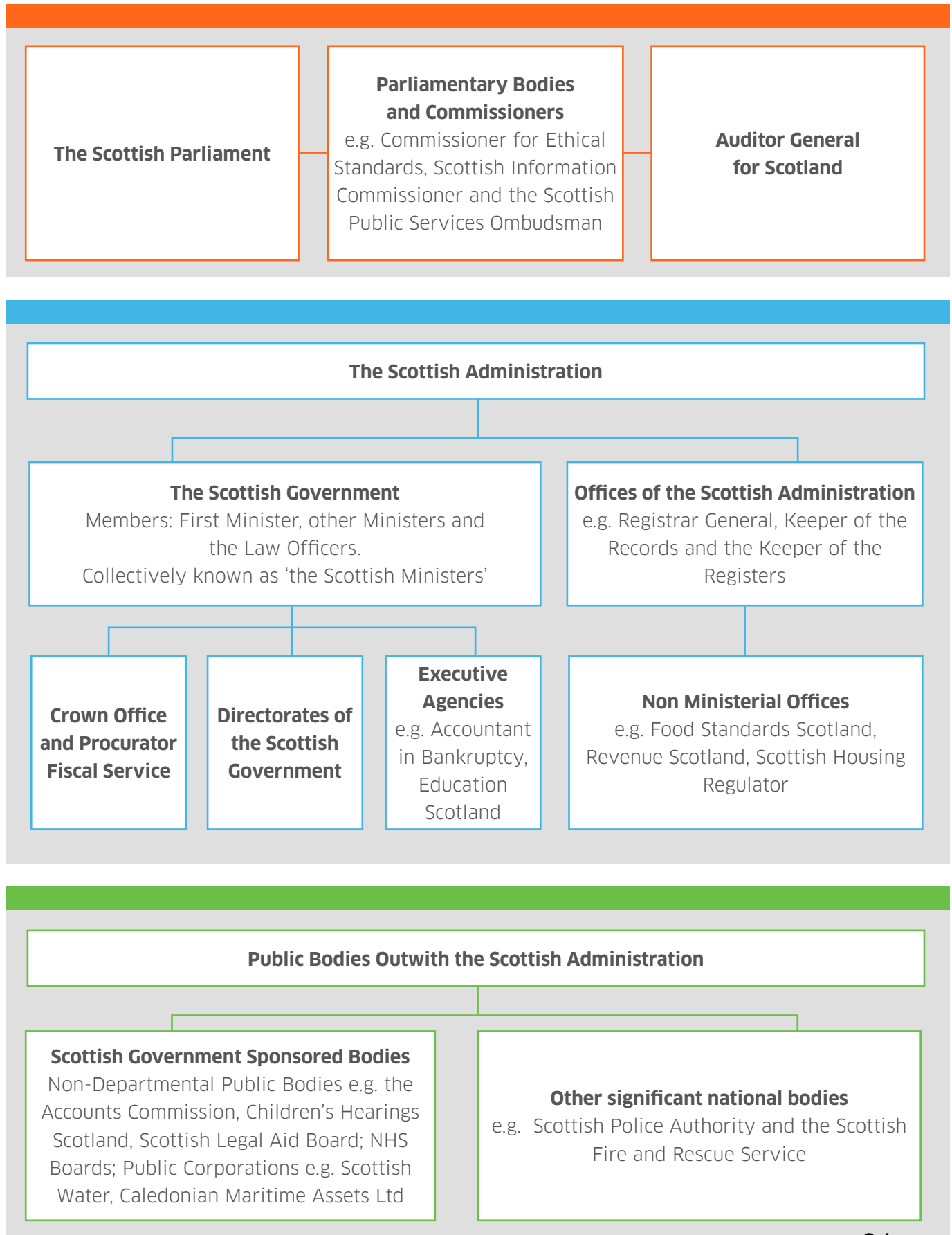


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SEStran Partnership Board Minutes

10.00am, Friday 18 March 2022

Microsoft Teams

Present

<u>Name</u>	<u>Organisation Title</u>
Cllr Gordon Edgar (Chair)	Scottish Borders Council
Cllr Donald Balsillie	Clackmannanshire Council
Cllr Dave Dempsey	Fife Council
Cllr Jim Fullarton	Scottish Borders Council
Callum Hay	Non-Councillor Member
Simon Hindshaw	Non-Councillor Member
Cllr Chris Horne (A2(a) onwards)	West Lothian Council
Cllr Russell Imrie	Midlothian Council
Richard Llewellyn	Non-Councillor Member
Cllr Lesley Macinnes (A3(a) onwards)	City of Edinburgh Council
Cllr John McMillan (A8)	East Lothian Council
Cllr Laura Murtagh	Falkirk Council
Doreen Steele	Non-Councillor Member
Catherine Thomson (A2(b) onwards)	Non-Councillor Member
Barry Turner	Non-Councillor Member
Cllr Mike Watson	Clackmannanshire Council
Paul White	Non-Councillor Member

In Attendance

Angela Chambers	SEStran
Gavin Cluckie	City of Edinburgh Council
Cheryl Fergie	SEStran
Andrew Ferguson	SEStran

Keith Fiskien	SEStran
Peter Forsyth	East Lothian Council
Ken Gourlay	Fife Council
Joanne Gray	Transport Scotland
Jim Grieve	SEStran
Beth Harley-Jepson	SEStran
Anna Herriman	SEStran
Peter Jackson	SEStran
Graeme Johnstone	Scottish Borders Council
Karen Jones	Azets
Gavin King	City of Edinburgh Council
Alec Knox	Stantec
Scott Leitham	Stantec
Graeme Malcolm	West Lothian Council
Daisy Narayanan	City of Edinburgh Council
Derek Oliver	Midlothian Council
Jamie Robertson	City of Edinburgh Council
Iain Shaw	City of Edinburgh Council
Jim Stewart	SEStran
Sarah Stirling	City of Edinburgh Council

Apologies for Absence

Cllr Colin Davidson	Fife Council
Vivienne Gray	Non-Councillor Member
Cllr David Key	City of Edinburgh Council
Cllr Cameron Rose	City of Edinburgh Council

A1. Minutes

Decision

- 1) To agree the minute of the SEStran Partnership Board of 3 December 2021 as a correct record.
- 2) To agree the minute of the Performance and Audit Committee of 4 March 2022 as a correct record.

A2. Audit Plans

(a) External Audit Plan 2021-22

Azets, the appointed independent external auditor of the Partnership, prepared an Annual Audit Plan for 2021/22. The plan detailed the audit approach based on an understanding of the characteristics, responsibilities and principal activities, risks and governance arrangements of the Partnership.

The External Audit Plan 2021/22 was considered and noted by Performance and Audit Committee at its meeting of 4 March 2022.

Decision

To note the External Audit Plan for 2021/22.

(References – SEStran Performance and Audit Committee, 4 March 2022 (item A5(a); report by the External Auditor, submitted)

(b) Internal Audit Plan 2021/22

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

An update was provided on the outcomes of the 2021/22 SEStran IA review. The Performance and Audit Committee's insights were sought on areas for potential inclusion in the scope of the planned 2022/23 audit.

Decision

To note the outcomes of the 2021/22 IA review, and the associated costs.

(References – SEStran Performance and Audit Committee, 4 March 2022 (item A5(b); report by the Chief Internal Auditor, submitted)

A3. Finance Reports

A3(a) Revenue Budget 2022/23 and Indicative Financial Plan 2023/24 to 2024/25

The revenue budget for 2022/23 and an indicative financial plan for 2023/24 to 2024/25 were presented for approval by the Partnership Board.

Decision

- 1) To approve the proposed Core budget for 2022/23, as detailed at Appendix 1 of the report.
- 2) To approve the proposed Projects budget for 2022/23, as detailed at Appendix 2(a).
- 3) To note that financial planning for 2023/24 to 2024/25 would be developed throughout 2022 for review by the Partnership in December 2022.
- 4) 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.

(References – SEStran Performance and Audit Committee, 4 March 2022 (item A6(a)); report by the Treasurer, submitted)

A3(b) Finance Officer's Report

An update was provided on financial planning being progressed for the 2022/23 revenue budget and on the indicative financial plans for 2023/24 – 2024/25.

The third update on financial performance of the Core and Projects budgets of the Partnership for 2021/22 was presented, in accordance with the Financial Regulations of the Partnership. An analysis of financial performance to the end of January 2022 was provided.

The Partnership's Core and Projects budgets for 2021/22 were approved by the Partnership on 19 March 2021.

Decision

- 1) To note the forecast underspend on the Core revenue budget of £59,000.
- 2) To note the forecast slippage on the Projects revenue budget of £17,000.

(References – SEStran Partnership Board, 19 March 2021 (item A3(b)); report by the Treasurer, submitted)

A3(c) Annual Treasury Management Activity

A Treasury Management Strategy for 2022/23 was proposed.

Decision

To approve the Annual Treasury Management Strategy, as detailed in Appendix 1 of the report.

(References – SEStran Performance and Audit Committee, 4 March 2022 (item A6(b)); report by the Treasurer, submitted)

A4. Governance Reports

A4(a) Recruitment of Partnership Director

The current Partnership Director had indicated his intention to retire this year.

At its meeting of March 2022, the Performance and Audit Committee:

- a) Agreed to the current Partnership Director's appointment being extended to 31 December 2022, to ensure continuity;
- b) Agreed the recruitment process as set out in the Appendix of the report, and recommended to the Board that they establish an Appointments Committee to enable the recruitment process to be finalised;
- c) Agreed the terms and conditions on which the new Partnership Director would be appointed, delegating to the Business Manager and HR Adviser, in consultation with the Chair of the Committee, any further changes to such terms as may be deemed necessary;

- d) Agreed to the appointment of specialist HR consultants to assist and advise on the recruitment process for this level of post.

Accordingly, the Board was requested to consider the creation of a new Appointments Committee to oversee the process.

Decision

- 1) To note the position regarding recruitment of the Partnership Director.
- 2) To agree the creation of an Appointments Committee as set out in paragraphs 2.1 to 2.4 of the report to appoint a new Partnership Director, delegating to the Secretary to make appropriate adjustments to the Governance Scheme to reflect the Board's decision.

(References – SEStran Performance and Audit Committee, 4 March 2022 (item A8; report by the Secretary, submitted)

A4(b) Non-Councillor Member Appointments

An update was provided on the progress with the Non-Councillor Member appointments and approval sought of the recommendations made by the selection panel for the new term of office from 2022-2026.

Following the conclusion of an appraisal exercise, 4 Non-Councillor Members were being recommended for reappointment by the selection panel. Those members were:

- Callum Hay
- Simon Hindshaw
- Doreen Steele
- Paul White

From the candidates interviewed, the following met the criteria set out in the application pack and were therefore being recommended for appointment to the Board:

- Linda Bamford
- Alastair Couper
- Geoff Duke
- John Scott
- Kate Sherry

Decision

- 1) To appoint the above candidates as Non-Councillor Members of the SEStran Board until 31 March 2026, subject only to formal approval by the Scottish Ministers.
- 2) To thank retiring members and officers for their work in service of the SEStran Partnership Board.

(References – SEStran Partnership Board, 3 December 2021 (item A3(b)); report by the Partnership Director, submitted)

A4(c) Annual Treasury Management Activity

Approval was sought for the revised Code of Conduct for Members of the South East of Scotland Transport Partnership (SEStran).

Decision

To approve the revised Code of Conduct for Members of SEStran for submission to Scottish Government.

(Reference – report by the Standards Officer, submitted)

A5. Regional Transport Strategy 2035

The final version of the draft Regional Transport Strategy (RTS) had been submitted to the Partnership Board for approval. Following the advice from Scottish Borders Council officers to delay approval of the RTS, and given the detailed response agreed by the Scottish Borders Council of 27 January and SEStran's subsequent comments which would require more time to allow the Council to respond before sign off of the RTS, it was felt that the strategy could not be agreed without approval of all partner councils.

Decision

To continue the draft Regional Transport Strategy SEStran 2035 to a further meeting of the SEStran Partnership Board to allow the concerns of the Scottish Borders Council to be addressed.

(References – SEStran Partnership Board, 24 September 2021 (item A5); report by the Strategy and Projects Officer, submitted)

A6. Projects Performance Report

Details were provided on progress over the last quarter across SEStran's projects and key work streams. Impacts on progress or delivery were explained where required.

Decision

- 1) To note progress on existing projects outlined in the Performance Report at Appendix 1 of the report.
- 2) To note the inception of the Go SEStran project summarised in paragraph 2.3 of the report and outlined in the Performance Report at Appendix 1
- 3) To note the decision to award to Trapeze summarised in Paragraphs 3.1 to 3.2 of this report relating to section 3.1 of the Performance Report at Appendix 1, for a new 3-year contract for provision of the NOVUS FX local authority bus scheduling and SEStran's real-time passenger information platform.

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

A7. Fourth National Planning Framework (NPF4) Consultation Draft: SEStran Response

The draft response to the Fourth National Planning Framework for Scotland was presented, included at Appendix 1 of the report, for consideration and agreement.

Additionally, a draft response to the consultation on the draft Local Development Planning Regulations and Guidance, was provided, which the Board was also asked to consider and agree.

Discussion occurred on the potential ambiguities in the language and the shift to guidance being of benefit to developers. It was requested that Question 37 was considered in further detail as there was expansive criteria to allow for objections but it was felt that it was important to achieve a balance for future developments within the context of the 20 Minute Neighbourhood.

Decision

- 1) To agree draft responses to NPF4 Consultation, at Appendix 1, for submission through the Scottish Government's online survey, by the closing date of 31 March 2022.
- 2) To agree the draft response to Local Development Plan Guidance consultation at Appendix 2, for submission through the Scottish Government's online survey, by the closing date of 31 March 2022.

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

A8. Date of Next Meeting

Decision

To note that the next meeting would be held on Friday 17 June 2022 at 10.00am.

B1. Minutes

Decision

- 1) To note the minute of the Logistics and Freight Forum of 26 January 2022.
- 2) To note the minute of the Chief Officers' Liaison Group Meeting of 16 February 2022.

Unaudited Annual Accounts 2021/22

1. Introduction

- 1.1** This report presents the unaudited Annual Accounts for the year ended 31st March 2022. The unaudited accounts are appended.

2. Main Report

- 2.1** The unaudited Annual Accounts are submitted to the Partnership in accordance with the Local Authority Accounts (Scotland) Regulations 2014. The accounts are subject to audit. The audited Annual Accounts, incorporating the Auditor's report, will be presented to the Performance and Audit Committee and Partnership Board in due course.
- 2.2** The Treasurer's opinion on the effectiveness of the Partnership's system of internal financial control is provided within the Annual Governance Statement on pages 7 to 9. The Treasurer's opinion is informed by the work of Internal Audit and managers in the Partnership.
- 2.3** The Management Commentary is on pages 2 to 5 of the Annual Accounts. This highlights key aspect of financial performance during the year. The unaudited underspend is £133,000. This comprises an underspend of £75,000 on the Core revenue budget and slippage of £58,000 on the Projects budget. Under the Partnership's Reserves Policy, it is planned to carry these balances forward to 2022/23.

3 Recommendations

It is recommended that the Partnership Board:

- 3.1** note the unaudited accounts;
- 3.2** notes that the audited Annual Accounts, incorporating the External Auditor's report, will be presented to the Performance and Audit Committee and Partnership Board in due course.

Hugh Dunn

Treasurer

17th June 2022

Appendix
Contact

Unaudited Annual Accounts 2021/22
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.

**The South East of Scotland
Transport Partnership
(SESTRAN)**

**Unaudited
Annual Accounts**

2021/2022

The South East of Scotland Transport Partnership (SESTRAN)

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The South East of Scotland Transport Partnership (SESTRAN)

Management Commentary

1. Basis of Accounts

The Partnership prepares its Annual Accounts in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom. The Code of Practice is based on International Financial Reporting Standards (IFRS).

2. Statutory Background

The South East of Scotland Transport Partnership (SESTRAN) was established under the Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005. The Partnership came into force on 1st December 2005. Under Section 3 of the Transport (Scotland) Act 2005, the net expenses of SESTRAN, after allowing for government grant and any other income, are met by its constituent councils.

In accordance with Section 122 of the Transport (Scotland) Act 2019, which allows Regional Transport Partnerships to carry forward reserves, the Partnership has now established a General Fund reserve. This provision in the Transport (Scotland) Act 2019 came into effect on 19 March 2020, and is available to Regional Transport Partnerships for financial years 2019/20 and onwards.

3. Corporate Strategy

The following is an introductory extract from the Transport (Scotland) Act 2005, which established the Partnership; one of seven Scottish Regional Transport Partnerships (RTPs):

“An Act of the Scottish Parliament to provide for the setting up and functions of the new transport bodies and to enable the Scottish Ministers to discharge certain transport functions; to provide further for the control and co-ordination of road works and for the enforcement of the duties placed on those who carry them out; to set up national concessionary fares schemes; and to make other, miscellaneous modifications of the law relating to transport.”

The Partnership aims to develop a sustainable transportation system for South East 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. These aims are embodied in the Regional Transport Strategy (RTS).

The constituent councils of the Partnership are the City of Edinburgh, Clackmannanshire, East Lothian, Falkirk, Fife, Midlothian, Scottish Borders and West Lothian.

SEStran's Vision Statement is as follows:

“A regional transport system that provides all citizens of South East Scotland with a genuine choice of transport which fulfils their needs and provides travel opportunities for work and leisure on a sustainable basis.”

4. Risks and Uncertainties

The principal risks and uncertainties faced by the Partnership fall into three categories.

Firstly, there is the funding uncertainty faced by all local authorities and RTPs. The Partnership has a range of statutory duties to enact. While every attempt is made to do this within the budget provided, budget reductions may make this less achievable resulting in a reduction in the quality of service provided.

The second category relates to changes in legislation leading to changes in the services to be delivered. This can create pressures from both a financial and organisational perspective.

Thirdly, the longer term impact from the Covid-19 pandemic on all aspects of transport and mobility are expected to be significant. The longer term implications for partner Councils, operators and transport user groups at national, regional and local levels are yet to be determined.

5. Results for the Year

The Partnership is required to present its financial performance as a Comprehensive Income and Expenditure Statement. This can be seen on page 13.

The South East of Scotland Transport Partnership (SESTRAN)

Management Commentary (*continued*)

5. Results for the Year (*continued*)

To show the net position of the Partnership and to allow comparison with the approved revenue budget, it is necessary to adjust the expenditure shown in the Comprehensive Income and Expenditure Statement to take account of a number of items where the statutory accounting requirements differ from the management accounting practice of the Partnership. These adjustments are detailed in Note 2.

The net revenue budget of the Partnership in 2021/22 was £0.972m, funded by Government Grant and Council Contributions. A comparison of the outturn position with the revenue budget and earmarked reserves brought forward (£105,000) is presented in the table below. Key aspects of financial performance in 2021/22 are:

- Overall the Partnership had an underspend of £133,000 which is shown in the table below. The underspend arose due to a combination of underspends on the core revenue budget and projects budget, offset by an overspend on the RTPI project budget;
- The Partnership incurred core service expenditure of £0.588m which was £75,000 below the Core Service revenue budget. The main favourable variances on the Core revenue budget arose from increased staff recharges to EU projects (£63,000) and from decreased expenditure on staff travel (£8,000) and conference costs (£9,000), reflecting ongoing working from home.
- The Partnership incurred expenditure of £1.318m on revenue projects and received external grants and contributions of £0.978m, resulting in net expenditure of £0.340m. Net expenditure was £66,000 under budget, after inclusion of the earmarked reserve brought forward. The main favourable variances on the Projects revenue budget arose on the Sustainable Travel budget (£48,000), the Regional Transport Strategy budget (£32,000) and GO e-Bike budget (£36,000), offset by an adverse variance on the EU projects (£38,000).
- Expenditure of £233,000 on the Real-Time Passenger Information (RTPI) project was partly funded by contributions of £217,000 from other parties, resulting in net expenditure of £16,000. Net expenditure was £8,000 over budget.

	Revised Budget £'000	Earmarked Reserves from 20/21 £'000	Outturn £'000	Variance £'000
Core Service	663	0	588	(75)
Revenue Projects - Net Expenditure	301	105	340	(66)
RTPI Project - Net Expenditure	8	0	16	8
Net Interest	0	0	0	0
Total Expenditure 2021/22	972	105	944	(133)
Government Grant	(782)	0	(782)	0
Constituent Council Requisitions	(190)	0	(190)	0
Total Government Grant and Council Contributions 2021/22	(972)	0	(972)	0

In accordance with the provisions of the Transport Scotland (2019) Act, the Partnership has agreed a Reserves Policy and established an unallocated reserve of £29,000. Slippage on project delivery from 2021/22 to 2022/23 will be managed by establishment of an earmarked balance, in accordance with the Partnership's Reserves Policy.

Non Financial Results

During 2021/22, the Partnership concluded the key development stages of the new, draft Regional Transport Strategy (RTS) to set the strategic framework for transport plans and decisions within the SEStran region up to 2035. The RTS was developed through consultancy support with partner and stakeholder input sought at key stages, analysis of evidence of transport problems and opportunities and detailed option appraisal. Relevant Statutory Assessments for the new RTS were concluded within 2021/22.

The South East of Scotland Transport Partnership (SESTRAN)

Management Commentary (*continued*)

5. Results for the Year (*continued*)

Non Financial Results (*continued*)

The Partnership was successful in attracting funding for delivery of region-specific strategies, projects and services of benefit to transport users and partners across the region and remained actively involved in a wide range of regional and national strategic activities, and progressed initiatives in response to Covid-19.

- With Active Travel funding from Transport Scotland, the Partnership's Strategic Travel Network plans were further developed. Route plans and feasibility reports for West Lothian and Falkirk Councils were completed and the longitudinal study, surveying travel attitudes through Covid-19, was continued;
- The Partnership progressed its Regional Cycle Network grant scheme. Funding was allocated from Sustrans Scotland for the Edinburgh to BioQuarter route;
- The GO e-Bike stations in East Lothian and Midlothian that utilised funding contribution from Transport Scotland's Low Carbon Travel and Transport (LCTT) Challenge Fund became fully operational;
- With the Partnership receiving a funding grant of up to £150,000 towards the development of Phase 2 of the Thistle Assistance Scheme Journey Planner, development of the app based journey planner commenced through procured developer 'Sentireal'. Work reached advanced stages;
- Work on the SEStran Freight Study resumed once Transport Scotland confirmed acceptance of the Case for Change; the study reached Initial Options stage in the final quarter of 2021/22;
- The Transport Scotland funded transport appraisal for Newburgh reached Business Case stage;
- The upgrade of the Real Time Passenger Information (RTPI) system succeeded in becoming fully operational in November 2021, after resolving technical issues found at the final stage of on site testing;
- Through the SHARE-North project, first stage of the Journey Hub in Musselburgh was completed with EV charging for car club vehicles, electronic information displays and landscaping concept design. This was then expanded with multi-modal travel counters and additional geo-fenced Bewegen e-bike hubs;
- Through the PriMaaS project, the Partnership began development of a Regional Mobility as a Service (MaaS) Action Plan. The PriMaaS project was granted a six month time only extension. Additionally, a bid to Transport Scotland's MaaS Investment Fund was partly successful for a project delivering MaaS, including Demand Responsive Transport elements to be developed in 2022/23;
- Through the BLING project, the Partnership began exploring the potential to test the project's Blockchain Readiness Awareness Tool with commercial operators DHL and ZEDIFY logistics. A project extension of funding and time, to June 2023, was agreed with the project's lead partner;
- Through the Surflogh project, an expansion of the successful first / last mile delivery trial in the Haymarket area by ZEDIFY was agreed with the project's lead partner. Preparatory work for a new hub was finalised and the hub became operational in the Leith area in 2021. Preparatory work on the Perth West logistics hub commenced;
- The Partnership continued to play a key role supporting the Regional Transport Transition Group established in June 2020, including playing a central role supporting the three initial bids from within the region to Transport Scotland's Bus Partnership Fund;
- The Partnership has continued to pursue activities towards its five equalities outcomes, which will guide the Partnership up to 2025.

6. Future Developments

The Partnership developed a Hybrid working policy, facilitating individual and team dialogue and working. Hybrid working arrangements will commence in 2022/23. Ensuring the health, safety and well-being of staff remains the top priority for the Partnership.

The Partnership will continue to make good use of online engagement for meetings, business and events as long as required, in addition to face to face meetings and events. The high levels of engagement from across the region using such methods has benefitted the Partnership and where appropriate this will continue to be a valuable engagement tool.

The South East of Scotland Transport Partnership (SESTRAN)

Management Commentary (*continued*)

6. Future Developments (*continued*)

The Partnership will actively pursue a range of opportunities for the region that emerged during 2021/22, including leading or supporting the development of Demand Responsive Transport, Mobility as a Service, Bus Service Improvement Partnerships, Thistle Assistance Journey Planning. Increased levels of support from Transport Scotland for active travel network development present an opportunity to enhance funding and delivery of active travel in the region, and in addition the Partnership will continue with the development of cargo bike delivery and bike training.

The development of the new Regional Transport Strategy (RTS) is a core aspect of the Partnership's statutory role and function. It involves the input of SEStran partners and stakeholders. The Partnership will finalise a draft RTS with the Partnership Board in 2022.

The Partnership, alongside other RTPs in Scotland, will continue to work closely with Transport Scotland and partner councils to continually re-evaluate and respond to the new context for transport as it evolves.

It is considered appropriate to adopt a going concern basis for the preparation of the Annual Accounts.

The South East of Scotland Transport Partnership (SESTRAN)

STATEMENT OF RESPONSIBILITIES FOR THE ANNUAL ACCOUNTS

The Partnership's Responsibilities

The Partnership is required:

- to make arrangements for the proper administration of its financial affairs and to secure that the proper officer has the responsibility for the administration of those affairs. In this Partnership, that officer is the Treasurer;
- to manage its affairs to secure economic, efficient and effective use of its resources and safeguard its assets;
- to ensure the Annual Accounts are prepared in accordance with legislation (The Local Authority Accounts (Scotland) Regulations 2014) and so far as is compatible with that legislation, in accordance with proper accounting practices (section 12 of the Local Government in Scotland Act 2003);
- to approve the Annual Accounts.

The Treasurer's Responsibilities

The Treasurer is responsible for the preparation of the Partnership's Annual Accounts in accordance with proper practices as required by legislation and as set out in the CIPFA / LASAAC Code of Practice on Local Authority Accounting in the United Kingdom ('the Code').

In preparing the Annual Accounts, the Treasurer has:

- selected suitable accounting policies and then applied them consistently;
- made judgements and estimates that were reasonable and prudent;
- complied with legislation;
- complied with the Local Authority Accounting Code (in so far as it is compatible with legislation).

The Treasurer has also:

- kept adequate accounting records which were up to date;
- taken reasonable steps for the prevention and detection of fraud and other irregularities.

I certify that the Annual Accounts give a true and fair view of the financial position of the Partnership at the reporting date and the transactions of the Partnership for the year ended 31st March 2022.

Treasurer: HUGH DUNN, CPFA _____ Date signed: 10th June 2022

The South East of Scotland Transport Partnership (SESTRAN)

ANNUAL GOVERNANCE STATEMENT 2021/22

1. Scope of Responsibility

The South East of Scotland Transport Partnership's aim is to develop a transportation system for South East Scotland as outlined in the Partnership's Regional Transport Strategy 2015-2025.

The Partnership is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards, that public money is safeguarded and properly accounted for and used economically, efficiently, effectively and ethically. The Partnership also has a duty to make arrangements to secure continuous improvement in the way its functions are carried out.

In discharging these overall responsibilities Elected Members and Senior Officers are responsible for implementing proper arrangements for the governance of the Partnership's affairs and facilitating the effective exercise of its functions, including arrangements for the management of risk.

The Partnership has approved and adopted a Local Code of Corporate Governance which is consistent with appropriate corporate governance principles and reflects the requirements of the "Delivering Good Governance in Local Government: Framework (2016)".

This Statement explains how the Partnership delivers good governance and reviews the effectiveness of these arrangements. It also includes a statement on internal financial control in accordance with proper practice.

The Partnership's financial management arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016).

2. The Partnership's Governance Framework

The governance framework comprises the systems and processes, and culture and values, by which the Partnership is directed and controlled, and its activities through which it accounts to, engages with and influences the community. It enables the Partnership to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The framework reflects the arrangements in place to meet the six supporting principles of effective corporate governance:

- Focusing on the purpose of the Partnership and on outcomes for the community, and creating and implementing a vision for the local area;
- Members and officers working together to achieve a common purpose with clearly defined functions and roles;
- Promoting values for the Partnership and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- Developing the capacity and capability of members and officers to be effective;
- Engaging with local people and other stakeholders to ensure robust public accountability.

A significant part of the governance framework is the system of internal control which is based on an ongoing process designed to identify and manage the risks to the achievement of the Partnership's policies, aims and objectives. These are defined in the Partnership's Business Plan, which is updated annually. This enables the Partnership to manage its key risks efficiently, effectively, economically and ethically.

The South East of Scotland Transport Partnership (SESTRAN)

ANNUAL GOVERNANCE STATEMENT 2021/22 (*continued*)

2. The Partnership's Governance Framework (*continued*)

Within the overall control arrangements the system of internal financial control is intended to ensure that assets are safeguarded, transactions are authorised and properly recorded, and material errors or irregularities are either prevented or would be detected within a timely period. It is based on a framework of regular management information, financial regulations, administrative procedures and management supervision.

While the system of internal control is designed to manage risk at a reasonable level it cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable, and not absolute, assurance of effectiveness.

3. Determining the Partnership's purpose, its vision for the local area and intended outcomes for the Community

The Partnership aims to develop a transportation system for South East Scotland which will enable businesses to function effectively and provide everyone living in the Region with improved access to health care, education, public services and employment opportunities. The vision for achieving this is outlined in the Regional Transport Strategy.

The Business Plan defines how to implement the aims of this strategy and the Annual Report provides a report of performance against objectives, targets and performance indicators as outlined in the Regional Transport Strategy.

4. Review of Effectiveness

The Partnership has put in place arrangements, detailed in the Local Code, for monitoring each element of the framework and providing evidence of compliance. A Principal Officer within the Partnership has been nominated to review the effectiveness of the Local Code.

The review of the effectiveness of its governance framework, including the system of internal financial control is informed by:

- the work of Internal Audit on the adequacy and effectiveness of the Partnership's control environment, governance and risk management frameworks;
- the Partnership Director's Certificate of Assurance on internal control;
- the operation and monitoring of controls by Partnership managers;
- the External Auditors in their Annual Audit Letter and other reports; and
- other inspection agencies comments and reports.

Through the year Elected Members and Officers have responsibility for the development and maintenance of the governance environment. These review mechanisms include:

- **The Partnership Board**, which provides strategic leadership, determines policy aims and objectives and takes executive decisions not delegated to officers. It provides political accountability for the Partnership's performance;
- **The Performance and Audit Committee**, which demonstrates the Partnership's commitment to the principles of good governance, undertaking the core functions of an audit committee as identified in Audit Committees: Practice Guidance for Local Authorities and Policy (CIPFA);
- **The Internal Audit Service** of the City of Edinburgh Council provides an independent and objective assurance service to the Partnership, by completing one review in each financial year that is focused on the adequacy and effectiveness of controls established to manage a key risk of the Partnership. The Partnership seeks to ensure that Internal Audit arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit.

The South East of Scotland Transport Partnership (SESTRAN)

ANNUAL GOVERNANCE STATEMENT 2021/22 (*continued*)

4. Review of Effectiveness (*continued*)

- **The External Auditor's Annual Audit Report** is considered by the Partnership Board and the Performance and Audit Committee, along with the output from other external audits and inspections;
- **The risk management system** requires that risks are regularly reviewed by the Performance and Audit Committee and Board. This ensures that actions are taken to effectively manage the Partnership's highest risks;
- **The Partnership Secretary** is responsible to the Partnership for ensuring that agreed procedures are followed. The Partnership has a contractual arrangement with an external Legal Services provider to ensure all applicable statutes and regulations are complied with.
- The Partnership operates Anti-Bribery, Anti-Fraud and Corruption policies in accordance with the CIPFA Code of Practice on Managing the Risk of Fraud and Corruption.
- **CIPFA Financial Management Code**
A requirement of the Annual Governance Statement is to disclose compliance with the CIPFA Financial Management (FM) Code and identify any outstanding areas for improvement or change. The Code is designed to support good practice and assist local government organisations in demonstrating their financial sustainability and resilience, by setting out expected standards of financial management.
The Partnership has undertaken an evaluation of compliance with the Financial Management Code
The Partnership's financial management arrangements are assessed as being compliant with the FM Code.

5. Internal Audit Opinion

During the year, Internal Audit undertook one review that assessed the adequacy of design and operating effectiveness of the key controls established by SEStran to support design of their Active Travel network development responsibilities, and effective management and allocation of external funding. Progress with implementation of the two medium rated Internal Audit recommendations raised in the Covid-19 Resilience Arrangements review completed in May 2021 was also considered. The control environment, governance and risk management frameworks were assessed as being adequately designed and operating effectively, providing assurance that risks are being effectively managed, and that the Partnership's objectives should be achieved.

6. Coronavirus Pandemic

The Covid 19 pandemic lockdown dictated that all meetings of the Partnership have had to be held remotely online. Attendance at electronically-hosted online Board meetings significantly increased during 2020/21 and has continued since then. The Partnership will continue to make use of online engagement for meetings, business and events as long as is required, in addition to face to face meetings and events.

7. Certification

In compliance with accounting practice, the Treasurer has provided the Partnership Director with a statement on the adequacy and effectiveness of the Partnership's internal financial control system for the year ended 31st March 2022. It is the Treasurer's opinion that reasonable assurance can be placed upon the adequacy and effectiveness of the Partnership's internal control system.

8. From this year's review, there is reasonable assurance that the Local Code of Corporate Governance is operating adequately, with overall compliance by the Partnership with its corporate governance arrangements.

The South East of Scotland Transport Partnership (SESTRAN)

REMUNERATION REPORT

1. Remuneration Policy for Senior Employees

The Partnership Board determines remuneration for senior employees with reference to the level of responsibility of the post. The Partnership does not operate a Remuneration Committee. Annual inflationary increases are based on those agreed by the Scottish Joint Negotiating Committee (SJNC) for Local Authority services.

2. Remuneration for Senior Councillors

The Partnership does not provide any remuneration to senior councillors.

Expenses paid to Board members are detailed in note 19 to the annual accounts.

3. Management of Remuneration Arrangements

The remuneration of the Partnership's employees is administered by the City of Edinburgh Council, as part of a service level agreement with the Partnership.

4. Officers Remuneration

The numbers of employees whose remuneration during the year exceeded £50,000 were as follows:

Remuneration Bands	2021/22	2020/21
£60,000 - £64,999	1	1
£75,000 - £79,999	0	0
£80,000 - £85,999	1	1

5. Senior Employees Remuneration

The remuneration paid to the Partnership's senior employees is as follows:

Name and Post Title	Salary, Fees and Allowances £	Compensation £	Total Remuneration 2021/22 £	Total Remuneration 2020/21 £
Jim Grieve - Partnership Director	85,512	0	85,512	82,529
	85,512	0	85,512	82,529

The senior employees detailed above have/ had responsibility for management of the Partnership to the extent that they have power to direct or control the major activities of the Partnership (including activities involving the expenditure of money), during the year to which the Remuneration Report relates, whether solely or collectively with other persons.

6. Senior Employees Pension Entitlement

The pension entitlement of the Partnership's senior employee(s) is as follows:

Name and Post Title	In-year pension contributions			Accrued pension benefits	
	2021/22 £	2020/21 £		As at 31 March 2022 £'000	Difference from 31 March 2021 £'000
Jim Grieve - Partnership Director	28,305	21,240	Pension	3	2
			Lump Sum	0	0
	28,305	21,240			

The senior employee shown in the table above became a member of the Local Government Pension Scheme (LGPS) in August 2020.

The South East of Scotland Transport Partnership (SESTRAN)

REMUNERATION REPORT *(continued)*

7. Pension Entitlement

Pension benefits for the Partnership's employees are provided through the Local Government Pension Scheme (LGPS). For the Partnership's employees, the Local Government Pension Scheme (LGPS) became a career average pay scheme on 1 April 2015. Benefits built up to 31 March 2015 are protected and based on final salary. Accrued benefits from 1 April 2015 will be based on career average salary.

The scheme's normal retirement age for employees is linked to the state pension age (but with a minimum of age 65).

From 1 April 2009 a five tier contribution system was introduced with contributions from scheme members being based on how much pay falls into each tier. This is designed to give more equality between the cost and benefits of scheme membership. Prior to 2009 contributions rates were set at 6% for all non-manual employees.

The tiers and members contributions rates for 2021-22 were as follows:

	Contribution rate
Whole Time Pay	
On earnings up to and including £22,300 (2020/2021 £22,200)	5.50%
On earnings above £22,300 and up to £27,300 (2020/2021 £22,200 to £27,100)	7.25%
On earnings above £27,300 and up to £37,400 (2020/2021 £27,100 to £37,200)	8.50%
On earnings above £37,400 and up to £49,900 (2020/2021 £37,200 to £49,600)	9.50%
On earnings above £49,900 (2020/2021 £49,600)	12.00%

From April 2015, when allocating contribution rates to members, pensionable pay means the actual pensionable pay, regardless of hours worked.

There is no automatic entitlement to a lump sum for members who joined the scheme post April 2009. Members may opt to give up (commute) pension for lump sum or bigger lump sum up to the limit set by the Finance Act 2004.

The value of the accrued benefits has been calculated on the basis of the age at which the person will first become entitled to receive a pension on retirement without reduction on account of its payment at that age; without exercising any option to commute pension entitlement into a lump sum; and without any adjustment for the effects of future inflation - assuming that the person left the related employment or service as at 31st March in the year to which the value relates.

8. Exit Packages

Exit packages include compulsory and voluntary redundancy costs, pension contributions in respect of added years, ex-gratia payments and other departure costs.

Exit Package Cost Band	Number of Compulsory Redundancies		Number of Other Agreed Departures		Total Number of Exit Packages by Cost Band		Total Cost of Exit Packages in Each Band £'000 £'000	
All Cost Bands	0	0	0	0	0	0	0	0
	0	0	0	0	0	0	0	0

All information disclosed in the tables at paragraphs 4, 5, 6 and 8 in this Remuneration Report has been audited. The other sections of the Remuneration Report have been reviewed by the appointed auditor to ensure that they are consistent with the annual accounts.

The South East of Scotland Transport Partnership (SESTRAN)

MOVEMENT IN RESERVES STATEMENT

This statement shows the movement in the year on different reserves held by the Partnership, analysed into "Usable Reserves" (that is, those that can be applied to fund expenditure) and "Unusable Reserves". The Surplus or (Deficit) on the Provision of Services line shows the true economic cost of providing the Partnership's services, more details of which are shown in the Comprehensive Income and Expenditure Statement. These are different from the statutory amounts required to be charged to the General Fund Balance before any discretionary transfers to or from earmarked reserves undertaken by the Partnership.

Re-stated

2020/21 - Previous Year Comparative

Opening Balances at 1 April 2020

Movement in reserves during 2020/21

Surplus or (Deficit) on Provision of Services
Other Comprehensive Expenditure and Income

Total Comprehensive Expenditure and Income

Adjustments between accounting basis & funding basis under
regulations (Note 7)

Increase/Decrease in 2020/21

Balance at 31 March 2021 carried forward

Usable Reserves		Unusable Reserves	Total Partnership Reserves
General Fund Balance	Total Usable Reserves		
£'000	£'000	£'000	£'000
189	189	(362)	(173)
(117) 0	(117) 0	0 (323)	(117) (323)
(117)	(117)	(323)	(440)
62	62	(62)	0
(55)	(55)	(385)	(440)
134	134	(747)	(613)

2021/22 - Current Financial Year

Opening Balances at 1 April 2021

Movement in reserves during 2021/22

Surplus or (Deficit) on Provision of Services
Other Comprehensive Expenditure and Income

Total Comprehensive Expenditure and Income

Adjustments between accounting basis & funding basis under
regulations (Note 7)

Increase/Decrease in 2021/22

Balance at 31 March 2022 carried forward

Usable Reserves		Unusable Reserves	Total Partnership Reserves
General Fund Balance	Total Usable Reserves		
£'000	£'000	£'000	£'000
134	134	(747)	(613)
(155) 0	(155) 0	0 509	(155) 509
(155)	(155)	509	354
182	182	(182)	0
27	27	327	354
161	161	(420)	(259)

The South East of Scotland Transport Partnership (SESTRAN)

COMPREHENSIVE INCOME AND EXPENDITURE STATEMENT 2021/22

This statement shows the accounting cost in the year of providing services in accordance with generally accepted accounting practices, rather than the amount to be funded by government grant, council requisitions and other income.

Re-stated 2020/21			2021/22			
Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000	Services	Gross Expenditure £'000	Gross Income £'000	Net Expenditure £'000
683	(6)	677	Core	750	0	750
858	(461)	397	Projects	1,551	(1,195)	356
1,541	(467)	1,074	Cost Of Services	2,301	(1,195)	1,106
65	(50)	15	Financing & Investment Income (Note 9)	71	(50)	21
0	(972)	(972)	Taxation and Non-Specific Grant Income (Note 10)	0	(972)	(972)
1,606	(1,489)	117	(Surplus) or Deficit on Provision of Services	2,372	(2,217)	155
			Other Comprehensive Income and Expenditure			
0	(99)	(99)	Change in Demographic Assumptions	0	(18)	(18)
775	0	775	Change in Financial Assumptions	0	(277)	(277)
0	(45)	(45)	Other Experience	8	0	8
0	(308)	(308)	Return on Assets excluding amounts included in net interest	0	(222)	(222)
775	(452)	323	Total Other Comprehensive Income and Expenditure	8	(517)	(509)
2,381	(1,941)	440	Total Comprehensive Income and Expenditure	2,380	(2,734)	(354)

The South East of Scotland Transport Partnership (SESTRAN)

BALANCE SHEET

The Balance Sheet shows the value as at the Balance Sheet date of the assets and liabilities recognised by the Partnership. The net assets of the Partnership (assets less liabilities) are matched by the reserves held by the Partnership. Reserves are reported in two categories. The first category of reserves are usable reserves, that is, those reserves that the Partnership may use to provide services, subject to the need to maintain a prudent level of reserves and any statutory limitations on their use. The second category of reserves are those that the Partnership is not able to use to provide services. This category of reserves include reserves that hold unrealised gains and losses (for example, the Capital Adjustment Account Reserve), where amounts would only become available to provide services if the assets are sold; and reserves that hold timing differences shown in the Movement in Reserves Statement line "Adjustments between accounting basis and funding basis under regulations".

Re-stated 31 March 2021 £'000		Note	31 March 2022 £'000
257	Property, plant and equipment	11	173
257	Long term assets		173
654	Short-term debtors	13	840
0	Provision for Bad Debts	14	0
320	Cash and cash equivalents	15	95
974	Current assets		935
(150)	Contributions and Grants Received in Advance		(40)
(704)	Short-term creditors	16	(747)
(854)	Current liabilities		(787)
(990)	Other long-term liabilities (Pensions)	24	(580)
(990)	Long-term liabilities		(580)
(613)	Net assets/ (liabilities)		(259)
	Financed by:		
134	Usable reserves	17	162
(747)	Unusable reserves	18	(421)
(613)	Total reserves		(259)

The unaudited Annual Accounts were issued on the 10th June 2022.

Treasurer: HUGH DUNN, CPFA

Date signed: 10th June 2022

The South East of Scotland Transport Partnership (SESTRAN)

CASH FLOW STATEMENT

The Cash Flow Statement shows the changes in cash and cash equivalents of the Partnership during the reporting period. The statement shows how the Partnership generates and uses cash and cash equivalents by classifying cash flows as operating, investing and financing activities. The amount of net cash flow arising from operating activities is a key indicator of the extent to which the operations of the Partnership are funded by way of government grant income, council requisitions and recipients of services provided by the Partnership. Investing activities represent the extent to which cash outflows have been made for resources which are intended to contribute to the Partnership's future service delivery. Cash flows arising from financing activities are useful in predicting claims on future cash flows by providers of capital (that is, borrowing) to the Partnership.

31 March 2021 £'000	31 March 2021 £'000		31 March 2022 £'000	31 March 2022 £'000
		OPERATING ACTIVITIES		
(782)		Government Grants	(782)	
(190)		Constituent Council Requisitions	(190)	
(1)		Interest paid/ (received)	0	
(924)		Other receipts from operating activities	(807)	
	(1,897)	Cash inflows generated from operating activities		(1,779)
561		Cash paid to and on behalf of employees	562	
1,068		Cash paid to suppliers of goods and services	1,478	
	1,629	Cash outflows generated from operating activities		2,040
	(268)	Net cash flows from operating activities		261
		INVESTING ACTIVITIES		
99		Purchase of property, plant and equipment	10	
0		Proceeds from the sale of property, plant and equipment	(46)	
	99	Net cash flows from investing activities		(36)
		FINANCING ACTIVITIES		
0		Other receipts from financing activities	0	
	0	Net cash flows from financing activities		0
	(169)	Net(increase)/ decrease in cash and cash equivalents		225
	151	Cash and cash equivalents at the beginning of the reporting period		320
	320	Cash and cash equivalents at the end of the reporting period (Note 15)		95

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

1. STATEMENT OF ACCOUNTING POLICIES

1.1 Accounting Policies

The Annual Accounts have been prepared in accordance with the International Financial Reporting Standards (IFRS) based Code of Practice in the United Kingdom (the Code). This is to ensure that the Annual Accounts "present a true and fair view" of the financial position and transactions of the Partnership.

The Annual Accounts have been prepared on an historic cost basis, modified by the valuation of pension assets and liabilities and property, plant and equipment, where appropriate.

1.2 Revenue Expenditure

Revenue expenditure is that which does not yield benefit beyond the year of account. In broad terms the revenue expenditure of the Partnership can be divided into two categories:

- employees;
- day-to-day operating expenses, includes costs incurred in respect of office accommodation transport, ICT, and project expenditure.

1.3 Revenue Income

Revenue income is that which does not yield benefit beyond the year of account. In broad terms the revenue income of the Partnership can be divided into the following categories:

- Council requisitions, which fund day to day expenditure;
- European Union, Scottish Government and other grant income awarded to fund specific projects;
- other income recoveries to fund specific projects.

1.4 Accruals of Expenditure and Income

The revenue account has been prepared on an accruals basis in accordance with the Code of Practice. Amounts estimated to be due to or from the Partnership, which are still outstanding at the year end, are included in the accounts. Government Grants have been accounted for on an accruals basis.

1.5 Operating Leases

a) Leased-in assets

Rental payments under operating leases are charged to the Comprehensive Income and Expenditure Statement on a straight line basis over the life of the lease.

b) Leased-out assets

The Partnership has not identified any leased-out assets that fall under the definition of operating leases.

1.6 Overheads

The cost of service in the Comprehensive Income and Expenditure Statement includes the Partnership's overheads.

1.7 Charges to the Comprehensive Income and Expenditure Statement for use of non-current assets

Charges are made to the Comprehensive Income and Expenditure Statement for the use of non-current assets, through depreciation charges. The aggregate charge to individual services is determined on the basis of the assets used in each service.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

1. STATEMENT OF ACCOUNTING POLICIES *(continued)*

1.8 Employee Benefits

Pensions

The Partnership is an admitted body to the Local Government Pension Scheme (LGPS) which is administered by Lothian Pension Fund. The LGPS is a defined benefit statutory scheme, administered in accordance with the Local Government Pension Scheme (Scotland) Regulations 1998, as amended.

The Annual Accounts have been prepared including pension costs, as determined under International Accounting Standard 19 – Employee Benefits (IAS 19). The cost of service in the Comprehensive Income and Expenditure Statement includes expenditure equivalent to the amount of retirement benefits the Partnership has committed to during the year. Pensions interest cost and the expected return on pension assets have been included in the “Surplus or Deficit on the Provision of Services” within the Comprehensive Income and Expenditure Statement.

The pension costs charged to the Comprehensive Income and Expenditure Statement in respect of employees are not equal to contributions paid to the funded scheme for employees. The amount by which pension costs under IAS19 are different from the contributions due under the pension scheme regulations are disclosed in the Movement in Reserves Statement for the General Fund.

Pension assets have been valued at bid value (purchase price), as required under IAS19.

Under pension regulations, contribution rates are set to meet 100% of the overall liabilities of the Fund.

Accruals of Holiday Leave

Cost of service includes a charge for annual leave to which employees are entitled, but have not taken as at the Balance Sheet date. The Partnership is not required to raise requisitions on constituent councils to cover the cost of accrued annual leave. These costs are therefore replaced by revenue provision in the Movement in Reserves Statement for the General Fund balance by way of an adjusting transaction with the Accumulated Absence Account.

1.9 Non Current Assets

Property, Plant and Equipment

Property, Plant and Equipment is categorised into the following classes:

- Vehicles, plant and equipment;
- Assets under construction;

Recognition:

- Expenditure on the acquisition, creation or enhancement of Property, Plant and Equipment has been capitalised on an accruals basis;

Depreciation:

- Depreciation is provided on all Property, Plant and Equipment;
- The Partnership provides depreciation on its Property, Plant and Equipment from the month when it comes into use. Thereafter depreciation is provided on a straight line basis over the expected life of the asset. No depreciation is provided on Assets Under Construction.

Measurement:

Property, Plant and Equipment are included in the Balance Sheet at the lower of net current replacement cost or net realisable value in existing use, net of depreciation.

1.10 Government Grants and Other Contributions

• Revenue

Revenue grants and other contributions have been included in the financial statements on an accruals basis.

Where such funds remain unapplied at the Balance Sheet date, but approval has been given to carry these funds forward to the next financial year, the funds have been accrued.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

1. STATEMENT OF ACCOUNTING POLICIES (*continued*)

1.1 Government Grants and Other Contributions (*continued*)

• Capital

Capital grants and contributions are recognised in the Comprehensive Income and Expenditure Statement, except to the extent there are conditions attached to them that have not been met.

Where there are no conditions attached to capital grants and contributions, these funds are a reconciling item in the Movement in Reserves Statement by way of an adjusting transaction with the capital adjustment account where expenditure has been incurred and the unapplied capital grants account, where expenditure has not been incurred.

Where there are outstanding conditions attached to capital grants and contributions that have not been met by the Balance Sheet date, the grant or the contribution will be recognised as part of capital grants in advance. Once the condition has been met, the grant or contribution will be transferred from capital grants received in advance and recognised as income in the Comprehensive Income and Expenditure Statement.

1.11 Provisions

Provisions are made for liabilities of uncertain timing or amount that have been incurred.

The value of provisions is based upon the Partnership's obligations arising from past events, the probability that a transfer of economic benefit will take place, and a reasonable estimate of the obligation.

1.12 Reserves

Reserves held on the Balance Sheet are classified as either usable or unusable. Unusable reserves cannot be applied to fund expenditure. The Transport Scotland (2019) Act permits the Partnership to operate a usable reserve. In March 2020 a Reserves Policy was approved, permitting the Partnership to hold a general reserve with a minimum value of 5% of annual Core budget. Balances held in excess of 5% require to be reviewed annually in-line with risk/identified commitments. The Partnership also operates a General Fund reserve to manage slippage on approved Project budget delivery.

The Partnership operates the following unusable reserves:

a) **Pension Reserve**

The Partnership operates a Pensions Reserve Fund under the terms of the Local Government Pension Reserve Fund (Scotland) Regulations 2003. The Pension Reserve represents the net monies which the Partnership requires to meet its net pension liability as calculated under IAS 19, Employee Benefits;

b) **Capital Adjustment Account**

The Capital Adjustment Account represents movement in the funding of assets arising either from capital resources such as capital receipts, or capital funded directly from revenue contributions;

c) **Accumulated Absences Account**

This represents the net monies which the Partnership requires to meet its short-term compensated absences for employees under IAS19.

1.13 Financial Instruments

Financial Assets

Loans and receivables are initially measured at fair value and carried at their amortised cost. Annual credits to the Comprehensive Income and Expenditure Statement for interest receivable are based on the carrying amount of the asset multiplied by the effective rate of interest for the instrument.

Surplus funds held on behalf of the Partnership are managed by the City of Edinburgh Council under a formal management agreement in a pooled investment arrangement.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

1. STATEMENT OF ACCOUNTING POLICIES (*continued*)

1.14 Cash and Cash Equivalents

Cash and cash equivalents include:

- Credit and debit funds held in banks

1.15 Contingent Liabilities

A contingent liability arises where an event has taken place that gives the Partnership a possible obligation whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the control of the Partnership.

Contingent liabilities are not recognised in the Balance Sheet but disclosed in a note to the accounts.

1.16 Value Added Tax

VAT payable is included as an expense only to the extent that it is not recoverable from Her Majesty's Revenue and Customs.

1.17 Events After the Reporting Period

Events after the reporting period are those events, both favourable and unfavourable, that occur between the end of the reporting period and the date when the Annual Accounts are authorised for issue.

Two types of events can be identified:

- i) those that provide evidence of conditions that existed at the end of the reporting period - the Annual Accounts are adjusted to reflect such events;
- ii) those that are indicative of conditions that arose after the reporting period - the Annual Accounts are not adjusted to reflect such events, but where a category of events would have a material effect, disclosure is made in the notes of the nature of the events and their estimated financial effect.

Events taking place after the date of authorisation for issue are not reflected in the Annual Accounts.

1.18 Short Term Debtors and Short Term Creditors

The revenue transactions of the Partnership are recorded on an accruals basis which means that amounts due to or from the Partnership, but still outstanding at the year end, are included in the accounts. Where there was insufficient information available to provide actual figures, estimates have been included.

1.19 Changes in Accounting Policies and Estimates and Errors

Changes in accounting policies are only made when required by proper accounting practices or the change provides more reliable or relevant information about the effect of transactions, other events and conditions on the Partnership's financial position or performance.

Changes in accounting estimates are accounted for prospectively; i.e. in the current and future years affected by the change.

Material errors discovered in prior period figures are corrected retrospectively by amending opening balances and comparative amounts for the prior period.

1.20 Going Concern

It is considered appropriate to adopt a going concern basis for the preparation of the Annual Accounts, given ongoing Regional Transport Partnership grant funding provided by Scottish Ministers under Section 70 of the Transport (Scotland) Act 2001 and constituent councils obligation to meet the net expenses of the Partnership under Section 3 of the Transport (Scotland) Act 2005.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

2. EXPENDITURE AND FUNDING ANALYSIS

The Expenditure and Funding Analysis shows how annual expenditure is used and funded from resources by the Partnership in comparison with those resources consumed or earned by the Partnership in accordance with general accounting practice. It also shows how this expenditure is allocated for decision making purposes between service areas. Income and expenditure accounted for under generally accepted accounting practices is presented more fully in the Comprehensive Income and Expenditure Statement (CIES) (see page 13).

Expenditure and Funding Analysis

	Net Expenditure Chargeable to the General Fund	Adjustments	Net Expenditure in the CIES
2021/22	£'000	£'000	£'000
Core	588	162	750
Projects	356	0	356
Net Cost of Services	944	162	1,106
Other Income and Expenditure			
Government grant	(782)	0	(782)
Constituent council requisitions	(190)	0	(190)
Interest Received	0	0	0
Net pension interest cost	0	21	21
(Surplus) or deficit on the provision of services	(28)	183	155
	Net Expenditure Chargeable to the General Fund	Adjustments	Net Expenditure in the CIES
Re-stated 2020/21	£'000	£'000	£'000
Core	563	115	678
Projects	463	(67)	396
Net Cost of Services	1,026	48	1,074
Other Income and Expenditure			
Government grant	(782)	0	(782)
Constituent council requisitions	(190)	0	(190)
Interest Received	0	0	0
Net pension interest cost	0	15	15
(Surplus) or deficit on the provision of services	54	63	117

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

2. EXPENDITURE AND FUNDING ANALYSIS *(continued)*

Expenditure and Funding Analysis *(continued)*

2.1 Adjustments from the General Fund to arrive at the Comprehensive Income and Expenditure Statement amounts:

	Adjusts. For Capital Purposes £'000	Net Change for Pensions Adjusts. £'000	Other Differences £'000	Total Statutory Adjusts. £'000
2021/22				
Core	84	78	0	162
Projects	0	0	0	0
Net Cost of Services	84	78	0	162
Other Income and Expenditure				
Net pension interest cost	0	21	0	21
(Surplus) or deficit on the provision of services	84	99	0	183
Re-stated 2020/21				
Core	119	(9)	5	115
Projects	(67)	0	0	(67)
Net Cost of Services	52	(9)	5	48
Other Income and Expenditure				
Net pension interest cost	0	15	0	15
(Surplus) or deficit on the provision of services	52	6	5	63

- Adjustments for capital purposes include the removal of depreciation and impairment costs, and the inclusion of capital funded from current revenue.
- Net changes for pensions adjustment relates to the adjustment made for the removal of IAS19 Employee Benefits pension related expenditure and income with the pension contributions.
- Other differences relate to the reversal of the value of entitlement to accrued leave.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

2. EXPENDITURE AND FUNDING ANALYSIS *(continued)*

2.2 Segmental Analysis of Income included in Expenditure and Funding Analysis

	Core £'000	Projects £'000	Total £'000
2021/22			
Expenditure			
Employee expenses	403	0	403
Other service expenses	185	1,551	1,736
Total Expenditure	588	1,551	2,139
Income			
Government grants and other contributions	0	(1,195)	(1,195)
Total Income	0	(1,195)	(1,195)
Net Cost of Services	588	356	944
Re-stated 2020/21			
Expenditure			
Employee expenses	389	0	389
Other service expenses	180	924	1,104
Total Expenditure	569	924	1,493
Income			
Government grants and other contributions	(6)	(461)	(467)
Total Income	(6)	(461)	(467)
Net Cost of Services	563	463	1,026

2.3 Expenditure and Income Analysed by Nature

The Partnership's expenditure and income, as set out within the Comprehensive Income and Expenditure Statement is analysed as follows:

	31st March 2022 £'000	Re-stated 31st March 2021 £'000
Expenditure		
Employee expenses	481	384
Other service expenses	1,726	1,037
Depreciation, amortisation and impairment	94	119
Interest payments	71	65
Total Expenditure	2,372	1,605
Income		
Fees, charges and other service income	0	(5)
Interest and investment income	(50)	(50)
Income from constituent councils	(190)	(190)
Government grants and other contributions	(1,977)	(1,243)
Total Income	(2,217)	(1,488)
(Surplus) or Deficit on the Provision of Services	155	117

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

3. ACCOUNTING STANDARDS THAT HAVE BEEN ISSUED BUT NOT YET ADOPTED

The Code requires the disclosure of information relating to the impact of an accounting change that will be required by a new standard that has been issued but not yet adopted. This applies to the adoption of the following new or amended standards within the 2021/22 Code. For 2021/22 the following accounting policy changes that need to be reported relate to annual improvements to IFRS Standards 2018–2020. The annual IFRS improvement programme notes four changed standards:

- IFRS 1 (First-time adoption) – amendment relates to foreign operations of acquired subsidiaries transitioning to IFRS;
- IAS 37 (Onerous contracts) – clarifies the intention of the standard;
- IFRS 16 (Leases) – amendment removes a misleading example that is not referenced in the Code material;
- IAS 41 (Agriculture) – only expected to apply to local authorities in limited circumstances.

CIPFA/LASAAC does not envisage the changes having a significant effect on local authority financial statements.

- Property, Plant and Equipment: Proceeds before Intended Use (Amendments to IAS 16).

4. CRITICAL JUDGEMENTS IN APPLYING ACCOUNTING POLICIES

In applying the accounting policies set out in Note 1, the Partnership has had to make certain judgements about complex transactions or those involving uncertainty about future events.

The critical judgements made in the Annual Accounts are:

- There is high degree of uncertainty about future levels of funding for local government. The Partnership has determined that this uncertainty is not yet sufficient to provide an indication that the Partnership's assets might be impaired as a result of a need to reduce service provision;
- Local Government Pension Scheme - Guaranteed minimum pension (GMP). The interim solution to avoid inequalities between men and women's benefits following the introduction of the Single State Pension in 2016 resulted in a recalculation of pension liabilities for the estimated impact of GMP indexation changes. The Partnership's actuary's understanding is that the further Lloyd's ruling is unlikely to have a significant impact on the pension obligations of a typical employer. As the historic individual member data required to assess an impact is not readily available, the Partnership's actuary has not made any allowance for this within the pension liability calculation;
- Local Government Pension Scheme (LGPS) - McCloud judgement. An allowance for the estimated impact of the McCloud judgement was included within the 31 March 2021 valuation position. The impact was calculated based on the eligibility criteria of being included within the proposed solution for the McCloud judgement (i.e. any active member who was a participant in the Fund as at 1 April 2012 will be given the greater of the final salary pension or CARE pension upon retirement). The McCloud allowance is therefore included in the 31 March 2022 pension liability;
- The Goodwin case judgement, in respect of deemed discrimination in spousal transfer on death of a member, may also result in the potential increasing of the pension liabilities. Whilst there is still uncertainty surrounding the potential remedy to the Goodwin judgement, the Partnership's actuary has undertaken analysis to understand the potential impact of implementing a solution to correct the past underpayment of spouses' benefits. The approximate impact of this is very small for a typical Fund (c 0.1-0.2% of obligations). The Partnership's actuary does not believe there are sufficient grounds to apply an additional adjustment to account for this;
- The Walker and O'Brien court cases may impact on future LGPS benefits. The Partnership's actuary understands these are unlikely to be significant judgements in terms of impact on the pension obligations of a typical employer. As a result, and until further guidance is released from the relevant governing bodies in the LGPS, no allowance has been made for the potential remedies for these judgements.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

5. ASSUMPTIONS MADE ABOUT THE FUTURE AND OTHER MAJOR SOURCES OF ESTIMATION UNCERTAINTY

The Annual Accounts contains estimated figures that are based on assumptions made by the Partnership about the future or events that are otherwise uncertain. Estimates are made taking into account historical experience, current trends and other relevant factors. However, because balances cannot be determined with certainty, actual results could be materially different from the assumptions and estimates.

The items in the Partnership's Balance Sheet at 31 March 2022 for which there is a significant risk of material adjustment in the forthcoming financial year are:

5.1 Pension Liabilities

Uncertainties

Estimation of the net liability to pay pensions depends on a number of complex judgements relating to the discount rate used, the rate at which salaries are projected to increase, changes in retirement ages, mortality rates and expected returns on pension fund assets. A firm of consulting actuaries is engaged to provide the Partnership with expert advice about the assumptions to be applied.

Effect if Actual Result Differs from Assumptions

Formal actuarial valuations are carried out every three years, where each employer's assets and liabilities are calculated on a detailed basis, using individual member data for cash contribution setting purposes. For LGPS Funds, asset investment returns have been greater than expected compared to last year's accounting date assumption. The net discount rate assumption has increased by more than the increase in the CPI assumption, which has resulted in a gain on the balance sheet position. For a medium duration LGPS employer, this could be of the order of 6-8% of obligations. Using more up-to-date longevity assumption has also led to a small gain on the obligations.

Under accounting guidance, employers are expected to disclose the sensitivity of the valuation to key assumptions. The following table shows the sensitivity of the results to the changes in the assumptions used to measure the scheme liabilities, including approximate percentage changes and monetary values:

	Approximate % increase to Defined Benefit Obligation	Approximate monetary amount (£000)
0.1% decrease in Real Discount Rate	2%	76
1 year increase in member life expectancy	4%	136
0.1% increase in the Salary Increase Rate	0%	2
0.1% increase in the Pension Increase Rate	2%	73

6. EVENTS AFTER THE BALANCE SHEET DATE

The Unaudited Annual Accounts were authorised for issue on 10th June 2022. Events taking place after this date are not reflected in the financial statements or notes. Where events taking place before this date provide information about conditions existing at 31st March 2022, the figures in the financial statements and notes have been adjusted in all material respects to reflect the impact of this information.

There were no events which took place after 31st March 2022 which would materially affect the 2021/22 Annual Accounts.

Following the Scottish Local Government Elections on 5th May 2022, Constituent Councils have progressed appointment of their membership to the Partnership. The first meeting of the new Partnership Board is due to take place on 17th June 2022.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

7. ADJUSTMENTS BETWEEN ACCOUNTING BASIS AND FUNDING BASIS UNDER REGULATIONS

This note details the adjustments that are made to the total Comprehensive Income and Expenditure Statement recognised by the Partnership in the year in accordance with proper accounting practice to the resources that are specified by statutory provisions as being available to the Partnership to meet future capital and revenue expenditure.

2021/22	Usable Reserves	Unusable Reserves			
	General Fund Balance	Capital Adjustment Account	Accumulated Absence Account	Pension Reserve	Movement in Unusable Reserve
	£'000	£'000	£'000	£'000	£'000
Adjustments primarily involving the <u>Capital Adjustment Account</u>					
Reversal of items debited or credited to the Comprehensive Income and Expenditure Statement (CIES)					
Charges for depreciation and impairment of non-current assets	94	(94)			(94)
Insertion of items not debited or credited to the Comprehensive Income and Expenditure Statement (CIES)					
Contributions credited to the CIES that have been applied to capital financing	10	(10)			(10)
Adjustments primarily involving the <u>Pensions Reserve</u>					
Reversal of items relating to retirement benefits debited or credited to the CIES	207			(207)	(207)
Employer's pension contributions and direct payments to pensioners payable in the year	(129)			129	129
Adjustments primarily involving the <u>Accumulated Absence Account</u>					
Amount by which officer remuneration charged to the CIES on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	0		0		0
Total Adjustments	182	(104)	0	(78)	(182)

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

7. ADJUSTMENTS BETWEEN ACCOUNTING BASIS AND FUNDING BASIS UNDER REGULATIONS

(continued)

This note details the adjustments that are made to the total Comprehensive Income and Expenditure Statement recognised by the Partnership in the year in accordance with proper accounting practice to the resources that are specified by statutory provisions as being available to the Partnership to meet future capital and revenue expenditure.

Re-stated 2020/21	Usable Reserves	Unusable Reserves			
	General Fund Balance	Capital Adjustment Account	Accumulated Absence Account	Pension Reserve	Movement in Unusable Reserve
	£'000	£'000	£'000	£'000	£'000
Adjustments primarily involving the Capital Adjustment Account					
Reversal of items debited or credited to the Comprehensive Income and Expenditure Statement (CIES)					
Charges for depreciation and impairment of non-current assets	119	(119)			(119)
Insertion of items not debited or credited to the Comprehensive Income and Expenditure Statement (CIES)					
Contributions credited to the CIES that have been applied to capital financing	(67)	67			67
Adjustments primarily involving the Pensions Reserve					
Reversal of items relating to retirement benefits debited or credited to the CIES	136			(136)	(136)
Employer's pension contributions and direct payments to pensioners payable in the year	(130)			130	130
Adjustments primarily involving the Accumulated Absence Account					
Amount by which officer remuneration charged to the CIES on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	4		(4)		(4)
Total Adjustments	62	(52)	(4)	(6)	(62)

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

8. TRANSFERS TO/FROM EARMARKED RESERVES

In accordance with the provisions of the Transport Scotland (2019) Act, the Partnership has agreed a Reserves Policy. An earmarked balance will be established to meet slippage on project delivery from 2021/22 to 2022/23.

9. FINANCING AND INVESTMENT INCOME

	2021/22 £'000	2020/21 £'000
Interest income on plan assets	(50)	(50)
Interest Received	0	0
Pensions interest cost	71	65
	<hr/> 21	<hr/> 15

10. TAXATION AND NON SPECIFIC GRANT INCOME

	2021/22 £'000	2020/21 £'000
Government Grant	(782)	(782)
Constituent Council Requisitions	(190)	(190)
	<hr/> (972)	<hr/> (972)

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

11. PROPERTY, PLANT AND EQUIPMENT

11.1 Movements on balances:

Movements in 2021/22	Vehicles Plant and Equipment £'000	Assets Under Construction £'000	Total Property Plant and Equipment £'000
Cost or Valuation			
At 1st April 2021	787	137	924
Additions	10	0	10
Transfers	88	(88)	0
Revaluation increases/(decreases) recognised in the Surplus/Deficit on the Provision of Services	0	(21)	(21)
At 31st March 2022	885	28	913
Accumulated Depreciation			
At 1st April 2021	(667)	0	(667)
Depreciation charge	(73)	0	(73)
Depreciation written out to the Surplus/Deficit on the Provision of Services	0	0	0
At 31st March 2022	(740)	0	(740)
Net Book Value			
At 31st March 2022	145	28	173

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

11. PROPERTY, PLANT AND EQUIPMENT *(continued)*

11.2 Movements on balances:

Comparative Movements in 2020/21

Cost or Valuation	Vehicles Plant and Equipment £'000	Re-stated Assets Under Construction £'000	Total Property Plant and Equipment £'000
At 1st April 2020	791	70	861
Additions	0	113	113
Transfers to other bodies		(46)	(46)
Revaluation increases/(decreases) recognised in the Surplus/Deficit on the Provision of Services	(4)	0	(4)
At 31st March 2021	787	137	924
Accumulated Depreciation			
At 1st April 2020	(552)	0	(552)
Depreciation charge	(119)	0	(119)
Depreciation written out to the Surplus/Deficit on the Provision of Services	4	0	4
At 31st March 2021	(667)	0	(667)
Net Book Value			
At 31st March 2021	120	137	257

11.3 Depreciation

The following useful lives have been used in the calculation of depreciation:

- Vehicles, plant and equipment: 4 - 5 years

The Partnership provides depreciation on its Property, Plant and Equipment from the month when it comes into use.

11.4 Capital Commitments

As at 31st March 2022, the Partnership has committed to purchase two wayfinding panels at a cost of £20,000.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

12. FINANCIAL INSTRUMENTS

12.1 Financial Instruments - Classifications

A financial instrument is a contract that gives rise to a financial asset of one entity and a financial liability or equity instrument of another entity. Non-exchange transactions, such as those relating to government grants, do not give rise to financial instruments.

Financial Liabilities

A financial liability is an obligation to transfer economic benefits controlled by the Partnership and can be represented by a contractual obligation to deliver cash or financial assets or an obligation to exchange financial assets and liabilities with another entity that is potentially unfavourable to the Partnership.

The Partnership's financial liabilities held during the year comprised:

- Trade payables for goods and services received.

Financial Assets

A financial asset is a right to future economic benefits controlled by the Partnership that is represented by cash, equity instruments or a contractual right to receive cash or other financial assets or a right to exchange financial assets and liabilities with another entity that is potentially favourable to the Partnership.

The Partnership's financial assets held during the year comprised:

- Cash in hand;
- Cash and cash equivalents (Loans and receivables). The Partnership maintains its funds 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;
- Trade receivables for goods and services provided.

12.2 Financial Instruments - Balances

The financial liabilities disclosed in the Balance Sheet are analysed across the following categories

	Current	
	31st March 2022 £'000	31st March 2021 £'000
Trade creditors	718	633

The financial assets disclosed in the Balance Sheet are analysed across the following categories:

	Current	
	31st March 2022 £'000	31st March 2021 £'000
Loans and receivables	529	618
Trade debtors	287	193
	816	811

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

12. FINANCIAL INSTRUMENTS *(continued)*

12.3 Financial Instruments - Fair Values

The financial assets represented by loans and receivables are carried in the Balance Sheet at amortised cost. Since all of the Partnership's loans and receivables mature within the next 12 months, the carrying amount has been assumed to approximate to fair value. The fair value of trade and other receivables is taken to be the invoiced or billed amount.

The fair values calculated are as follows:

Financial Liabilities	31 March 2022		31 March 2021	
	Carrying	Fair	Carrying	Fair
	Amount	Value	Amount	Value
	£'000	£'000	£'000	£'000
Trade creditors	718	718	633	633
Financial Assets	31 March 2022		31 March 2021	
	Carrying	Fair	Carrying	Fair
	Amount	Value	Amount	Value
	£'000	£'000	£'000	£'000
Loans and receivables	529	529	618	618
Trade debtors	287	287	193	193
	<u>816</u>	<u>816</u>	<u>811</u>	<u>811</u>

12.4 Income, Expenses, Gains and Losses

The gains and losses recognised in the Comprehensive Income and Expenditure Statement in relation to financial instruments are made up as follows:

	31st March 2022 £'000	31st March 2021 £'000
Total expense and income in Surplus or Deficit on the Provision of Services:		
Interest Income	0	0

13. DEBTORS

	31st March 2022 £'000	31st March 2021 £'000
Debtors:		
Central government bodies	315	367
Other local authorities	254	61
HM Customs and Excise - VAT	20	43
Other entities and individuals	251	183
	<u>840</u>	<u>654</u>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

14. PROVISION FOR BAD DEBTS

Cost or Valuation	31st March 2022 £'000	31st March 2021 £'000
Opening Balance	0	0
Provision made during year	0	0
Unused amounts reversed during the year	0	0
Closing Balance	0	0

15. CASH AND CASH EQUIVALENTS

The balance of cash and cash equivalents is made up of the following elements:

	31st March 2022 £'000	31st March 2021 £'000
Bank account	95	320
	95	320

16. CREDITORS

	31st March 2022 £'000	31st March 2021 £'000
Central government bodies	0	0
Other local authorities	(29)	(56)
Other entities and individuals	(694)	(634)
Employee costs	(24)	(14)
	(747)	(704)

17. USABLE RESERVES

	31st March 2022 £'000	31st March 2021 £'000
17.1 Unallocated General Fund Reserve	104	29
17.2 Earmarked Balance - Project Budget slippage	58	105
	162	134

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

18. UNUSABLE RESERVES

	31st March 2022 £'000	Re-stated 31st March 2021 £'000
18.1 Capital Adjustment Account	173	257
18.2 Pension Reserve	(580)	(990)
18.3 Accumulated Absence Account	(14)	(14)
	<u>(421)</u>	<u>(747)</u>

18.1 Capital Adjustment Account

The Capital Adjustment Account absorbs the timing differences arising from the different arrangements for accounting for the consumption of non-current assets and for financing the acquisition, construction or enhancement of those assets under statutory provisions. The Account is debited with the cost of acquisition, construction or enhancement as depreciation, impairment losses and amortisations are charged to the Comprehensive Income and Expenditure Statement (with reconciling postings from the Revaluation Reserve to convert fair value figures to a historical cost basis). The Account is credited with the amounts set aside by the Partnership as finance for the costs of acquisition, construction and enhancement.

	2021/22 £'000	Re-stated 2020/21 £'000
Balance at 1st April	257	309
Reversal of items related to capital expenditure debited or credited to the Comprehensive Income and Expenditure Statement:		
• Charges for depreciation and impairment of non-current assets	(73)	(119)
• Charges for revaluation of non-current assets	(21)	0
	<u>163</u>	<u>190</u>
Net written out amount of the cost of non-current assets consumed in year		
Capital financing applied in the year:		
• Contributions credited to the Comprehensive Income and Expenditure Statement that have been applied to capital financing	10	67
	<u>173</u>	<u>257</u>
Balance at 31st March		

18.2 Pension Reserve

The Pension Reserve absorbs the timing differences arising from the different arrangements for accounting for post employment benefits and for funding benefits in accordance with statutory provisions. The Partnership accounts for post employment benefits in the Comprehensive Income and Expenditure Statement as the benefits are earned by employees accruing years of service, updating the liabilities recognised to reflect inflation, changing assumptions and investment returns on any resources set aside to meet the costs. However, statutory arrangements require benefits earned to be financed as the Partnership makes employer's contributions to pension funds or eventually pays any pensions for which it is directly responsible. The debit balance on the Pensions Reserve therefore shows a shortfall in the benefits earned by past and current employees and the resources the Partnership has set aside to meet them. The statutory arrangements will ensure that funding will have been set aside by the time the benefits come to be paid.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

18. UNUSABLE RESERVES *(continued)*

18.2 Pension Reserve *(continued)*

	2021/22 £'000	2020/21 £'000
Balance at 1st April	(990)	(661)
Remeasurements of the net defined benefit liability	509	(323)
Reversals of items relating to retirement benefits debited or credited to the Surplus or Deficit on the Provision of Services in the Comprehensive Income and Expenditure Statement.	(228)	(136)
Employer's pension contributions and direct payments to pensioners payable in the year.	129	130
Balance at 31st March	<u>(580)</u>	<u>(990)</u>

18.3 Accumulated Absence Account

The Accumulated Absence Account absorbs the differences that would otherwise arise on the General Fund Balance from accruing for compensated absences earned but not taken in the year, for example, annual leave entitlement carried forward at 31st March. Statutory arrangements require that the impact on the General Fund balance is neutralised by transfers to or from the Account.

	2021/22 £'000	2020/21 £'000
Balance at 1st April	(14)	(10)
Settlement or cancellation of accrual made at the end of the preceding year	14	10
Amounts accrued at the end of the current year	(14)	(14)
Balance at 31st March	<u>(14)</u>	<u>(14)</u>

19. MEMBERS EXPENSES

The Partnership paid the following amounts to members during the year:

	2021/22 £'000	2020/21 £'000
Expenses	<u>0</u>	<u>0</u>
	<u>0</u>	<u>0</u>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

20. EXTERNAL AUDIT COSTS

The Partnership has incurred the following costs in relation to the audit of the Annual Accounts, certification of grant claims, statutory inspections and to non-audit services provided by the Partnership's external auditors:

	2021/22	2020/21
	£'000	£'000
Fees payable in respect of:		
• external audit services carried out by the appointed auditor for the year	11	10
	<u>11</u>	<u>10</u>

21. GRANT INCOME

The Partnership credited the following grants, contributions and donations to the Comprehensive Income and Expenditure Statement:

	2021/22	2020/21
	£'000	£'000
Credited to Taxation and Non Specific Grant Income		
Scottish Government - Revenue Grant	(782)	(782)
Constituent Council Requisitions (Note 22.3)	(190)	(190)
	<u>(972)</u>	<u>(972)</u>
Credited to Services		
EU Grant - Bling	(17)	(22)
EU Grant - Connect	(14)	(10)
EU Grant - Primaas	(33)	(28)
EU Grant - Regio Mob	(6)	(6)
EU Grant - Sharenorth	(42)	(13)
EU Grant - Surflogh	(34)	(10)
Contribution - City of Edinburgh Council	(2)	(2)
Contribution - Clackmannanshire Council	(3)	(6)
Contribution - East Lothian Council	(6)	(2)
Contribution - Falkirk Council	(4)	(2)
Contribution - Fife Council	(143)	(2)
Contribution - First Bus Scotland	(5)	0
Contribution - Inclusion Scotland	0	(5)
Contribution - Midlothian Council	(9)	0
Contribution - Paths for All	(25)	0
Contribution - Scotrail	3	(4)
Contribution - Scottish Borders Council	(69)	(2)
Contribution - Scottish Enterprise	(110)	0
Contribution - Stirling Communication Centre	(2)	0
Contribution - Transport Scotland	(484)	(317)
Contribution - West Lothian Council	(10)	(40)
Contribution - HITRANS	(4)	(4)
Contribution - NESTRANS	(5)	(6)
Contribution - SPT	(4)	(9)
Contribution - SUSTRANS	(159)	(15)
Contribution - SWESTRANS	(2)	(3)
Contribution - TACTRAN	(5)	(6)
Contribution - ZETRANS	(1)	(1)
	<u>(1,195)</u>	<u>(513)</u>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

22. RELATED PARTIES

The Partnership is required to disclose material transactions with related parties - bodies or individuals that have the potential to control or influence the Partnership or to be controlled or influenced by the Partnership. Disclosure of these transactions allows readers to assess the extent to which the Partnership might have been constrained in its ability to operate independently or might have secured the ability to limit another party's ability to bargain freely with the Partnership.

22.1 Scottish Government

The Partnership receives grant-in-aid revenue funding through the Scottish Government. Grants received from the Scottish Government are set out in the subjective analysis in Note 21.

22.2 Members

Members of the Partnership have direct control over the Partnership's financial and operating policies. The total of members' expenses paid by the Partnership in 2021-22 is shown in Note 19.

22.3 Other Parties

During the year, the Partnership entered into the following transactions with related parties:

	2021/22 £'000	2020/21 £'000
• Revenue Expenditure - Support Services		
City of Edinburgh Council - Financial and Clerking Services	42	43
Falkirk Council - HR Services	0	0
	<hr/>	<hr/>
	42	43
	<hr/>	<hr/>
• Revenue Expenditure - Other		
East Lothian Council	30	0
Edinburgh & Lothians Greenspace Trust	20	15
Midlothian Council	0	6
NHS Lothian	43	0
Scottish Government	15	79
West Lothian Council	14	0
	<hr/>	<hr/>
	122	100
	<hr/>	<hr/>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

22. RELATED PARTIES *(continued)*

22.3 Other Parties *(continued)*

	2021/22 £'000	2020/21 £'000
• Revenue Income - Requisitions		
Clackmannanshire Council	(6)	(6)
East Lothian Council	(13)	(13)
City of Edinburgh Council	(61)	(61)
Falkirk Council	(19)	(19)
Fife Council	(44)	(44)
Midlothian Council	(11)	(11)
Scottish Borders Council	(14)	(14)
West Lothian Council	(22)	(22)
	<hr/> (190) <hr/>	<hr/> (190) <hr/>
• Revenue Income - Interest on Revenue Balances		
City of Edinburgh Council	0	0
	<hr/> 0 <hr/>	<hr/> 0 <hr/>
• Revenue Income - Other		
City of Edinburgh Council	(2)	(2)
Clackmannanshire Council	(3)	(6)
East Lothian Council	(6)	(2)
Falkirk Council	(4)	0
Fife Council	(143)	(2)
Midlothian Council	(9)	0
Scottish Borders Council	(69)	(2)
Scottish Enterprise	(110)	0
Transport Scotland	(484)	(317)
West Lothian Council	(10)	(40)
	<hr/> (840) <hr/>	<hr/> (371) <hr/>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

22. RELATED PARTIES *(continued)*

22.3 Other Parties *(continued)*

The following represents amounts due to/(from) the Partnership at 31 March 2022, with its related parties.

CREDITORS	2021/22 £'000	2020/21 £'000
• Creditors - Related Parties (Revenue Grants)		
East Lothian Council	(28)	0
Scottish Enterprise	(40)	(150)
West Lothian Council	0	(56)
	<u>(68)</u>	<u>(206)</u>
• Creditors - Related Parties (Other)		
City of Edinburgh Council	(1)	0
Edinburgh & Lothians Greenspace Trust	0	(15)
Falkirk Council	0	0
	<u>(1)</u>	<u>(15)</u>
• Creditors - Other Parties	<u>(718)</u>	<u>(633)</u>
Total Creditors	<u>(787)</u>	<u>(854)</u>
DEBTORS		
• Debtors - Related Parties (Revenue Grants/ Other)		
Clackmannanshire Council	1	6
East Lothian Council	(12)	2
Fife Council	169	2
Scottish Borders Council	84	2
Scottish Enterprise	0	150
Transport Scotland	315	216
West Lothian Council	11	50
	<u>568</u>	<u>428</u>
• Debtors - Other Parties	<u>272</u>	<u>226</u>
Total Debtors	<u>840</u>	<u>654</u>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

23. LEASES

Operating Leases

From 8th February 2016 the Partnership took occupancy of Area 3D (Bridge) in Victoria Quay, Edinburgh under the terms of a Memorandum of Terms of Occupation (MOTO) with the Scottish Government, which forms part of the Civil Estates Occupancy Agreement (CEOA).

The Partnership signed a new MOTO and is permitted to occupy the space from 8th February 2019 to 7th February 2022 (the Prescribed Term) and so on until ended by either party giving notice under the terms of the CEOA. Both parties will, upon provision of not less than 1 year's prior written notice, have the ability to break this agreement.

The Partnership currently has a contract with O2 to lease ten Apple iPhones for staff use. The minimum term for this contract is 24 months before the Partnership has the option to terminate the lease under no penalty. This contract expires in February 2024.

The Partnership currently has a contract with Ricoh UK Ltd to lease an office printer. The minimum term for this contract is 36 months before the Partnership has the option to terminate the lease under no penalty. This contract expires in August 2022.

The Partnership's expenditure on lease payments during 2021/22 was £17,000 (2020/21 £19,000)

The minimum lease payments due under non-cancellable leases in future years are:

	2021/22 £'000	2020/21 £'000
• Not later than 1 year	21	18
• Over 1 year	4	0
	<hr/> 25	<hr/> 18

The Partnership has no other material operational leases.

24. DEFINED BENEFIT PENSION SCHEMES

24.1 Participation in Pension Schemes

As part of the terms and conditions of employment of its staff, the Partnership makes contributions towards the cost of post employment benefits. Although these benefits will not actually be payable until the employees retire, the Partnership has a commitment to make the payments that needs to be disclosed at the time that employees earn their future entitlement. As explained in Accounting Policy 1.8, the Partnership is an admitted body to the Local Government Pension Scheme (LGPS) which is administered by the Lothian Pension Fund.

The Partnership participates in:

- A funded defined benefit final salary scheme. This means that the Partnership and employees pay contributions into a fund, calculated at a level intended to balance the pensions liabilities with investment assets.
- An arrangement for the award of discretionary post retirement benefits upon early retirement - this is an unfunded defined benefit arrangement, under which liabilities are recognised when awards are made. However, there are no investment assets built up to meet these pension liabilities, and cash has to be generated to meet actual pensions payments as they eventually fall due.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

24. DEFINED BENEFIT PENSION SCHEMES *(continued)*

24.2 Transactions Relating to Post-employment Benefits

The Partnership recognises the cost of retirement benefits in the reported cost of services when they are earned by employees, rather than when the benefits are eventually paid as pensions. However, the charge that is required to be made is based on the cash payable in the year, so the real cost of post employment/retirement benefits is reversed out of the General Fund via the Movement in Reserves Statement. The following transactions have been made in the Comprehensive Income and Expenditure Statement and the General Fund Balance via the Movement in Reserves Statement during the year:

	2021/22 £000	2021/22 £000	2020/21 £000	2020/21 £000
Comprehensive Income and Expenditure Statement				
<i>Cost of services:</i>				
Service cost, comprising:				
Current service costs	207		121	
Past service costs	<u>0</u>		<u>0</u>	
		207		121
<i>Financing and investment income:</i>				
Net interest expense		<u>21</u>		<u>15</u>
Total post employee benefit charged to the surplus on the provision of services		228		136
<i>Other post-employment benefits charges to the Comprehensive Income / Expenditure Statement</i>				
Remeasurement of the net defined liability, comprising:				
Return on plan assets, excluding the amount included in the net interest expense above	(222)		(308)	
Actuarial gains and (losses) arising on changes in financial assumptions	(277)		775	
Actuarial gains and (losses) arising on changes in demographic assumptions	(18)		(99)	
Other experience	<u>8</u>		<u>(45)</u>	
		<u>(509)</u>		<u>323</u>
Total post-employment benefits charged to the Comprehensive Income / Expenditure Statement		<u>(281)</u>		<u>459</u>
Movement in Reserves Statement				
Reversal of net charges made to the surplus on the provision of services for post-employment benefits in accordance with the Code.		<u>99</u>		<u>6</u>
Actual amount charged against the General Fund Balance for pensions in the year:				
Employer's contributions payable to the scheme		129		130
		<u>129</u>		<u>130</u>

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

24. DEFINED BENEFIT PENSION SCHEMES *(continued)*

24.3 Pension Assets and Liabilities Recognised in the Balance Sheet

The amount included in the Balance Sheet arising from the Council's obligations in respect of its defined benefit plan is as follows:

	2021/22 £'000	2020/21 £'000
Fair value of employer assets	2,821	2,463
Present value of funded liabilities	(3,401)	(3,453)
Present value of unfunded liabilities	0	0
Net liability arising from defined benefit obligation	(580)	(990)

24.4 Reconciliation of the Movements in the Fair Value of Scheme Assets

	2021/22 £'000	2020/21 £'000
Opening fair value of scheme assets	2,463	2,149
Interest income	50	50
Remeasurement gain / (loss):		
Other Experience		(129)
Return on plan assets, excluding the amount included in the net interest expense	222	308
Contributions from employer	129	130
Contributions from employees into the scheme	29	26
Benefits paid	(72)	(71)
Unfunded benefits paid	0	0
Closing fair value of scheme assets	2,821	2,463

Reconciliation of Present Value of the Scheme Liabilities

	2021/22 £'000	2020/21 £'000
Present value of funded liabilities	(3,453)	(2,810)
Present value of unfunded liabilities	0	0
Opening balance at 1st April	(3,453)	(2,810)
Current service cost	(207)	(121)
Interest cost	(71)	(65)
Contributions from employees into the scheme	(29)	(26)
Remeasurement gain / (loss):		
Change in demographic assumptions	18	99
Change in financial assumptions	277	(775)
Other experience	(8)	174
Past service cost	0	0
Benefits paid	72	71
Unfunded benefits paid	0	0
Closing balance at 31st March	(3,401)	(3,453)

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

24. DEFINED BENEFIT PENSION SCHEMES *(continued)*

24.5 Fair Value of Employer Assets

The following asset values are at bid value as required under IAS19.

	2021/22		2020/21	
	£'000	%	£'000	%
Equity Securities:				
Consumer *	347	12	320	13
Manufacturing *	373	13	355	14
Energy and Utilities *	156	6	125	5
Financial Institutions *	163	6	151	6
Health and Care *	195	7	154	6
Information technology *	128	5	117	5
Other *	210	7	196	8
Sub-total Equity Securities	1,573		1,418	
Debt Securities:				
Corporate Bonds (investment grade)		0	84	3
UK Government *	246	9	198	8
Other *	53	2	0	
Sub-total Debt Securities	299		282	
Private Equity:				
All *	0		0	0
All	13	0	15	1
Sub-total Private Equity	13		15	
Real Estate:				
UK Property *	26	1	0	0
UK Property	123	4	128	5
Overseas Property	1	0	0	0
Sub-total Real Estate	150		128	
Investment Funds and Unit Trusts:				
Equities *	49	2	35	1
Equities	2	0	0	
Bonds *	53	2	51	2
Bonds	79	3	0	0
Infrastructure	286	10	282	11
Sub-total Investment Funds and Unit Trusts	469		368	
Derivatives:				
Foreign Exchange *	0	0	0	0
Sub-total Derivatives	0		0	
Cash and Cash Equivalents				
All *	317	11	252	10
Sub-total Cash and Cash Equivalents	317		252	
Total Fair Value of Employer Assets	2,821		2,463	

Scheme assets marked with an asterisk () have quoted prices in active markets.*

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

24. DEFINED BENEFIT PENSION SCHEMES *(continued)*

24.6 Basis for Estimating Assets and Liabilities

Hymans Robertson, the independent actuaries to Lothian Pension Fund, have advised that the financial assumptions used to calculate the components of the pension expense for the year ended 31 March 2022 were those from the beginning of the year (i.e. 31 March 2021) and have not been changed during the year.

The principal assumptions used by the actuary in the calculations are:

Investment returns

- Total returns for the period from 1 April 2021 to 31 March 2022 10.8%

	2021/22	2020/21
Mortality assumptions - longevity at 65 for current pensioners:		
• Males	20.3 years	20.5 years
• Females	23.1 years	23.3 years
Mortality assumptions - longevity at 65 for future pensioners:		
• Males	21.6 years	21.9 years
• Females	25.0 years	25.2 years
Pension increase rate	3.20%	2.85%
Salary increase rate (see below)	3.70%	3.35%
Discount rate	2.70%	2.00%

Estimation of defined benefit obligations is sensitive to the actuarial assumptions set out above. In order to quantify the impact of a change in the financial assumptions used, the Actuary has calculated and compared the value of the scheme liabilities as at 31 March 2022 on varying bases. The approach taken by the Actuary is consistent with that adopted to derive the IAS19 figures.

The principal demographic assumption is the longevity assumption (i.e. member life expectancy). For sensitivity purposes, the Fund's Actuary has estimated that a one year increase in life expectancy would approximately increase the Employer's Defined Benefit Obligation by around 3-5%. In practice the actual cost of a one year increase in life expectancy will depend on the structure of the revised assumption (i.e. if improvements to survival rates predominantly apply at younger or older ages).

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

24. DEFINED BENEFIT PENSION SCHEMES *(continued)*

24.7 Analysis of projected amount to be charged to profit or loss for the period to 31 March 2023

	Assets £000	Obligations £000	Net (liability) / asset £000	% of pay
Projected current service cost	0	(183)	(183)	(46.9%)
Past service cost including curtailments	0	0	0	0.0%
Effect of settlements	0	0	0	0.0%
Total Service Cost	0	(183)	(183)	(46.9%)
Interest income on plan assets	77	0	77	19.7%
Interest cost on defined benefit obligation	0	(94)	(94)	(24.1%)
Total Net Interest Cost	77	(94)	(17)	(4.4%)
Total included in Profit or Loss	77	(277)	(200)	(51.3%)

The Partnership's estimated contribution to Lothian Pension Fund for 2022/23 is £129,000.

25. NATURE AND EXTENT OF RISKS ARISING FROM FINANCIAL INSTRUMENTS

The Partnership's activities expose it to a variety of financial risks:

- Credit risk - the possibility that other parties might fail to pay amounts due to the Partnership;
- Liquidity risk - the possibility that the Partnership might not have funds available to meet its commitments to make payments;
- Re-financing risk - the possibility that the Partnership might be requiring to renew a financial instrument on maturity at disadvantageous interest rates or terms;
- Market risk - the possibility that financial loss might arise for the Partnership as a result of changes in such measures as interest rate movements;
- Price risk - the possibility that fluctuations in equity prices has a significant impact on the value of financial instruments held by the Partnership;
- Foreign exchange risk - the possibility that fluctuations in exchange rates could result in loss to the Partnership.

Treasury Management is carried out on the Partnership's behalf by the City of Edinburgh Council. The Council's overall risk management procedures focus on the unpredictability of financial markets and implementing restrictions to minimise these risks. The Council complies with the CIPFA Prudential Code and has adopted the CIPFA Treasury Management in the Public Services Code of Practice.

Credit risk

Credit risk arises from deposits with banks and financial institutions, as well as credit exposures to the Partnership's customers.

The Partnership's surplus funds not immediately required to meet expenditure commitments are held with the City of Edinburgh Council, and the Partnership receives interest on revenue balances on these monies. As the Partnership's surplus funds are held with the City of Edinburgh Council, the counterparty default exposure is effectively nil.

All Partnership invoices become due for payment on issue, and all trade debtors are overdue less than a month. Collateral - During the reporting period the Partnership held no collateral as security.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

25. NATURE AND EXTENT OF RISKS ARISING FROM FINANCIAL INSTRUMENTS *(continued)*

Liquidity risk

The Partnership is required by statute to provide a balanced budget, which ensures sufficient monies are raised to cover annual expenditure. There is therefore no significant risk that it will be unable to raise finance to meet its commitments under financial instruments. The arrangement with the City of Edinburgh Council ensures sufficient liquidity is available for the Partnership's day to day cash flow needs.

The Council manages the Partnership's liquidity position through the risk management procedures above as well as through cash flow management procedures required by the Code of Practice.

Refinancing risk

The Partnership has only a small level of surplus funds and no long term debt. The refinancing risk to the Partnership relates to managing the exposure to replacing financial instruments as they mature.

As such, the Partnership has no refinancing risk on its liabilities.

The Partnership has no investments with a maturity greater than one year.

Market risk

Interest rate risk

The Partnership is exposed to interest rate movements on its investments. Movements in interest rates have a complex impact on an organisation, depending on how variable and fixed interest rates move across differing financial instrument periods.

For instance, a rise in variable and fixed interest rates would have the following effects:

- borrowings at variable rates - the interest expense charged to the Surplus or Deficit on the Provision of Services will rise;
- borrowings at fixed rates - the fair value of the liabilities borrowings will fall;
- investments at variable rates - the interest income credited to the Surplus or Deficit on the Provision of Services will rise; and
- investments at fixed rates - the fair value of the assets will fall.

The Partnership currently has no borrowings. Changes in interest receivable on variable rate investments will be posted to the Surplus or Deficit on the Provision of Services and affect the General Fund Balance.

However, all investments currently have a maturity of less than one year and the fair value has therefore been approximated by the outstanding principal.

The Partnership's surplus funds are held with the City of Edinburgh Council.

The Council's Treasury Management Team continue to monitor market and forecast interest rates during the year and adjust investment policies accordingly.

Price risk

The Partnership does not invest in equity shares.

Foreign Exchange risk

As at 31 March 2022, the Partnership had financial assets of £119,000 subject to foreign exchange risk.

The foreign exchange loss or gain on these financial assets cannot be determined until 2022/23, when the Partnership is in receipt of the related grant income from the European Regional Development Fund.

The Partnership has no financial liabilities denominated in foreign currencies.

The South East of Scotland Transport Partnership (SESTRAN)

NOTES TO THE ANNUAL ACCOUNTS

26. PRIOR YEAR RESTATEMENT

In 2020/21, the Partnership purchased bus passenger transport equipment on behalf of two constituent councils, using the Partnership's existing Framework contract for bus passenger equipment. The value of the equipment was £46,000. As the equipment was awaiting deployment at 31st March 2021, the equipment was accounted for as Property, Plant and Equipment - Assets Under Construction. During 2021/22, it was established that ownership of the assets was vested with the two constituent councils, with full recovery of cost by the Partnership.

A prior year restatement of £46,000 has been made to Property, Plant and Equipment - Assets Under Construction. A corresponding adjustment was made to the deficit on provision of services in the Comprehensive Income and Expenditure Statement. The adjustments are shown in the table below.

	Annual Accounts 2020/21	Property, Plant and Equipment Restatement	Restated Balance 2020/21
Movement on Reserves Statement	£'000	£'000	£'000
General Fund -Unusable Reserve at 31 March 2021	(701)	(46)	(747)
Comprehensive Income and Expenditure Statement			
(Surplus) or deficit on provision of services	71	46	117
Balance Sheet			
Property, Plant and Equipment as at 31 March 2021	303	(46)	257
Unusable Reserve at 31 March 2021	(701)	(46)	(747)

ANNUAL TREASURY REPORT 2021/22

1 Purpose of report

The purpose of this report is to provide an Annual Treasury Report for the financial year 2021/22.

2 Summary

The Partnership has adopted the CIPFA Code of Practice on Treasury Management in the Public Sector, and under the code, an Annual Report on Treasury Management must be submitted to the Partnership after the end of each financial year.

3 Investment Out-turn 2021/22

- 3.1 The Partnership's Investment Strategy has been to maintain its bank account as part of the City of Edinburgh Council's group of bank accounts. Any cash balance is effectively lent to the Council, but is offset by expenditure undertaken by the City of Edinburgh Council on behalf of the Partnership. Interest is given on month end net indebtedness balances between the Council and the Partnership and for financial year 2021/22 is calculated in accordance with the withdrawn Local Authority (Scotland) Accounts Advisory Committee's (LASAAC) Guidance Note 2 on Interest on Revenue Balances (IoRB). In line with recent short term interest rates, the investment return continues to be small, but the Partnership gains security from its counterparty exposure being to the City of Edinburgh Council. Net end of month balances for the financial year were:

	£
Opening Balance	-163,441.99
30 April 2021	198,470.25
31 May 2021	270,664.49
30 June 2021	365,517.43
31 July 2021	381,345.29
31 August 2021	399,171.63
30 September 2021	316,006.44
31 October 2021	354,399.01
30 November 2021	53,068.04
31 December 2021	-51,397.21
31 January 2022	-844,938.56
28 February 2022	-174,725.58
31 March 2022	-506,806.13

- 3.2 Interest is calculated on the average monthly balance. The interest rate applied was 0.0895%, giving an interest amount of £128.20 payable to the Partnership.

4 Recommendations

- 4.1 It is recommended that the Partnership Board notes the Annual Treasury Report for 2021/22.

Appendix	None
Contact/tel	Iain Shaw, Tel: 0131 469 3117 (iain.shaw@edinburgh.gov.uk)

SEStran Regional Transport Strategy 2035

1 Introduction

- 1.1 The purpose of this report is to present the Board with an update on the status of the draft Regional Transport Strategy (RTS) and give a brief history of how the draft RTS developed, providing background for new members of the Partnership Board in advance of consideration and final approval the draft RTS.

2 Development Stages of SEStran 2035

- 2.1 The RTS is a statutory document and the duty to produce one is identified in section 5(1) of the Transport (Scotland) Act 2005. The current Regional Transport Strategy 2015-2025 Refresh was published in 2016.
- 2.2 The draft RTS must be approved by Scottish Minister before it is finally adopted by SEStran and therefore its development is required to follow the stages set out in the Scottish Transport Appraisal Guidance (STAG). Therefore, at the end of 2020, Stantec UK Ltd was appointed to provide consultancy support for the RTS development.

2.3 Main Issues Report

Work to develop a new RTS initially commenced in 2019 with the production of a Main Issues Report which was published in June 2020.

<https://sestran.gov.uk/publications/sestran-rt-s-main-issues-report/> The Main Issues Report is an evidence-based review of the factors and issues which currently affect transport in the region and may affect it in the future. The study looks at the rationale for developing a new RTS, and investigates the people, society, environment and economy of the region along with the transport issues and challenges faced. The report identifies the 10 main issues considered most important for the region and which were considered during ongoing development of the draft RTS SEStran 2035.

2.4 Case for Change Report

The next phase of the RTS development process was to undertake and publish a Case for Change report and commence and undertake various statutory assessment which included the associated Equalities Duties Report and a SEA Environmental Report. This stage involved a public survey gathering 998 responses, and workshops held with the partnership local authorities, SEStran forums and other stakeholders.

The Case for Change reported on the consultations undertaken and the problems, issues, constraints and opportunities for transport in the region. In accordance with STAG, Transport Planning Objectives were developed, and initial option generation was undertaken and reported. [SEStran Regional Transport Strategy – Case for Change](#)

2.5 Preliminary Options Appraisal Report

The next phase was to develop the STAG Preliminary Option Appraisal report. This considers the findings of the Case for Change with stakeholders and develops potential options which were further appraised in accordance with STAG to ensure that options met the STAG Transport Planning Objectives identified at the Case for Change stage. This report concluded with a set of 12 Regional Mobility Themes which formed the basis of the most important areas for the RTS and which led to the identification of policies and actions for the draft RTS. [SEStran RTS-STAG Preliminary Options Appraisal Report](#)

The draft RTS developed is a strategy document setting out policies and actions to meet the transport objectives for the region, it is not a detailed list of projects and aspirations.

2.6 Statutory Consultation on proposed RTS: SEStran 2035

Statutory advertising of the publication of the draft Strategy together with associated documents, including an Environmental Report (ER) and an ER Non-Technical Summary (NTS) took place on Tuesday 16 November 2021 and lasted for 14 weeks. Participation in the statutory consultation survey, was encouraged via the SEStran website and by our Local Authority partners. A virtual engagement room was created giving access to all supporting background information and enabling comments to be made on all elements of the draft strategy. A link to all documents made available during the statutory consultation is found here. <https://sestran.gov.uk/projects/a-new-regional-transport-strategy-sestran-2035/>

- 2.7 The statutory consultation closed on 11 February 2022. The results of the survey and an overview of the comments made by stakeholders, members of the public and local authority partners are included in the consultation report attached as Appendix 1 to this report. The consultation report summarises the responses to the survey questions posed and the comments made, identifying common themes across all the areas of the draft RTS to reflect the issues raised which are regional and strategic in nature and which with due consideration resulted in changes being proposed to the draft RTS.

3 Report to SEStran Partnership Board March 2022

- 3.1 A final draft version of the proposed SEStran 2035 RTS incorporating changes resulting from the statutory consultation stage was completed and a report prepared for presentation to the March 2022 Partnership Board. However, Scottish Borders Council (SBC) notified SEStran in advance of the meeting that the Council did not fully support the proposed changes, noting concerns that the draft RTS still did not fully take account of rural issues and key projects as they affect SBC. Therefore, the Board agreed to postpone consideration of the draft RTS to allow further time for officers to agree changes, and a detailed report will be presented at a future date for full consideration and a decision by the Partnership Board.
- 3.2 Engagement with local authority partners and stakeholders has been a key element of the development of the draft RTS and Appendix 2 gives a summary of the engagement undertaken during the development of the draft RTS.

4 Next Steps

Subject to approval of the proposed changes to the draft RTS by the Board the final document will be made ready for publication. Some photography work has been commissioned to enable a broader range of regional photographs to be used to replace the limited stock images used in the current version of the draft RTS. The approved final draft version will be presented to Scottish Ministers for approval. The decision of the Ministers will be reported to the Board and the final version of the RTS will be published.

5 Recommendations

It is recommended that the Board:

- 5.1 Note the statutory consultation on the draft Regional Transport Strategy has concluded;
- 5.2 Note that a final draft of the RTS will be presented to the next Board meeting for full consideration and a decision by the Partnership Board.

Jim Stewart
Strategy Manager
 17th June 2022

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 and funding is identified in the three year budget plan.
Equalities Implications	The draft RTS has been subject to an Equalities Impact Assessment (EQIA).
Climate Change Implications	The draft RTS has been subject to a Strategic Environmental Assessment (SEA).
Appendices	<ol style="list-style-type: none"> 1. Statutory Consultation Report 2. Development and Consultation Stages of Draft RTS



SEStran Regional Transport Strategy

Draft RTS Consultation Summary Report

On behalf of **SEStran**



Project Ref: 330610106 | Rev: 2.0 | Date: March 2022

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Document Control Sheet

Project Name: SEStran Regional Transport Strategy

Project Ref: 330610106

Report Title: Draft RTS Consultation Summary Report

Doc Ref: 2.0

Date: 11/03/2022

	Name	Position	Signature	Date
Prepared by:	Mara Shepherd Sam Thompson	Graduate Transport Planner	MS / ST	10/03/2022
Reviewed by:	Alec Knox	Associate Transport Planner	AK	11/03/2022
Approved by:	Scott Leitham	Director	SL	11/03/2022
For and on behalf of Stantec UK Limited				

Revision	Date	Description	Prepared	Reviewed	Approved
1.0	25/02/2022	Draft Report	MS / ST	AK	AK
2.0	11/03/2022	Final Report	MS / ST	AK	SL

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Appendix A - Comment Matrix

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1 Introduction

1.1 Overview

- 1.1.1 The draft SEStran 2035 Regional Transport Strategy (RTS) was published for statutory consultation in November 2021. Members of the public and other stakeholders had the opportunity to comment on the draft strategy by completing a survey. This report provides detail on the feedback received from the survey. Key outcomes from the survey are included in this report and have been reviewed with amendments made to the final RTS document where appropriate in response.

1.2 Public Engagement

- 1.2.1 The public engagement exercise ran for 14 weeks from 5th November 2021 until 11th February 2022. This offered members of the public and organisations an opportunity to comment on all aspects of the draft RTS.
- 1.2.2 The engagement took the form of an online virtual engagement room which gave a one stop point of access to all the information and documents relating to the draft RTS, together with the opportunity to take part in a survey. The survey, which combined open and closed questions, was structured around the contents of the draft RTS. In addition, a number of respondents chose to submit standalone responses which did not necessarily follow the structure of the survey.

1.3 Structure of Report

- 1.3.1 Chapters 2 – 23 summarise the responses received through the consultation process grouped into a number of themes in each case. Chapter 24 and Appendix A then summarise the main themes and set out how the RTS was updated in the light of the comments received.
- 1.3.2 Appendix A also includes responses to comments received from SEStran and statutory consultees.

2 Public Survey – Analysis Outcomes

2.1 Overview

- 2.1.1 In total 109 individuals and organisations responded to the consultation providing comment through both the survey and by direct communication. Through the survey, 80 of the respondents were members of the public whilst 20 responded on behalf of an organisation.
- 2.1.2 Of the councils who participated in the engagement, Scottish Borders Council, Falkirk Council, The City of Edinburgh Council, East Lothian Council, West Lothian Council and Fife Council either completed the survey or submitted a direct response which was able to be transcribed into the survey. These responses are included within the quantitative analysis as part of the organisations in the sections below, but their qualitative responses are included within Chapter 22 Local Authority Responses. The responses from Clackmannanshire Council and Midlothian Council were not in a format which was compatible with the structure of the survey, so these are solely analysed in this section.
- 2.1.3 The location of organisations who responded to the survey are presented in Figure 2:1. Of those who responded, 20% (n=4) stated they operated in or represented each of the City of Edinburgh and West Lothian. A further 15% (n=3) noted that they operated Scotland wide.
- 2.1.4 The option ‘Scotland wide’ means that these organisations operate across the whole of Scotland rather than in one local authority area. The three organisations who selected this location are a transport company, a business support charity and a walking charity.

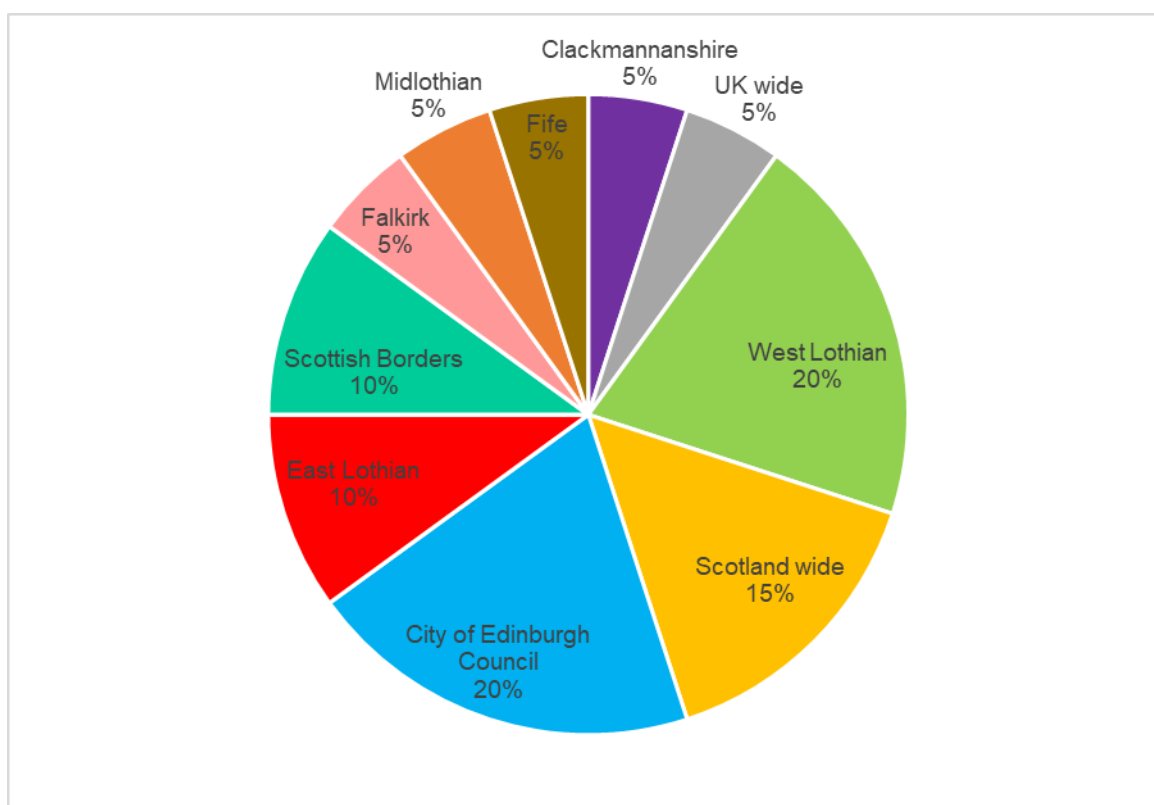


Figure 2:1: Please state which areas your organisation is active across or represents

- 2.1.5 It was also noted that all of those who responded on behalf of an organisation had read the draft RTS prior to completing the survey.
- 2.1.6 Those who responded as a member of the public were asked where they currently live, the responses are presented in Figure 2:2.

- 2.1.7 From the graph, 32% (n=26) noted that they live within the City of Edinburgh Council area with 19% (n=15) stating they reside in Fife.

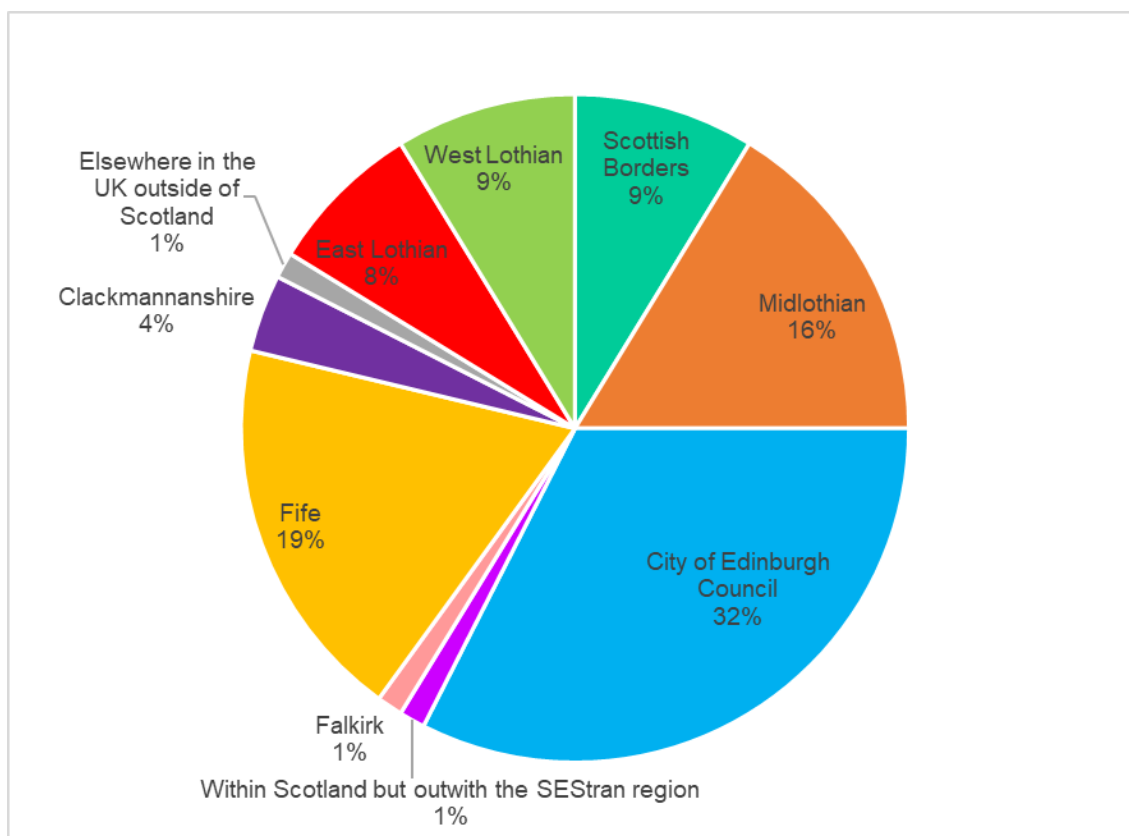


Figure 2.2: Please state which local authority you currently live within

- 2.1.8 Of these public respondents, 71 noted that they had read the draft RTS.

3 Chapter 3 – Transport Problems

3.1 Do you agree or disagree that these [29 identified transport challenges and problems] provide an appropriate focus for the RTS?

- 3.1.1 All the respondents were asked whether they agree, disagree or neither agree or disagree with the identified transport challenges and problems. The results are displayed in Figure 3:1.
- 3.1.2 The **majority (61%, n=61) agree that the problems identified provide an appropriate focus for the RTS**. Some 20% (n=20) noted that they neither agreed nor disagreed with the appropriateness of the identified transport problems.

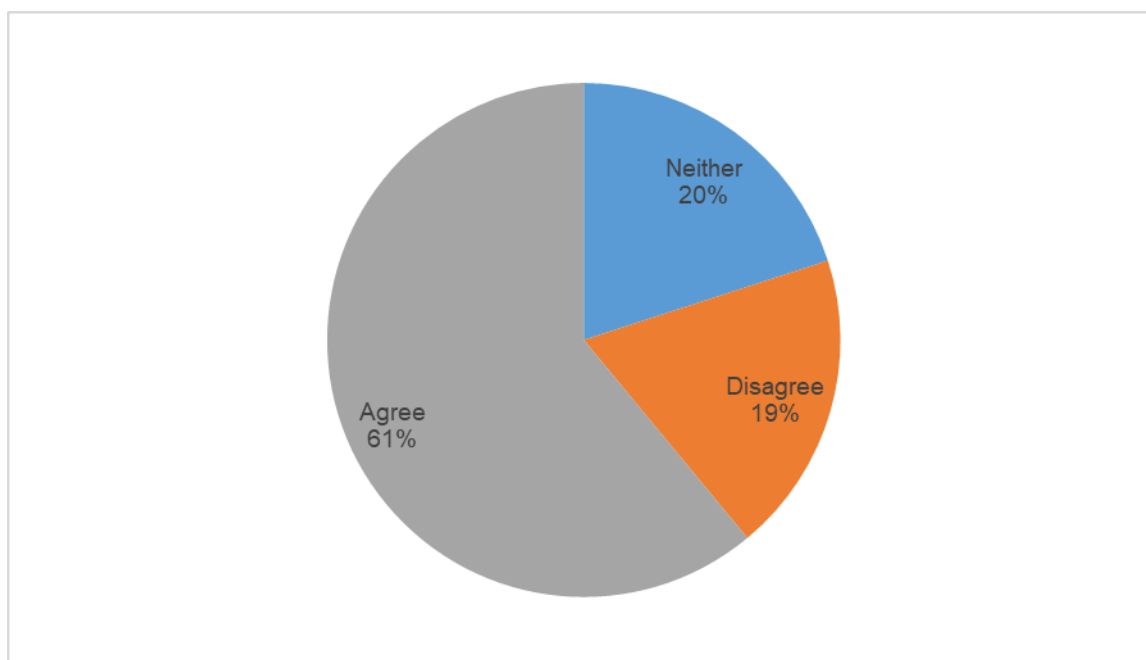


Figure 3:1: Do you agree or disagree that these provide an appropriate focus of the RTS?

3.2 Summary of Comments on the Transport Challenges and Problems

- 3.2.1 Of the 94 respondents to the survey, 30 individuals provided an open-ended response. **Whilst the large majority of respondents did not disagree with the transport challenges and problems presented in the RTS**, a minority did provide comment, and a summary of these comments is provided below.
- 3.2.2 It is recognised that whilst these comments were made in the 'transport challenges and problems' section, the scope of the comments can be wider than this. The same applies to the subsequent section.
- 3.2.3 To note, although there were 100 respondents in total, the six open-ended responses from the Local Authorities have been analysed in the Local Authority Chapter and therefore have been removed from the total number of responses for the qualitative analysis.

Impact on car / van users

- too much emphasis on penalising those who travel by car, van or other vehicle by increasing their journey times and making it harder for those travelling this way to move around the city (3)

- challenges are focussing on reducing the number of viable modes of transport, by making travelling by car more difficult, rather than making the necessary improvement to make integrated transport infrastructure (1)
- proposed options are going to impact deliveries significantly. Journey times will increase, and it will become more expensive to make deliveries, resulting in it becoming untenable. (1)

Climate change

- this is a 20 year strategy there needs to be more of an acknowledgement of how climate change will impact Scotland in terms of more extreme weather events (1)
- climate change has not been given the importance it requires within the challenges and problems (1)

Rural issues

- not enough emphasis placed on the problems which exist for those in more rural settings where there is currently poor public transport provision (1)
- the differences between the urban and rural areas are not considered in enough detail. One of the prominent differences noted is the topography of the rural areas which are within the SEStran region (2)
- the new travel hierarchy established by the Scottish Government puts those who live in rural areas at a disadvantage as there can be a lack of amenities within walking distances in some towns and villages, so a car is required (1)
- the strategy is not representative as it does not fully reflect the problems and challenges which those in rural areas face. Therefore, it is more difficult to identify rural transport solutions (1)

COVID-19

- because of the COVID-19 pandemic there is now less of a need to use transport, and this has not been captured fully within the outline problems and challenges (1)

Public transport

- the availability of public transport in the late evenings is poor, but this has not been considered to be one of the 29 outlined problems (1)
- improving the accessibility and affordability of public transport is very important (1)

Integration between modes

- the inconvenience of public transport, or the perception of this, is a key reason why many choose not to travel by these modes - should therefore be considered as one of the problems associated with transport (1)
- the need for a longer interchange between services is key problem facing those with disabilities and mobility impairments (1)
- there needs to be more of a focus on how to connect public transport to make interchanging between the train and bus services easier for all (2)
- in West Lothian there are only services which operate on an east-west corridor to connect major urban areas, but the local communities are not included within these connections (1)

Role of electric vehicles

- too much focus on the use of electric vehicles. This is considered to be an impractical solution to sustainable travel for those in the southeast of Scotland area (2)

- there cannot be a direct replacement of internal combustion engine cars with electric vehicles as there are not enough raw materials to support their production (1)
- lack of available space for charging infrastructure within urban areas (1)
- there was a lack of inclusion of e-bikes and e-scooters both of which would help reduce car kilometres (1)
- there needs to be more electric charging points for cars, motorbikes and bicycles to allow for sustainable travel to rural areas (1)

Active travel

- poor quality infrastructure creates barriers to those who use active travel for portions of their overall journey (1)
- there is not enough focus on safe, segregated active travel infrastructure (1)

3.3 Potential Transport Challenges and Problems which have been missed

- 3.3.1 The respondents were then asked whether there were any transport challenges and problems which had been missed from the 29 identified, with the results shown in Figure 3:2.
- 3.3.2 From the graph, 62% (n=61) noted that there had been some which were missed from the list, while around a quarter (n=24) of the respondents stated that none had been missed.

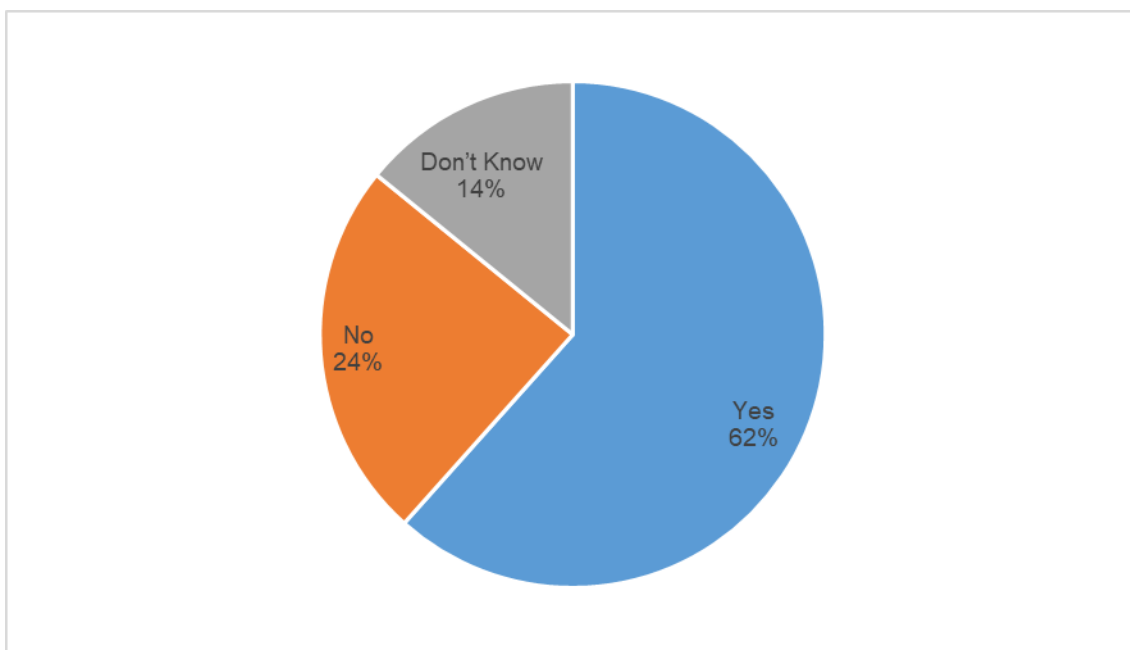


Figure 3:2: Do you feel there are any other transport challenges and problems which have been missed?

3.4 Summary of comments on missed Transport Challenges and Problems

- 3.4.1 Of the 94 respondents to the survey, 27 provided an open-ended response. A summary of the challenges and problems which the public and organisations felt were missed are grouped by theme and detailed below.

Integration between modes

- the lack of through ticketing and connected services on all modes of public transport makes it difficult to cross the region unless travelling by car (1)
- that there is lack of timetable integration for buses and trains which means there are long gaps in journeys which require an interchange (3)

- the lack of multi-modal interchange facilities prevents there from being easy connections between different modes (2)
- there is a lack of connecting infrastructure between existing cycle and walking networks (1)
- the banning of non-folding bikes and e-bikes from some train services creates a barrier to those who are travelling by multiple modes in a trip. It was suggested that there should be an additional carriage on trains which allows for the storage of bicycles and the same with buses to allow people to interchange between modes. (1)

Active travel

- the lack of safe walking and cycling infrastructure forms a barrier to travelling this way. This is highlighted as an issue around schools and in West Lothian (6)
- villages in Fife which are not connected by footpaths which prevents people from safely travelling between these villages by foot. A similar issue was also highlighted in Hawick, in the Scottish Borders, as there currently is no active travel link to the neighbouring towns (2)
- lack of safe storage and parking of bicycles prevents people from choosing to travel this way and this should be specifically noted within the challenges and problems cyclists face. This was noted to be a prominent issue especially at train stations (2)
- bike theft because of a lack of safe bicycle parking is an issue for cyclists and deters others from investing in a bike at the risk of it being stolen. (3)

Infrastructure

- environment around bus stops is not perceived as safe and discourages people from travelling this way - poor quality of pavements can make bus stops inaccessible (1)
- poor maintenance of roads, vegetation and drains makes an unsafe environment for all users - potholes and the resultant damage to vehicles and bicycles whilst also creating safety concerns for all (2)
- at some train stations there is not a safe way to reach the other side of the track. (1)

Car use

- there should be less of a focus on the use of electric vehicles as they will not reduce the number of cars on the road (1)
- more awareness around other options of travel by car such as car-pooling or car sharing as a way of reducing the number of cars on the road (1)
- being able to hire a car for the day or a weekend is becoming more affordable and could be a way of reducing the number of cars owned by urban households. Car share schemes are also becoming more prominent within Edinburgh with more locations for pickups. (1)

Train stations

- lack of rail connections in the SEStran area which prevents many from being able to travel this way (1)
- reopening the suburban line in South Edinburgh would enable more people to travel by rail rather than less sustainable modes of transport (1)

- the Borders Railway should be connected to the East Coast Mainline via Kelso and then a further connection to the West Coast Mainline via Hawick as there is currently a lack of railway connections to many of the towns in the Scottish Borders. (1)

Length of operating day

- services between Edinburgh and Fife do not run late into the night, which restricts people's ability to attend events which have a late finish (1)

New developments

- new housing and retail developments have been designed to enable car use and have a lack of connectivity with public transport and active travel. (1)

4 Chapter 4 – The Vision

4.1 Do you agree or disagree that this should be the vision for the new RTS?

- 4.1.1 The public were asked if they agreed with the vision: “A South-East of Scotland integrated transport system that will be efficient connected and safe, creating inclusive, prosperous, and sustainable places to live, work and visit, affordable and accessible to all, enabling people to be healthier and delivering the region’s contribution to net zero emissions targets.”
- 4.1.2 From Figure 4:1 around 2/3, 65% (n=65) said that they agree with the vision of the RTS while 18% (n=18) stated that they disagree with the outlined vision for the area.

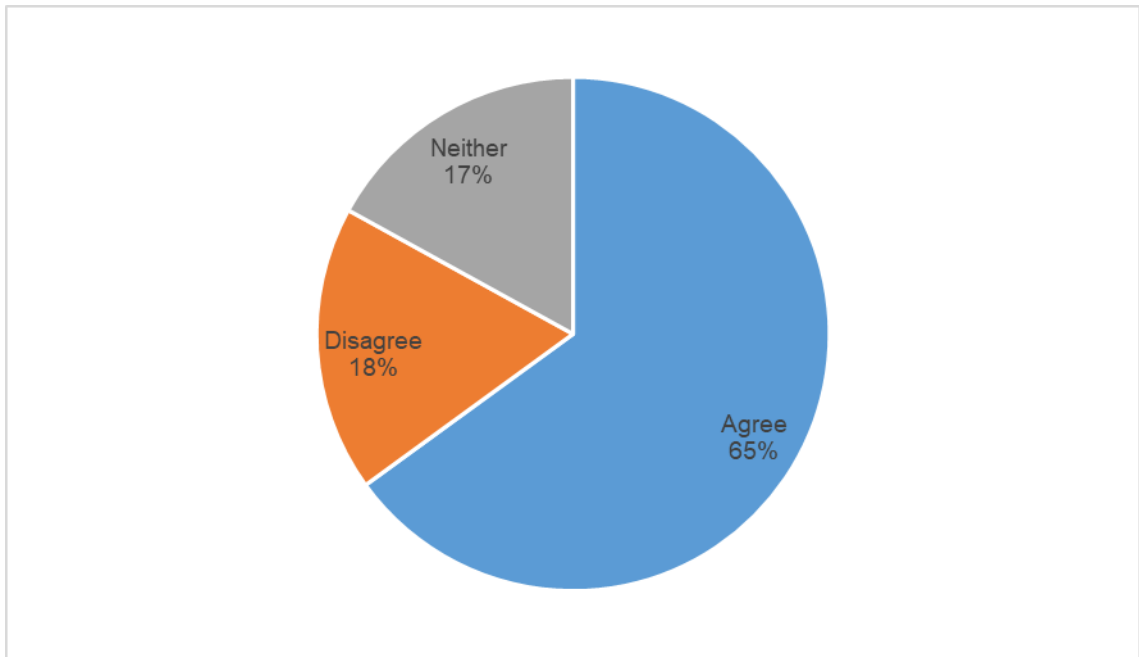


Figure 4:1: Do you agree or disagree that this should be the vision for the new RTS?

4.2 Summary of comments on The Vision

- 4.2.1 Of the 94 respondents to the survey, 25 provided an open-ended response. A summary of these comments is outlined below under themes which emerged from the responses. **Again, the scope of some of the comments received perhaps extends beyond the actual question posed.**

Active travel

- there is not enough reference to safe segregated active travel infrastructure or the role which e-scooters and e-bikes can play in increasing the number of people traveling by sustainable modes (1)
- during the COVID-19 pandemic, there was a greater number of people walking and cycling which indicated that there is latent demand for these modes of travel, but in West Lothian it was noted that there is a lack of formal active travel networks (1)
- a quick way to achieve the desired goals of the Vision would be a complete reassignment of the road to allow for walk and cycle only roads, to which cars have no access as there is not enough space currently to allow for segregation between modes. (1)

Connectivity

- lack of reference to inter-region connectivity, which could impact on being able to resolve some of the key transport challenges which have been outlined (1)
- lack of connectivity between Livingston and the central belt and the Scottish Borders and Fife also lacks connectivity (2)
- lack of integrated transport options reduces the ability to interchange easily between different modes of travel. (1)

Ambition

- lack of ambition in the Vision and the solutions which are being suggested here are not considered to be radical or new (2)
- the Vision is at risk of not being achieved like some other documents as it is too aspirational and could be difficult to accomplish. The aims are unrealistic and do not meet the needs of many travellers. (1)

Tone

- wording of The Vision does not portray a sense of urgency when it comes to tackling the outlined transport problems and challenges (1)
- there is a patronising tone in the wording within the Vision and the assumption that people are not healthy (1)
- little to no reference to those with disabilities or the elderly who are not necessarily able to walk or cycle as their main mode of travel (1)
- the Vision is good (1)

Car use

- due to the deregulation of bus services there is a lack of hopper services which makes it difficult to travel within West Lothian without a car (1)
- travelling within the city is no longer viable for many as they are unable to afford to buy cars which meet the new Euro V emissions. As a result, many will be excluded from accessing the city centre by car (1)
- the Vision does not address the inequality of access to transport with those on lower incomes being unable to make the move to lower carbon vehicles (1)
- the aims discriminate against those who rely on travelling by car to get around, like those with disabilities or the elderly (3)

COVID-19

- the aims are too vague as the true impact of COVID-19 and the associated changes in travel behaviours have not been assessed to understand if there is a shift to alternative modes of transport (1)

Technology

- the SEStran area should be noted to be at the forefront of using technology and research to improve travel (1)

Length

- the Vision is too long and it should be more concise (4)

4.3 Do you agree or disagree that these should be the Strategy Objectives for the new RTS?

4.3.1 The respondents were then asked whether they agreed with the following Strategy Objectives:

1. Transitioning to a sustainable, post-carbon transport system
2. Facilitating healthier travel options
3. Widening public transport connectivity and access across the region
4. Supporting safe, sustainable and efficient movement of people and freight across the region

4.3.2 The response to the survey is displayed in Figure 4:2 which shows that around **2/3, 64% (n=64) of respondents agree with the Strategy Objectives**. 20% (n=20) noted that they disagree with the outlined Objectives, while the remaining respondents neither agree nor disagree with them.

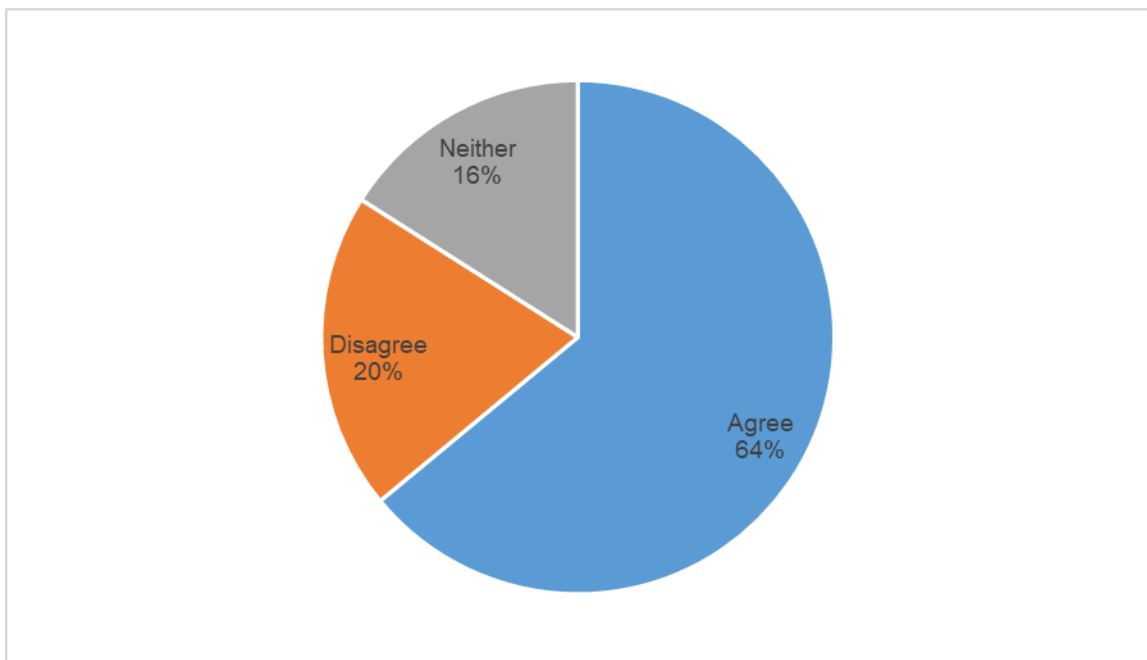


Figure 4:2: Do you agree or disagree that these should be the Strategy Objectives for the new RTS?

4.4 Summary of comments on the Objectives

4.4.1 Of the 94 respondents to the survey, 25 provided an open-ended response. A summary of the responses received on the Objectives are detailed below and are grouped according to the overall theme of the comment. **As before, the scope of some of these comments extends beyond the question posed.**

Role of electric vehicles

- there is too much emphasis placed upon electric vehicles as being a solution whereas walking, cycling and wheeling should be the priority (2)

- should not be a sole Objective allocated to electric vehicles as this would not reduce the number of vehicles on the road and will not support the modal shift away from cars (2)

Car use

- needs to be an increased emphasis on the reduction of car use which does not seem to be portrayed strongly enough in the document (3)
- the economic impact on low-income families has not been considered with the introduction of the Low Emission Zone to cities across Scotland, particularly Edinburgh. Many will be excluded from cities as they cannot afford to upgrade to the new car requirements (2)

Integration between modes

- public transport networks need to improve across the whole region to enable people to make the shift to more sustainable modes of transport. There should be a greater emphasis on the integration of public transport (1)
- should be an affordable and integrated public transport system across the region and a major task is facilitating cooperation between all the transport operators (1)
- lack of consideration towards the inter-regional connections which at present are considered to be limited. (1)

Objectives

- the Objectives are appropriate and link together well (5)
- the Objectives should be re-ordered to reflect opinions on what should be of more importance (2)
- there are too many Objectives (1)
- a new Objective should be added to cover reducing the need to travel (1)

4.5 Do you think any other Objectives should be considered for the new RTS?

- 4.5.1 The respondents were then asked whether there are any other Objectives which should be considered within the RTS, and the results are shown in Figure 4:3 below.
- 4.5.2 There is a relatively even split in opinion with 38% (n=38) stating that they do think some Objectives should be considered, 31% (n=31) don't know if any more should be considered and 31% (n=31) think there are no other Objectives which should be considered.

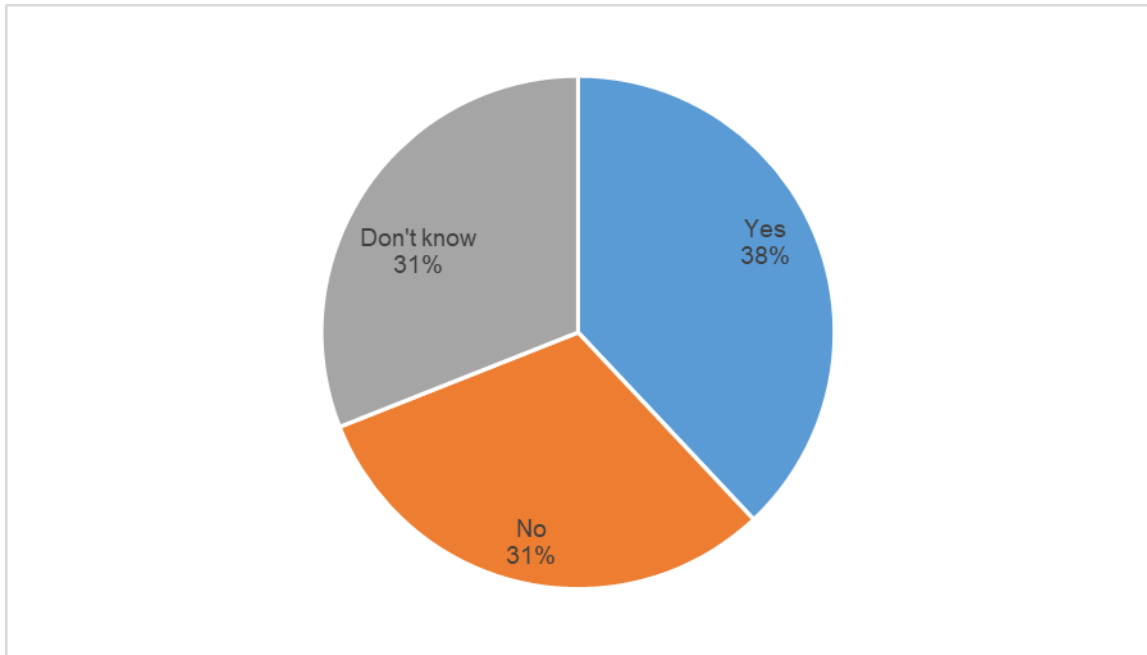


Figure 4:3: Do you think any other Objectives should be considered for the new RTS?

4.6 Summary of comments on other Objectives which could be included

4.6.1 Of the 94 respondents to the survey, 18 provided an open-ended response on other Objectives which could be included. A summary of these comments is detailed below. **As before, the scope of some of these comments extends beyond the question posed.**

Rural issues

- should be a specific objective which ensures that rural communities have a public transport service which operates every day of the week (1)
- there are disparities in the affordability of provision between the urban and rural areas, with the rural areas being noted as not being able to afford an improvement in provision (1)
- lack of understanding of what rural areas need and there is not enough focus on the difference between urban and rural transport problems and the related solutions (1)
- the use of hydrogen as an alternative fuel source is more appropriate for rural and semi-rural areas compared to battery powered vehicles (1)

Public transport

- e-scooters and e-bike hire should be considered under the umbrella of public transport. This would allow for more alternative modes of transport (1)
- should be a specific Objective which includes the improvement of journey times (1)
- the public transport network needs to be better connected between modes to create an integrated transport system (1)
- an integrated ticketing system or pass on public transport modes should be considered (1)

- expanding the rail network in the Scottish Borders to Hawick and Kelso would improve connectivity in the region (1)

Car use

- there needs to be an Objective which aims to decrease the number of private vehicles on the roads, decrease the number of cars sold and increase the provision of active travel infrastructure (1)
- making it more difficult for car users is not the solution and that travelling by alternative modes of transport should be made easier (2)
- within the city centres there are high numbers of vehicles parked on pavements or in bus lanes which reduces the width of the carriageway (2)

Active travel

- reducing the occurrence of bicycle theft would encourage more people to travel by bicycle as currently, it could be seen as a barrier (1)

Infrastructure

- the poor quality of roads and pavements is a problem for all road users and needs to be addressed to allow for everyone to move around safely by whatever mode of transport they choose (1)
- there is a lack of accessible pavements and these should be considered as standard within any infrastructure improvements (1)

Planning

- infrastructure changes at a local level, like integrated community health centres, could reduce the need to travel as everything is in the same location (1)

5 Chapter 5 – Shaping Development and Place

5.1 How important is this theme to you?

5.1.1 The respondents were asked how important the theme of Shaping Development and Place is to them with the results presented in Figure 5:1 below.

5.1.2 From the graph, **most of the respondents (41%, n=41) believe the theme is 'Very High' in terms of importance**. While a total of 16% (n=16) believe that it has 'Low' or 'Very Low' importance.

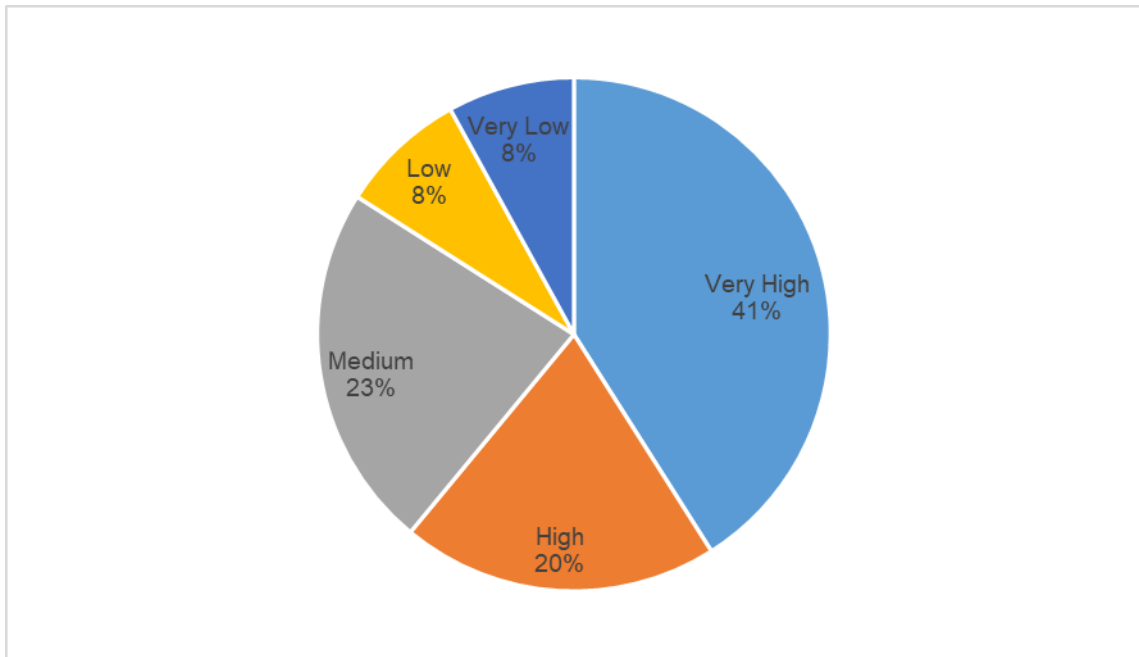


Figure 5:1: How important is this theme to you?

5.2 Summary of comments on the theme Shaping Development of Place

5.2.1 Of the 94 respondents to the survey, 41 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance**. Furthermore, a minority provided comments, and a summary of these is provided below. **As before, the scope of some of these comments extends beyond the question posed.**

Public transport

- improving the current services should be a higher priority than the mobility theme 'shaping the development and place' (3)
- the cost of travelling by public transport is perceived to be higher than the cost of running a car (1)
- many would value a public transport service which allows them to travel both further afield and locally (1)
- community transport services should be included within the shared mobility solutions as there are some people who require a door-to-door service. (1)

- public transport needs to be considered when planning new developments and these developments need to provide opportunities for the public transport services to keep the networks viable (1)
- train stations are still considered to be hubs for towns and cities (1)
- there should be more of a focus on the improvement of infrastructure and integrated transport networks (1)

20-minute neighbourhoods

- although this is a great concept, the idea of 20-minute neighbourhoods would require a drastic attitude shift by the public for it to be successful (1)
- having amenities within 20-minutes of residential areas is a good idea, but there should not be any restrictions on people's ability to move around cities / towns as a result (2)
- can be discriminatory towards those who have mobility issues, emphasising that zero car developments are unrealistic (1)
- the creation of 20-minute neighbourhoods could only be achieved with new developments and as a result existing developments will continue to lack active travel infrastructure and amenities (1)
- the development of 20-minute neighbourhoods needs to be heavily consulted on with the local communities to ensure a full understanding of the purpose and aims (2)
- some currently live in a 20-minute neighbourhood and feel this has a positive impact on their day-to-day life (2)

Planning

- all new housing or other developments require infrastructure to be constructed prior to the building of the development rather than the developer contributing to the cost of the infrastructure (2)
- many of the transport problems are perceived to be a result of poor planning decisions which has left new developments with no active travel provision or other amenities (1)
- new housing developments lack pathways which go through the estate to allow for people to reach amenities and services quicker (1)
- areas with a high density of new and existing housing developments are reliant on cars to be able to reach amenities and services, resulting in increased traffic and congestion (1)
- the existing transport network should be considered when building some large housing developments as an increase in population has a negative impact on the existing services and the road network (3)
- for improvements to be made land reallocation will be required for the upgrading of pavements and cycle networks. Infrastructure would have to be appropriately maintained by Councils to maintain the high quality (1)

Active travel

- more reference to safe active travel infrastructure plus e-scooters and e-bikes should be considered as public transport (1)

- cycle lanes / tracks need to be wide enough to allow for tricycles to use the infrastructure as this type of bicycle is becoming more popular amongst adults for the stability (1)
- both walking and cycling should be considered the priority mode of transport within the development of new housing (1)

Longevity

- placemaking is a long-term plan and for it to be effective in 5-10 years' time work needs to begin now with the aim of reducing the need to travel (2)

Rural issues

- the concept of 20-minute neighbourhoods would be very different for those who live in rural areas, and it is not as achievable as it is for those in urban areas (2)
- the use of motorised transport will be vital for achieving 20-minute neighbourhoods in rural areas due to the lower population density (1)

6 Chapter 6 – Delivering Safe Active Travel

6.1 How important is this theme to you?

- 6.1.1 The respondents were asked their opinion on how important the theme of delivering safe active travel is to them with the results shown in Figure 6:1.
- 6.1.2 **Almost 3/4 of the respondents think this theme is of 'Very High' or 'High' importance**, with over half (n=52) thinking this theme has 'Very High' importance and another 22% (n=22) noted it was 'High' importance.

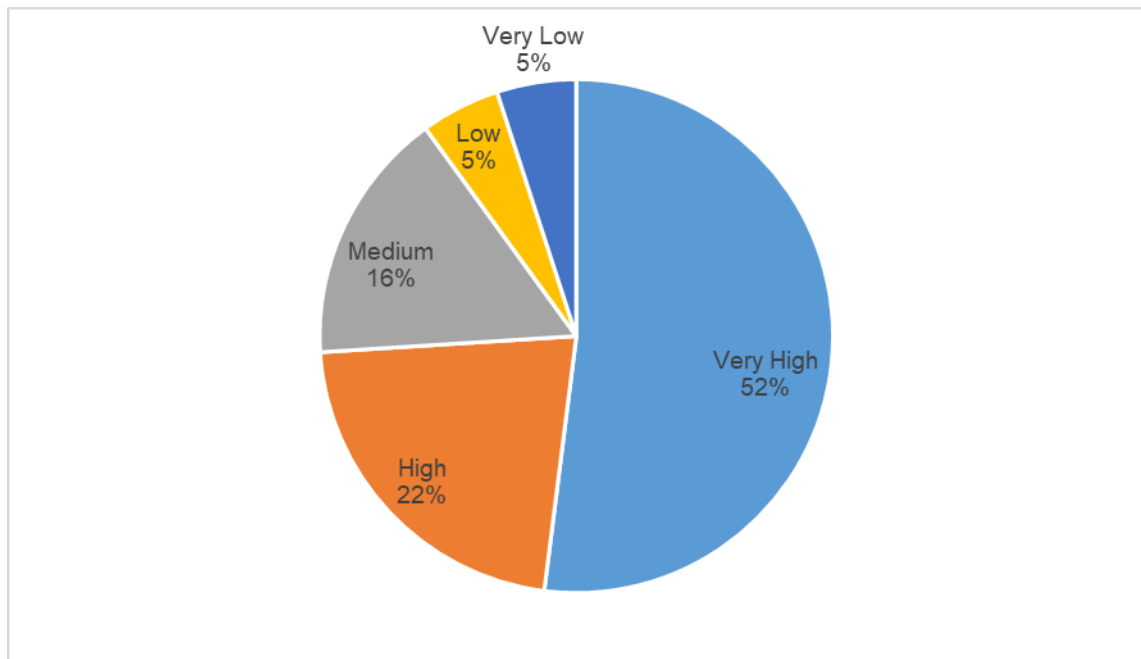


Figure 6:1: How important is this theme to you?

6.2 Summary of comments on Delivering Safe Active Travel

- 6.2.1 Of the 94 respondents to the survey, 46 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

Safety

- the mobility theme of delivering safe travel is very important (4)
- many people live close enough to their work to allow them to commute by bike but very few do, citing safety as a reason as to why they do not travel this way (1)
- rural roads do not feel safe for cyclists and this discourages some from travelling by bicycle (1)
- no mention of the issues cyclists face in terms of aggression from drivers, abuse and harassment. Travel safety is not limited to accidents (2)
- for safe active travel routes there needs to be more than promotional campaigns and Councils need to reallocate road space to create permanent changes to the road network (1)

- safe cycle infrastructure needs to be fully segregated from all other traffic (6)
- there is pent up demand for travelling by active travel modes, however due to the lack of active travel infrastructure connecting towns, people quickly became isolated from the surrounding areas (1)
- current road infrastructure needs to be improved and maintained to a high standard to make it safe for all to travel (4)

Public transport

- the promotion of safe active travel where it does not impact public transport (1)
- active travel networks need to be incorporated within the public transport networks to allow for greater connectivity (4)

Active travel

- active travel is essential for the environment and to improve the population's health and it is effective for the movement of people (2)
- cycle network is currently too fragmented for it to be safe for all users (2)
- bicycle sharing scheme should be reintroduced (1)
- lack of safe bike storage in city / town centres, shopping centres and public transport interchanges (5)
- need for greater provision of secure bicycle storage rather than cycle racks which are not very secure (2)

Engagement

- more engagement with specific communities when planning or developing new active travel routes as it appears that many of the cycle routes are designed for a small proportion of cyclists, so they are not very inclusive (1)

7 Chapter 7 – Enhancing Accessibility to Public Transport

7.1 How important is this theme to you?

7.1.1 The public and organisations were asked how important the theme of Enhancing Accessibility to Public Transport was to them, the results are presented in Figure 7:1.

7.1.2 From the graph, **55% (n=55) selected that this theme is considered to be of 'Very High' importance**, with only 8% (n=8) thinking it is of 'Low' or 'Very Low' importance.

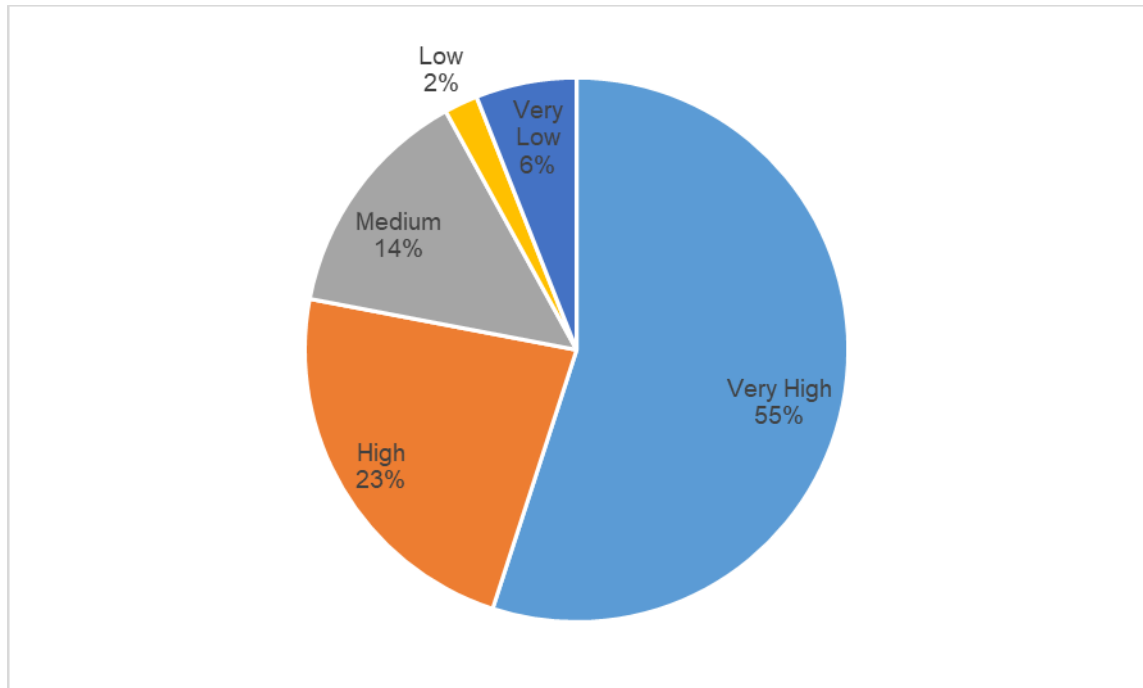


Figure 7:1: How important is this theme to you?

7.2 Summary of comments on Enhancing Accessibility to Public Transport

7.2.1 Of the 94 respondents to the survey, 45 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

Public transport

- improving access to public transport is a very important mobility theme (3)
- public transport services should be accessible to all and operational seven days a week (2)
- fully accessible transport network could be achieved through Demand Responsive Transport (DRT) services (1)
- improved public transport network needed to encourage people to stop using their cars and make the modal shift to travelling by more sustainable modes (1)
- public transport should be considered as more than just the bus services (1)

- more local services which link up communities rather than bus services which only serve strategic areas such as Edinburgh (1)
- bus services become unreliable during peak times due to congestion on the roads (1)
- bus information and timetables should be displayed at all bus stops (1)
- increased frequency of bus services, with East Lothian being noted as an area which would benefit from an increase in frequency (4)
- Scottish Borders is currently underserved by the rail network and if this area were connected by an improved bus network, then there would be a reduced reliance on the private car (1)
- the train timetable in West Lothian can be inconsistent due to the lack of line capacity which makes this an unreliable mode of travel (1)

Integration between modes

- dedicated bicycle spaces on buses to allow for an integrated transport network (2)
- lack of integration between the rail and bus services as the timetabling for the buses does not coincide with the arrival and departure of train services (4)
- a wider network of transport interchanges to allow for there to be integration between different transport modes (1)

Fares

- public transport services need to become more affordable to encourage people to make the shift away from the private car. It is thought that currently they are not value for money (2)
- those who live out with the city boundary should have access to a reduced fare as the cost is too high for them currently (1)
- should be a Scotland-wide smart card which can be used on all public transport services to allow for a more integrated and low-cost payment method (3)
- train fares are very high and are preventing many from being able to travel this way (1)

Active travel

- should not be any reallocation of road space for cycle lanes as the bus infrastructure is already established and there are not enough people cycling to warrant the additional road space (1)
- travelling to and from bus and tram stops, and train stations is an essential component of the overall multi-modal journey so active travel infrastructure must be incorporated within the improvements in access to the public transport network (2)

New developments

- new developments are not integrated within the public transport network which means they are reliant on using the car (1)

8 Chapter 8 – Transforming and Extending the Bus Service

8.1 How important is this theme to you?

- 8.1.1 Respondents to the survey were asked how important the theme of Transforming and Extending the Bus Service was to them. Figure 8:1 displays the results.
- 8.1.2 From the graph below, **39% (n=39)** noted that the theme has 'Very High' importance to them, while half (n=50) of the respondents feel it has 'High' or 'Medium' importance.

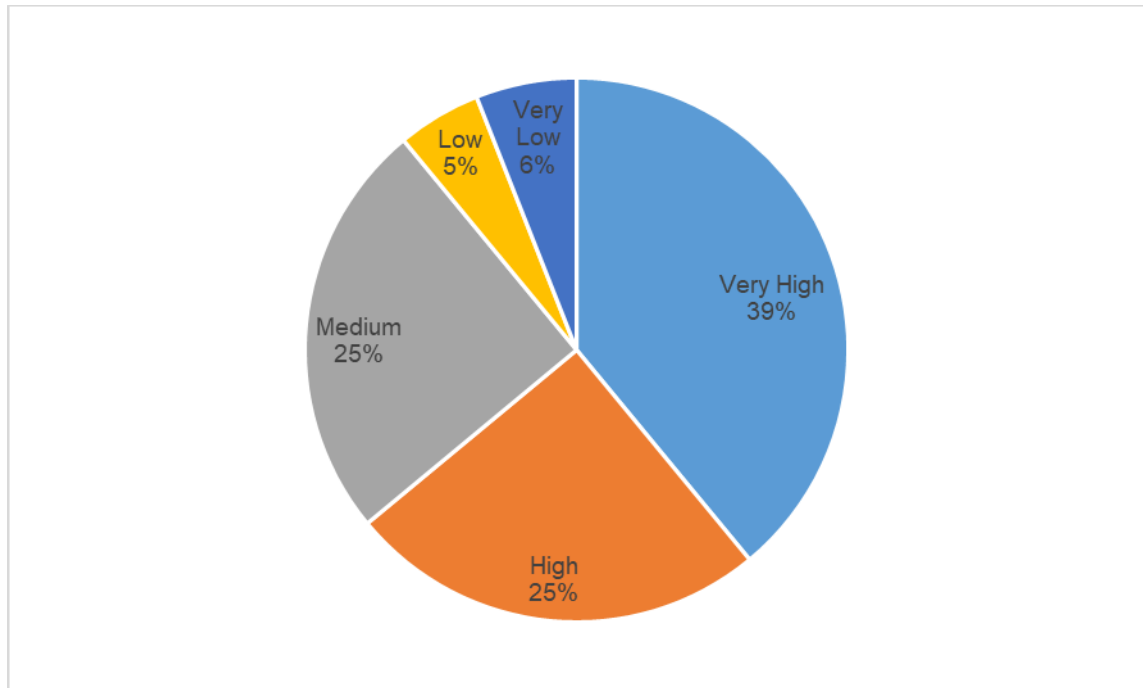


Figure 8:1: How important is this theme to you?

8.2 Summary of comments on Transforming and Extending the Bus Service

- 8.2.1 Of the 94 respondents to the survey, 48 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, over half provided comments, and a summary of these is provided below.

Connections

- current bus services are of a high standard and provide an accessible service for many users. Bus services in Edinburgh are already of a high quality (11)
- bus and train services between Fife and Edinburgh are not adequate to support the number of people choosing to move to Fife (1)
- hopper bus services should be introduced to connect smaller communities to larger urban centres (2)
- long connection times between services and modes (1)
- some areas within the SEStran region are inaccessible by public transport (1)

Frequency

- bus services should be operating at a maximum of 2-hourly intervals, with the aspiration of them to be operating more frequently (1)
- bus services are not frequent enough and suggested that in the evenings in particular there needs to be more than an hourly bus service (3)
- bus services have to be reliable, even during peak times when delays are likely to occur (3)

Length of operating day

- outskirts of Edinburgh after 10:30pm should be served with an integrated DRT service to allow for onward travel for late journeys (1)

Rural issues

- providing a bus service which is more convenient than travelling by car in rural areas is harder to achieve due to the remoteness of some communities (1)
- Demand Responsive Transport is way to get people in rural communities to use the public transport network and would link directly into the wider public transport network (1)

Infrastructure

- bus lanes should be in operation all day and every day (1)

Cost

- bus services are too expensive for some which prevents them from travelling this way (2)
- integrated ticketing system which covers both bus and local rail services would enable more people to travel by public transport (2)

Community transport

- work should be undertaken with community transport providers to enable those who are disabled, older or disadvantaged to access transport (1)

9 Chapter 9 – Enhancing and Extending Rail Services

9.1 How important is this theme to you?

9.1.1 Respondents to the survey were then asked to comment on the importance of the theme Enhancing and Extending Rail Services, with the results shown in Figure 9:1.

9.1.2 The graph shows that **39% (n=39)** noted that the theme has 'Very High' importance while a total of 14% (n=14) feel that it has 'Low' or 'Very Low' importance.

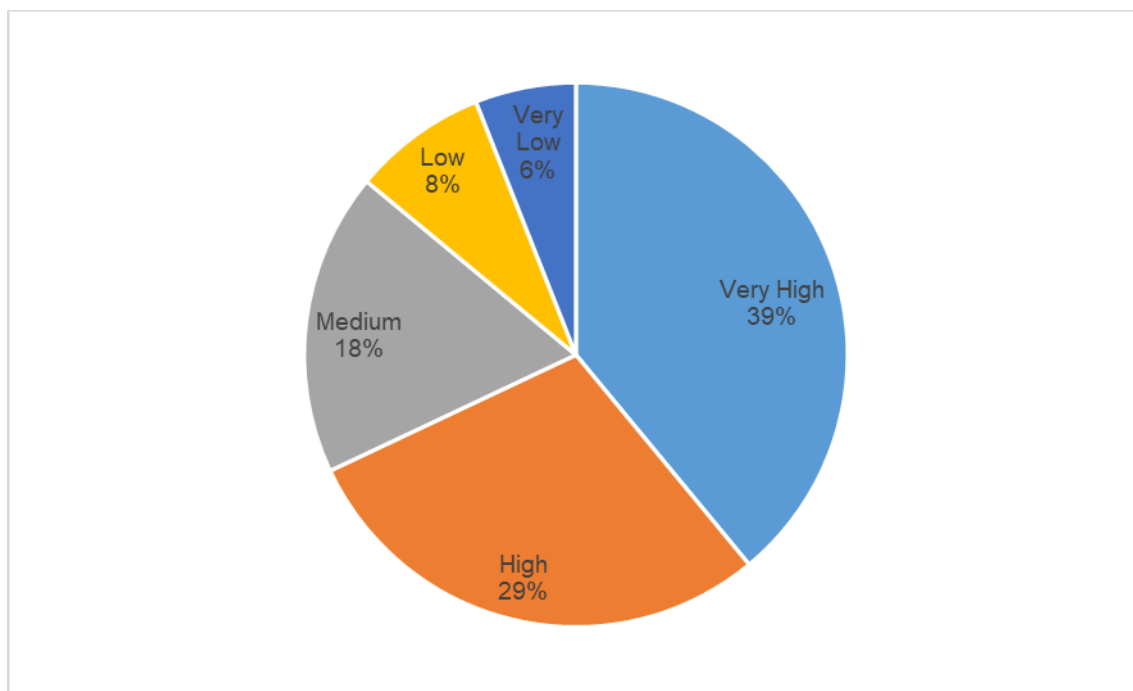


Figure 9:1: How important is this theme to you?

9.2 Summary of comments on Enhancing and Extending Rail Services

9.2.1 Of the 94 respondents to the survey, 52 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, over half provided comments, and a summary of these is provided below.

Borders Railway

- extending the Borders Railway should be considered within this chapter as this would enhance the connections between the rural and urban areas (3)
- a lack of information about the extension of the line between Tweedbank and Carlisle (1)
- extending the Borders Railway line to Hawick and then onwards to Carlisle should be considered a priority and the line should be connected to the East Coast Mainline via Kelso (3)
- increase in funding for the Borders Railway to allow for the capacity and frequency of services on the line to increase (2)

Edinburgh South Suburban Line

- reopening the Edinburgh South Suburban Line to passenger services would enable more people to travel into the centre of Edinburgh by rail. The existing loop could be expanded to encompass Abbeyhill, Meadowbank, Portobello with a line extending to Haddington and a new curve constructed to connect Lanark and Edinburgh (2)
- document should be more ambitious with extending the provision of rail through South Edinburgh (1)
- re-opening the Edinburgh South Suburban line and re-establishing the Midlothian stations and connecting the two lines would allow for better connectivity by rail in this area (1)

Connections

- bus and rail services need to have more coordinated timetables to allow for a quick interchange between services (1)
- no rail services to the East Neuk of Fife (1)
- capacity limitations on the East Coast Mainline (ECML) which restricts the number of services which can operate in East Lothian – a new, local line could serve the towns of East Lothian without adding more services to the ECML (1)
- services on the Bathgate-Airdrie Line are good and this service should be replicated on the West Calder Line (1)
- connections from Dunfermline are poor with many of the towns such as Kincardine and Kinross being missed (1)

Cost

- there would be great individual benefits from the extension, reinstatement and introduction of new rail lines but there would be a high cost to implement these (4)
- a significant investment in the railways is required to enable there to be an increase in rail services but there would be massive disruption to existing services (1)
- rail services should become nationalised again (1)
- cost of fares needs reduced to make the network accessible to all (5)
- there has been a reduction in the number of people travelling to North Berwick following the reduction in discount for pensioners on train fares. Travelling by train should be made free for pensioners (1)

Length of operating day

- the lack of services on a Sunday makes it difficult for people to travel in the region by train and there should be a consistent service which operates across the whole week (1)

Active travel

- there is a lack of bike storage provision on many of the trains operating in the SEStran region which is worse on commuter services (1)

Comfort

- trains are more comfortable to work on when travelling (1)

Climate change

- for a train to be more sustainable than travelling by car then there needs to be a higher travel demand density with high occupancy levels of around 50 people (1)

10 Chapter 10 – Reallocating Roadspace on the Regional Network

10.1 How important is this theme to you?

10.1.1 The public and organisations were asked whether they feel that the theme of Reallocating Roadspace on the Regional Network is important to them. The results are presented in Figure 10:1.

10.1.2 From the graph, **39% (n=39)** believe that this theme has 'Very High' importance, while in total 20% (n=20) believe that it has 'Low' or 'Very Low' importance.

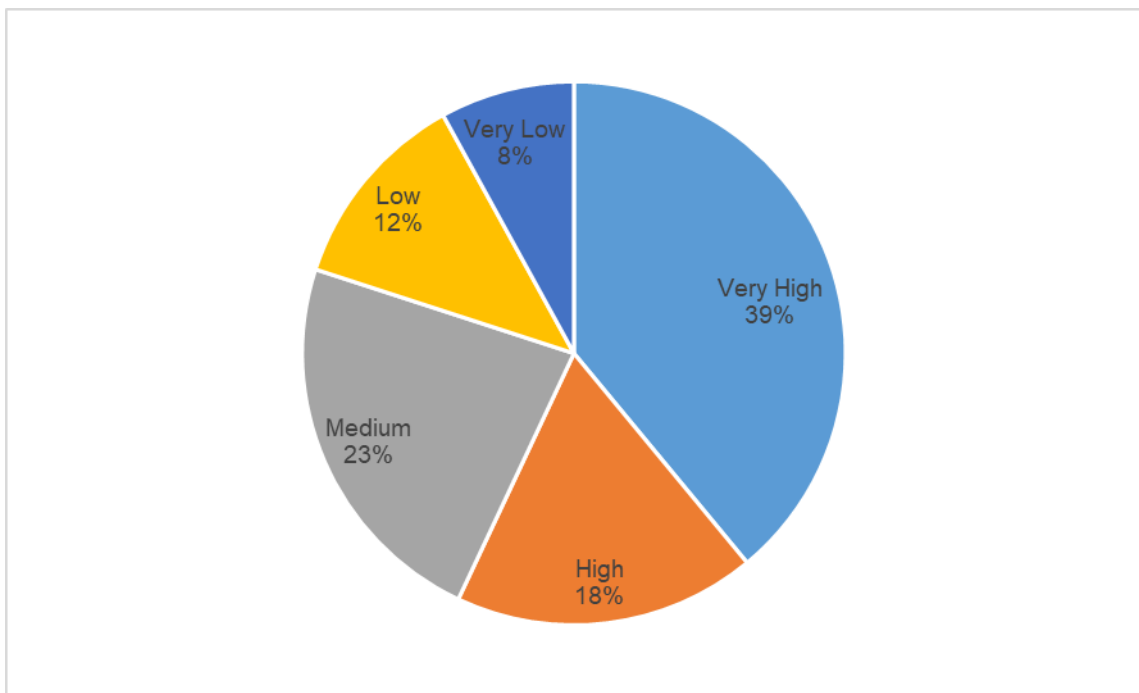


Figure 10:1: How important is this theme to you?

10.2 Summary of comments on Reallocating Road space on the Regional Network

10.2.1 Of the 94 respondents to the survey, 43 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

Public transport

- public transport network must be enhanced before road space can be reallocated to active travel modes (1)
- more consideration given to including community transport within public transport (1)
- increased and improved public transport provision would see a reduction in the number of cars on the roads and a resultant increase in road space which can be used for active travel (3)

Active travel

- safe cycling has to be fully segregated cycle tracks to prevent cars from overtaking close to cyclists (2)
- increased provision of dedicated walking and cycle infrastructure through towns and cities would enable more people to cycle safely in these environments (1)
- pedestrians and cyclists must be segregated from each other as they make walking unsafe, and it needs to be clear whether cyclists are to cycle on the road or whether it is a shared use path (2)

Infrastructure

- reallocated road space for active travel is the most dangerous section as in many cases it is not well maintained (1)
- needs to be an improvement in road surfaces and a distinguishable difference between the cycle lanes and the main carriageway to make cycling more attractive (2)

Congestion

- needs to be a reduction in congestion which is a prominent issue in Edinburgh (2)
- a reduction of road space is going to result in more congestion on the roads, which leads to delays and greater pollution (6)
- unlikely to ever be zero car use and therefore the reallocation of space is only going to result in higher levels of pollution (1)

Tax

- cyclists do not pay road tax so if they are to be given a greater share of the road space they should have to pay some form of tax as a road user (1)

Mobility theme

- this is a good and relevant mobility theme (2)

11 Chapter 11 – Delivering Seamless Multi-Modal Journeys

11.1 How important is this theme to you?

11.1.1 The respondents were asked whether the theme of Delivering Seamless Multi-Modal Journeys was important to them, and the responses are outlined in Figure 11:1.

11.1.2 From the graph, **75% (n=75) of respondents believe that this theme has 'Very High' or 'High' importance.**

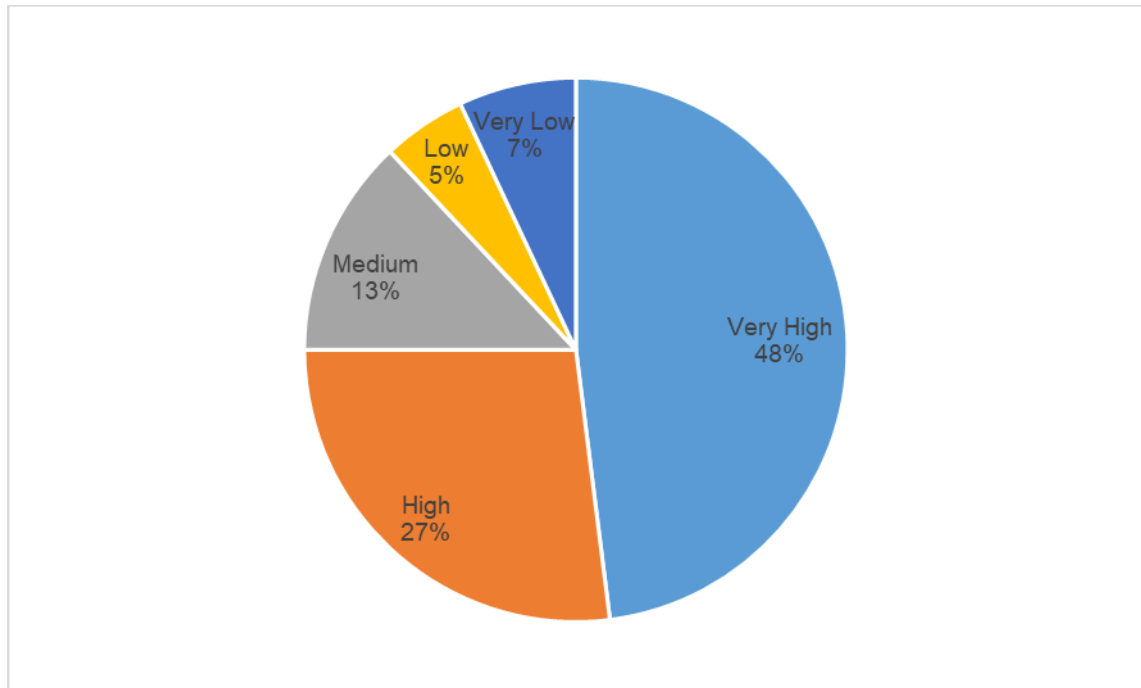


Figure 11:1: How important is this theme to you?

11.2 Summary of comments on Delivering Seamless Multi-Modal Journeys

11.2.1 Of the 94 respondents to the survey, 39 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

Integration between modes

- the theme around better integration between modes is very important (2)
- integration between modes will be an essential part of 'Levelling-up' for those in deprived areas (1)
- Park & Ride facilities are already of a high standard (1)

Interchanges

- need for more inter-modal transport interchanges, but this needs to be done in conjunction with services and the built environment (2)

- Bathgate Railway station should become a transport interchange (1)

Active travel

- active travel network needs to be incorporated within the integration between modes (1)
- need buses which have allocated space for bicycles to ensure that people who cycle one way have the option to take the bus back (4)
- there is a lack of safe bicycle storage at transport interchanges and stations (2)
- a bicycle hire scheme could be reintroduced to Edinburgh to allow for a greater integration between active travel modes and public transport (1)

Convenience

- convenience is the main issue, and it is essential that it needs to become inconvenient to travel by car compared to other modes to create a modal shift (1)

Rural issues

- integration between modes is very different for those in rural areas compared to urban areas (1)
- an integrated system requires an improvement in digital infrastructure, especially for those who live in rural areas (2)

Ticketing

- for greater integration between modes an integrated ticketing solution is required to complement it (4)
- a ticket system similar to the Oyster Card in London could allow for an integrated public transport network (1)

12 Chapter 12 – Decarbonising Transport

12.1 How important is this theme to you?

- 12.1.1 Respondents to the survey were asked whether the theme of Decarbonising Transport was important to them, with the results displayed in Figure 12:1.
- 12.1.2 The graph shows that **46% (n=46) of respondents feel that it is of 'Very High' importance, while a quarter (n=25) noted it was of 'High' importance.**

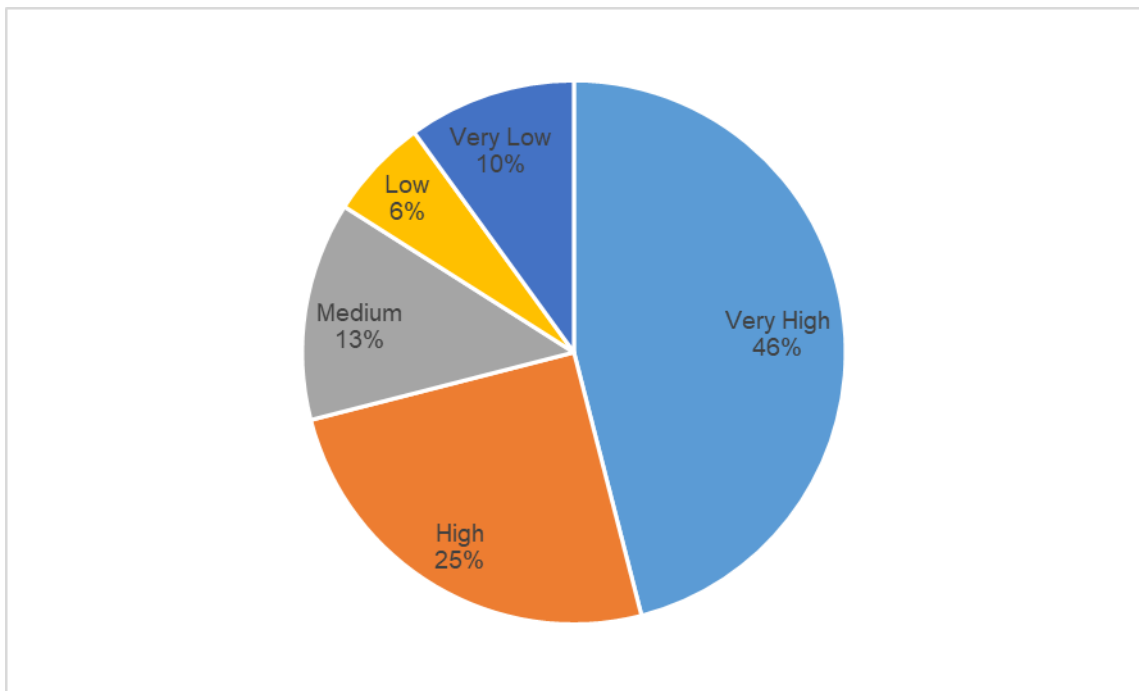


Figure 12:1: How important is this theme to you?

12.2 Summary of comments on Decarbonising Transport

- 12.2.1 Of the 94 respondents to the survey, 50 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, over half provided comments, and a summary of these is provided below.

Mobility theme

- the theme of Decarbonising Transport is essential (9)

Role of electric vehicles

- reducing the number of vehicles on the road is critical and the use of electric vehicles will not be the solution to that (10)
- electric vehicles are not the solution to reducing car dependency as electric vehicles do not reduce congestion plus tyre and brake dust pollute land and rivers whilst the production and recycling of batteries is an environmental issue (3)
- concern around the range an electric car has compared to the that of a petrol / diesel car and the resultant 'range anxiety' (4)

Infrastructure

- lack of charging facilities in the SEStran area which discourages people from making the change to an electric vehicle (4)
- need for more electric vehicle charging sites available for the public with enough to prevent queuing at charging points (6)
- any charging infrastructure should not take space away from the width of the pavements (2)

Rural issues

- the roll out of electric vehicles will be more difficult for those in rural areas due to the lack of charging infrastructure (2)
- rural areas have a longer commute and many electric vehicles cannot travel the same distance as internal combustion engine vehicles on one charge (1)

Cost

- the consequential cost of decarbonising transport should not have a knock on effect on the cost for the user (1)
- electric vehicles are very costly to purchase and run due to the need to install charging infrastructure (4)

Active travel

- priority should be given to replacing car journeys with walking, cycling or travelling by public transport, with electric vehicles being a second priority (3)
- active travel should be the priority and more funding should be made available to improve active travel infrastructure (1)

Public transport

- not enough is being done to expand the number of electric or hydrogen buses across the SEStran area (1)
- electrification of the rail network has been shown to reduce carbon emissions (1)

Hydrogen

- need investment in hydrogen as an alternative fuel to electricity and this should be a focus at all levels of government (1)

13 Chapter 13 – Facilitating Efficient Freight Movement and Passenger Travel

13.1 How important is this theme to you?

13.1.1 Respondents were asked how important the theme Facilitating Efficient Freight Movement and Passenger Travel is, with the conclusions shown in Figure 13:1.

13.1.2 From the graph, **60% (n=60)** noted that they feel the theme is considered to be 'Very High' or 'High' importance.

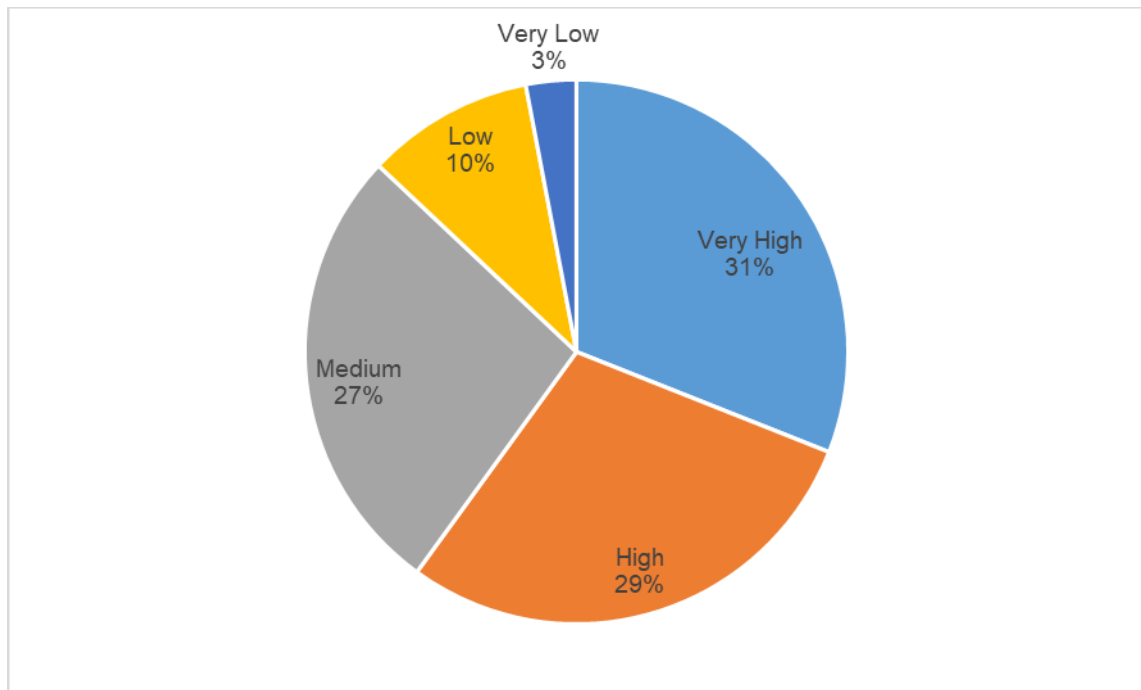


Figure 13:1: How important is this theme to you?

13.2 Summary of comments on Facilitating Efficient Freight Movement and Passenger Travel

13.2.1 Of the 94 respondents to the survey, 31 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

Road network

- there needs to be road widening at bottlenecks on the routes which are used by timber lorries (1)
- more work to be done by local authorities to alleviate congestion where the road is reaching capacity with a focus on not creating more congestion due to reallocation of road space (1)
- reallocation of road space should consider prioritising freight, commercial and passenger services along certain routes (2)

Public transport

- need a target to ensure that all the train lines in Scotland should be dualled rather than single track like on some of the rail lines (1)
- widespread electrification of the rail and freight network (1)

Freight

- more, high quality rest stops introduced for haulage drivers like there are in Europe (1)
- a missed opportunity to move freight by rail or by sea which could reduce the number of large HGVs on the road (3)
- Edinburgh South Suburban Line could be used for the movement of freight and passengers (1)

Air travel

- no mention of the emissions produced by aircraft and air travel nor how this mode of travel is going to be decarbonised (1)

14 Chapter 14 – Working Towards Zero Road Deaths and Serious Injuries

14.1 How important is this theme to you?

14.1.1 Both organisations and members of the public were asked how important the theme of Working Towards Zero Road Deaths and Serious Injuries is to them. The results are presented in Figure 14:1.

14.1.2 **Over half (n=52) responded saying that the theme has ‘Very High’ importance** while only 5% (n=5) in total noted that it has either a ‘Low’ or ‘Very Low’ importance.

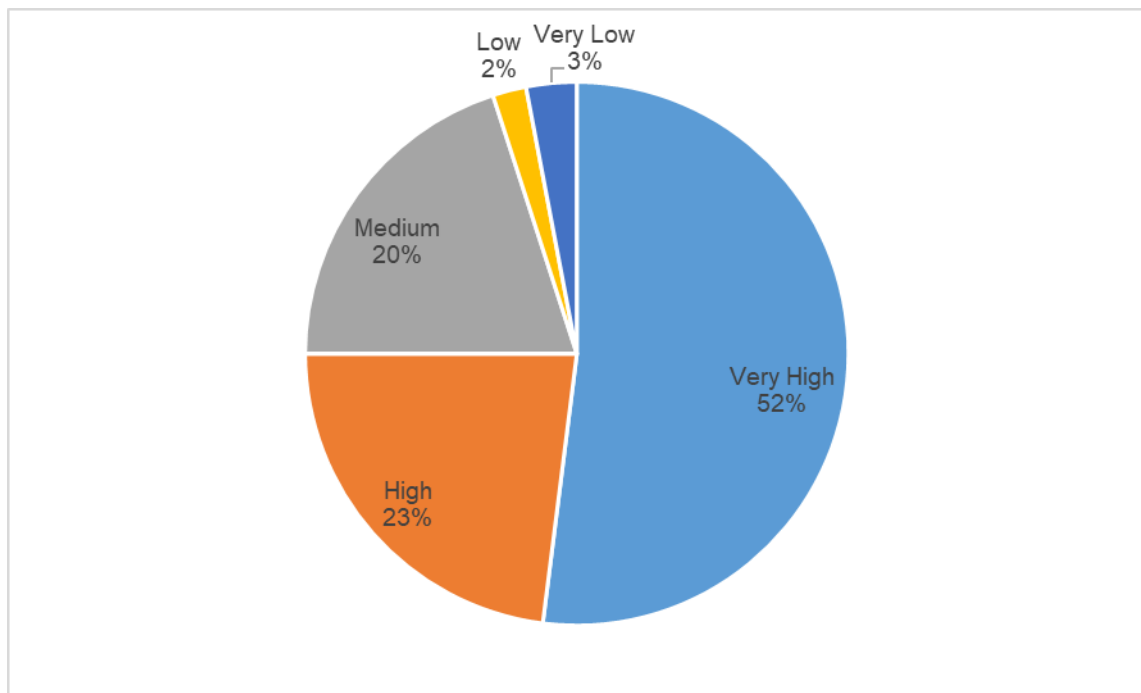


Figure 14:1: How important is this theme to you?

14.2 Summary of comments on Working Towards Zero Road Death and Serious Injuries

14.2.1 Of the 94 respondents to the survey, 39 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

Mobility theme

- the reduction of fatalities and injuries is a key priority of the RTS (4)

Active travel

- to achieve no deaths or serious injuries on the roads, there needs to be high quality walking and cycling infrastructure which is segregated from general traffic (3)
- a greater focus on e-scooters as a solution and their inclusion with active travel infrastructure (1)

- an increase in active travel and public transport provision will result in a natural reduction in the number of people being injured on the road network (2)
- experienced instances where there are cyclists who are travelling without a helmet or are not visible due to poor lighting and dark clothing (2)

Road network

- a removal of blind corners and a widening of roads at bottlenecks to make the roads safer for all users (2)
- signage on some rural roads is poor quality making travelling on rural roads more dangerous (1)
- high prevalence of speeding in some built up areas which makes walking dangerous and increases reliance on car use. 20 mph speed limits should be implemented within all built up areas (5)

Decarbonising transport

- decarbonisation of transport will save more lives due to the impact emissions have on people's respiratory system (1)

Enforcement

- a lack of legal enforcement of speed limits which does not discourage motorists from speeding, making the roads dangerous for all (3)
- penalties for speeding and reckless driving are thought to be insufficient (2)
- a lack of political will to crack down on the prevalence of speeding (1)

15 Chapter 15 – Reducing Car Kilometres

15.1 How important is this theme to you?

- 15.1.1 The respondents were asked how important the theme of Reducing Car Kilometres was to them, with the conclusions displayed in Figure 15:1.
- 15.1.2 From the graph, **55% (n=55) noted that the theme has 'Very High' or 'High' importance**, while 21% (n=21) believe it has 'Low' or 'Very Low' importance which is higher than previous themes.

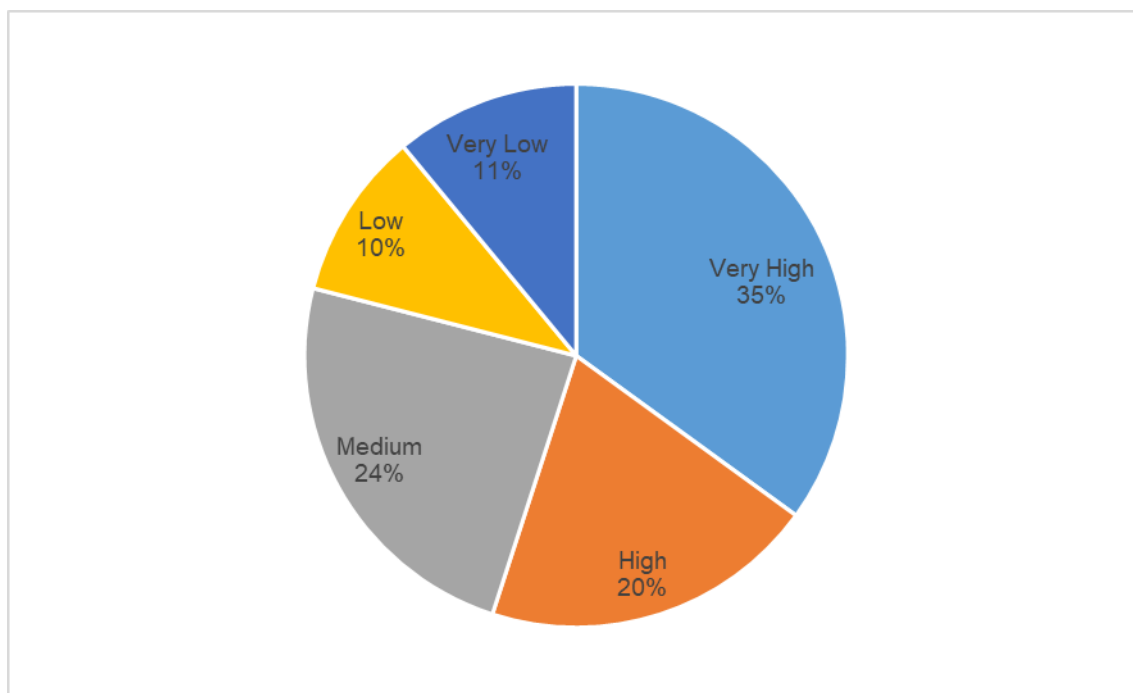


Figure 15:1: How important is this theme to you?

15.2 Summary of comments on Reducing Car Kilometres

- 15.2.1 Of the 94 respondents to the survey, 44 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, just under half provided comments, and a summary of these is provided below.

Mobility theme

- this is an important theme and should be considered a top priority within the RTS (10)

Public transport

- for there to be reduction in car kilometres there needs to be an improvement in public transport provision (2)
- express Park & Ride facilities are essential to reduce the number of vehicles on the roads along the arterial routes into the city - key to introduce more sustainable transport hub sites (2)
- the addition of new train stations on the rail network would encourage more people to travel this way rather than by car (2)

- until it is easy to make multi-stop journeys by public transport, people will continue to travel by car as it is more convenient for these trips (3)

Active travel

- improvement in walking and cycling infrastructure could reduce the number of people travelling by car as many active travel routes are unsafe (2)
- e-scooters would help to reduce the number of car kilometres which has shown to be successful within European countries for travelling short distances (1)

Rural issues

- need an improvement in rural public transport services to encourage a modal shift (1)
- this theme would be difficult to achieve for those who live in more rural areas (3)

Car use

- make it more expensive for people to travel by petrol / diesel cars to force people to switch to electric vehicles and increase patronage on public transport (1)

COVID-19

- more emphasis on the change in working behaviours as a result of the COVID-19 pandemic which has seen a dramatic shift to home and hybrid working (2)

16 Chapter 16 – Responding to the Post-COVID World

16.1 How important is this theme to you?

16.1.1 Respondents were asked how important the theme of Responding to the Post-COVID World is to them with the results presented in Figure 16:1.

16.1.2 From the graph, **50% (n=50)** noted that it has 'Very High' or 'High' importance while 21% of respondents believe it is of 'Low' or 'Very Low' importance.

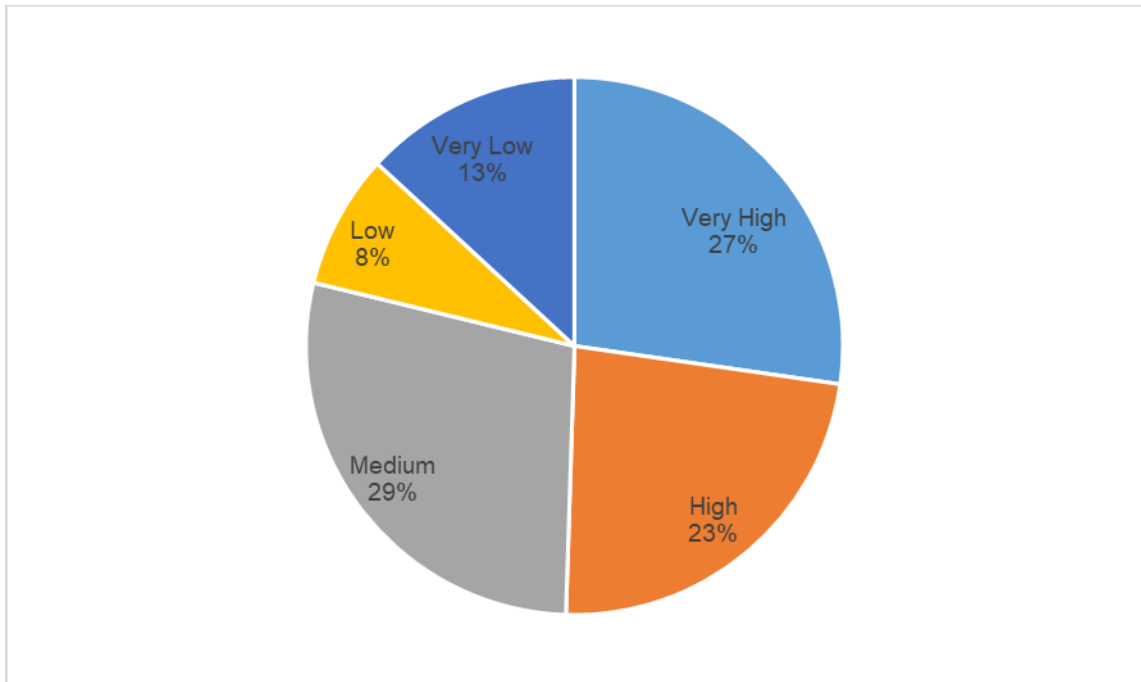


Figure 16:1: How important is this theme to you?

16.2 Summary of comments on Responding to the Post-COVID World

16.2.1 Of the 94 respondents to the survey, 35 provided an open-ended response on the mobility theme. **The majority of respondents think that this mobility theme has a high importance.** Furthermore, a minority provided comments, and a summary of these is provided below.

COVID-19

- post-COVID life is still to be determined as we are still living with restrictions which is preventing people from being able to travel and work in the way they want or did previously (6)

Working from home

- working from home and hybrid working cannot be lost after all restrictions are lifted as this has resulted in less journeys being made (5)
- greater investment in local areas needed to support the increased number of people working from home and therefore requiring local amenities and services (1)

- there are still a large number of companies and businesses who are not adopting a hybrid working environment and therefore there needs to be time to allow for new travel patterns to become established (1)

Public transport

- there has been a significant reduction in bus patronage during the pandemic which needs to be reversed to achieve any reduction in congestion (1)
- need more focus on light rail rather than buses as this allows for more personal space while travelling (1)

Active travel

- the pandemic revealed the demand for active travel and the transport network needs to reflect these changes to encourage more local travel by walking or cycling (1)
- inclement weather is mentioned within this chapter, and this is a key factor in people deciding to cycle or walk rather than travel by car or public transport (1)

17 Chapter 17 – Spatial Strategy

17.1 Do you agree or disagree with the themes in the Spatial Strategy?

17.1.1 The public and organisations were asked their opinion on the themes of the Spatial Strategy, with the responses outlined in Figure 17:1.

17.1.2 **52% (n=52) noted that they agree with the themes** while 32% (n=32) do not have a strong opinion on the themes by saying they neither agree nor disagree.

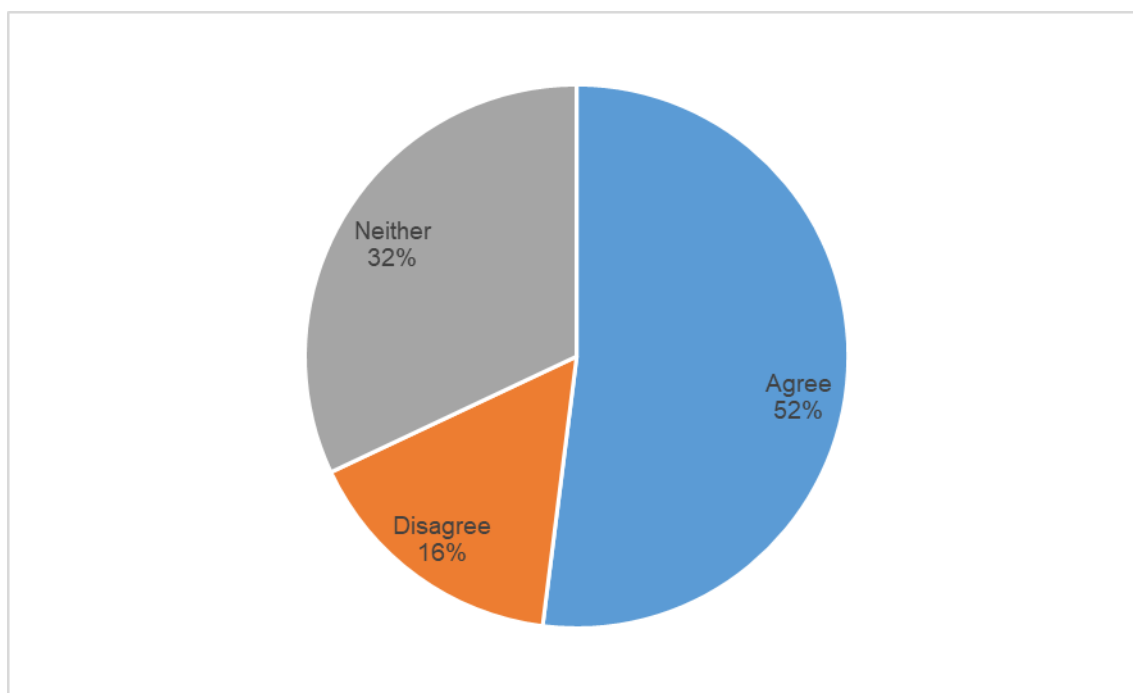


Figure 17:1: Do you agree or disagree that these themes provide an appropriate focus?

17.2 Summary of comments on the Spatial Strategy

17.2.1 Of the 94 respondents to the survey, 32 provided an open-ended response on the Spatial Strategy. **The large majority of respondents did not disagree that these themes provide an appropriate focus.** However, a minority did provide comment, and a summary of these comments is provided below.

Spatial strategy

- this is an important theme (4)

Movement

- a lack of recognition on the need for people to be able to move between places (1)
- people should be encouraged to car share to reduce the number of cars on the road but it is not practical in the current COVID-19 world (1)
- more encouragement to work from home as this would reduce travelling by less people commuting to work (1)

Short journeys

- the shorter journeys which are being taken by car are leading to the most congestion and will require a behavioural change (1)
- pleased that the short, within region journeys were being focused on (1)

Public transport

- better public transport connections could encourage people to travel by more sustainable modes rather than by private car (1)
- reopening of the Edinburgh South Suburban Line to passengers would allow for an alternative to the bypass (A720) as road widening will not resolve congestion (1)
- more orbital public transport routes needed which serve Midlothian to help reduce the high levels of deprivation in some areas (1)

Active travel

- requirement for dedicated cycle routes to enable people to travel by bicycle safely (2)
- the city centre is the most dangerous area for cyclists due to the high density of cars and there should be some restrictions implemented to prevent the high volume of cars (1)

Integration between modes

- the failure to connect active travel networks with public transport to create a multi-modal journey will encourage car use (1)
- need an integrated alternative to the car for there to be a reduction in the number of cars on the road (1)

Parking

- increasing the cost of parking within cities will not deter people from travelling into the city centre by car to access shops and other amenities (1)

Planning

- need more focus on infrastructure for new housing developments as currently the rapid growth in population is putting a strain on the road network (1)
- large-scale housing developments in Midlothian lack infrastructure to accommodate the associated increase in population (1)

18 Chapter 18 – Key Performance Indicators (KPIs)

18.1 Do you agree or disagree that the KPIs provide an appropriate means to monitor performance?

18.1.1 The respondents were asked whether they agree or disagree with the Key Performance Indicators (KPIs) and whether they are an appropriate means to monitor performance. The results are presented in Figure 18:1.

18.1.2 From the graph, **45% (n=45) stated that they agree with the KPIs**, while 16% (n=16) noted that they disagree and the remaining respondents neither agree or disagree with them.

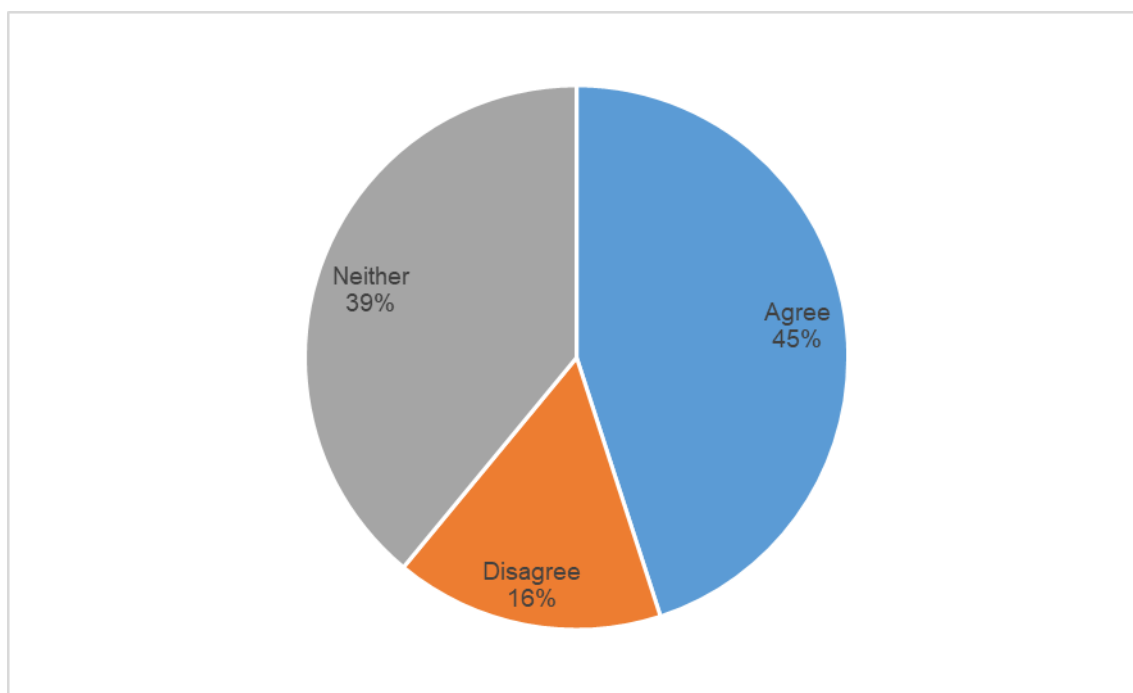


Figure 18:1: Do you agree or disagree that these KPIs provide an appropriate means to monitor performance?

18.2 Summary of comments on the Key Performance Indicators (KPIs)

18.2.1 Of the 94 respondents to the survey, 41 provided an open-ended response on the KPI chapter of the RTS. **Whilst the majority of respondents did not disagree with the KPIs**, around half did provide comment, and a summary of these comments is provided below.

KPIs

- Strategy 3 is the most useful way forward (1)
- most KPIs have been captured within the chapter (2)

Active travel

- Objective 2 should have a greater focus on tracking bicycle usage, especially when it is a mode of transport being used for some trips (2)
- there should be some measure of the percentage of houses within a local authority area which has safe, segregated cycle infrastructure (1)

- Objective 2 should include the number of schools which provide cycle training and the number of workplaces which promote active travel (2)

Public transport

- improving the bus service is one thing, the perception of poor services needs to be addressed (1)
- difficult to measure satisfaction as it is based on perception rather than a pre-determined measure (2)
- Objective 3 should include more measures of transport interchange usage and Objective 4 should reference bus/train journey time reliability and scheduling accuracy to determine whether the services are adequate (2)
- affordability of public transport should be included as a KPI (1)

Car use

- there should be measures on the average CO₂/bus passenger km, average car occupancy and average bus occupancy (1)
- need more monitoring of car movements with some clear targets set out to aim towards in terms of number of vehicles on the road. (1)

Equality

- no mention of equality data or travellers in the protected characteristics of the Equality Act 2010, which restricts what can be achieved within the document (1)

Air travel

- emissions from flights should be included within the total regional emissions value as currently they are missing (1)

19 Equalities

19.1 Overview

- 19.1.1 The respondents to the survey were given the opportunity to comment on the equalities assessment accompanying the draft RTS document and the summary of the responses are outlined below.

19.2 Summary of comments on Equality

- 19.2.1 Of the 94 respondents to the survey, 21 provided an open-ended response on the equalities assessment. **A minority did provide comment**, and a summary of these comments is provided below. **However, some respondents answered this question in relation to equalities references within the RTS itself.**

Equalities

- essential theme to be considered within the RTS (2)
- the EqIA has been done very well (1)
- need a stronger case for equalities as it is very important and cannot be disregarded by economic arguments (3)
- limited reference to equalities throughout the document and there is a lack of explanation of what is being proposed and how equality groups are going to be consulted on the strategy (1)

Active travel

- more safe and fun active travel infrastructure needs to be introduced (1)
- greater focus on the use of e-scooters and e-bikes throughout the document (1)

20 Strategic Environmental Assessment

20.1 Overview

- 20.1.1 The public and organisations were provided with the opportunity to comment on the Strategic Environmental Assessment accompanying the draft RTS document with a summary of the comments, grouped by theme, discussed below.

20.2 Summary of comments on the Strategic Environmental Assessment

- 20.2.1 Of the 94 respondents to the survey, 17 provided an open-ended response on the Strategic Environmental Assessment. **A minority did provide comment**, and a summary of these comments is provided below. **However, some comments extended beyond the scope of the Strategic Environmental Assessment.**
- this plays a key role and should be considered a priority (3)
 - an environmental assessment of using existing infrastructure should be provided to understand the environmental benefits (1)
 - there is no economic impact assessment (1)

21 Other comments on the Regional Transport Strategy

21.1 Overview

- 21.1.1 The survey concluded with a question on whether there were any other comments respondents wished to make on the draft RTS document. These responses are summarised and grouped by key themes below.

21.2 Summary of other comments

- 21.2.1 Of the 94 respondents to the survey, 36 provided an open-ended response to the overall document. **A minority did provide comment**, and a summary of these comments is provided below.

Climate change

- the strategy has no longevity as there is not enough reference to climate change and how it could evolve in the coming years (1)

Public transport

- much of the transport emissions come from journeys which are too far to cycle or have limited public transport available to use instead (1)
- a need for a rapid transit system between Livingston North Station, St John's Hospital, the centre and Livingston South Station - making it easier for people to travel within Livingston without a car (1)
- Borders Railway should be extended to Hawick and onward to Carlisle to improve accessibility to the Scottish Borders through public transport modes rather than relying on private car (1)

Car use

- a solution to reducing carbon emissions would be to encourage people to car share for longer journeys which could half carbon emissions (1)
- pavement parking is a real problem and there should be an online reporting system to allow for those doing it to be fined (1)
- illegal parking in general is a problem faced by all areas within the SEStran region, not just specific areas like Edinburgh and St Andrews (1)

Infrastructure

- the current condition of the roads and pavement are poor and if resolved travelling would be safer for all users (1)

Overall Document

- this is a very important document and it has been long overdue (1)
- a lot of great ideas within the RTS document which have the potential to make a massive difference to residents of the SEStran region (1)

- many of the issues which are outlined in the document are region-wide which will require a region-wide approach to resolve them so there needs to be a Scotland-wide approach to implement continuous provision across all regions (1)
- the whole document needs to be set within the overall context of decarbonisation, equalities and affordability (1)
- there is a lack of explanation of how anything will be achieved and the KPIs were also noted to not explain how targets will be met (1)
- more explanation on how these improvements are going to be funded (3)
- the document is too long (2)

22 Local Authority Responses

- 22.1.1 This section outlines general themes which emerged from the coding process undertaken on 'Local Authority' responses. It presents information on a thematic and respondent basis. Note the tables only provide an overview of the comments and do not include specific actions etc.
- 22.1.2 Overall, the various Local Authorities were supportive of the challenges and associated vision & objectives set out in the draft RTS; with many outlining how they reflected the current policy landscape and existing issues of the SEStran region. Furthermore, either via the implementation of 20-minute neighbourhoods, reallocation of road space, or implementation of Mobility Hubs, many Local Authorities were additionally supportive of measures which embedded sustainable transport within current / future development.
- 22.1.3 The Local Authorities also had positive views on the various public transport issues, policies and actions which were included within the RTS, with the focus on reinvigorating bus / train services via enhanced integration and removal of barriers to public transport to support the 20% car kilometres reduction targets and decarbonisation ambitions receiving particular support.
- 22.1.4 For counterbalance, the Local Authorities also raised some issues with the draft RTS – although these were in the minority and not reflective of the broadly positive support for the draft RTS. These issues included questions over how the associated policies and actions were to be delivered, the viability of applying the actions and policies within both urban and rural environments, the draft RTS's links to wider policy, and issues regarding a lack of focus on the integration of ticketing and data within the wider transport network.
- 22.1.5 An overview of the positive comments from each of the 'Local Authorities' can be found in Table 22:1. Equally, Table 22:2 outlines the main overarching issues.

Table 22:1: Main Positives (Local Authorities)

Local Authority	Main Comments
City of Edinburgh	<ul style="list-style-type: none"> • Transport Challenges & Problems: Agreed with the challenges set out in the user perspective and were generally fully supportive of measures aimed at reducing the need to travel and delivering modal shifts towards sustainable modes. • Vision & Objectives: Stated that the content of the objectives was appropriate, and that it covered all the key transport issues and challenges which the region currently faces. • Shaping Development and Place: Fully supported measures which embed sustainable transport provision into development. Were particularly supportive of 20-Minute Neighbourhoods. • Delivering Safe Active Travel: Fully supportive of measures which promoted active travel. • Enhancing Accessibility to Public Transport: Supportive of all policies contained within the theme, and aspirations to remove barriers to public transport. • Transforming and Extending the Bus Service: Were encouraged that the RTS firmly placed the role of buses at the centre of the strategy. • Reallocating Roadspace on the Regional and Local Network: Supportive of all measures which promoted active travel. • Delivering Seamless Multi-Modal Journeys: Supported “exciting” content within the section. Highlighted how the ambitious language reflected NTS2, NPF 4 and CMP. • Decarbonising Transport: Supportive of decarbonisation ambitions which are reflected within the CMP.

Local Authority	Main Comments
	<ul style="list-style-type: none"> • Facilitating Efficient Freight Movement and Passenger Travel: Supportive of freight consolidation centres in key locations and their implementation at key strategic locations. • Working Towards Zero Road Deaths and Serious Injuries: Outlined how it was a key consideration which needs continuing consolidation within the RTS. • Overview: <i>“Exciting and Engaging. The strategy encompasses all the expected main components of Transport Planning”</i>
Clackmannanshire	<ul style="list-style-type: none"> • Transport Challenges & Problems: General agreement with all the identified transport challenges and problems. • Vision & Objectives: Agree that the vision for the RTS broadly encompassed all the aspects which need to be considered and delivered over the RTS period. • Transforming and Extending the Bus Service: Transport Poverty mapping proved interesting. • Reallocating Road-Space on the Regional and Local Network: Agreed with the principles of theme, but acknowledged that it would be difficult to achieve due to strong local opposition. • Delivering Seamless Multi-Modal Journeys: Welcomed the development of Mobility Hubs. Referenced the Murray Square bus stance in Tillicoultry as a possible mobility hub. • Decarbonising Transport: Stated opportunity for regional collaborative approach across local authorities to implement the well-established policy. • Working Towards Zero Road Deaths and Serious Injuries: Referenced how the policy was already well-established. • Overview: <i>“In summary the approach and direction of the draft RTS is supported by Clackmannanshire Council.”</i>
East Lothian Council	<ul style="list-style-type: none"> • Transport Challenges & Problems: Supported the inclusion of the challenges, although acknowledged that they will need to be confronted in a unified approach. • Vision & Objectives: Supported the vision and objectives of the RTS, which aligned with the East Lothian Council Plan. • Shaping Development and Place: Agreed with the principles of place making, 20-minute neighbourhoods and shared mobility through journey hubs and Mobility as a Service (MaaS) concepts. • Delivering Safe Active Travel: Stated that the inter-regional active travel infrastructure linking key destinations is paramount in encouraging modal shift. • Enhancing Accessibility to Public Transport: Stated how the Council believed that fair fares are necessary across public transport to encourage patronage, which are equivalent to car-based transport costs. • Transforming and Extending the Bus Service: Welcomed the opportunity to improve bus journey times regionally and as part of the Midlothian Bus Alliance. • Enhancing and Extending Rail Services: Would welcome further discussions on enhancing rail provision services within the area. • Reallocating Roadspace on the Regional and Local Network: Supports the principles of re-allocating road space through evidence-based project development, technical justification, and public consultation. Also supports the parking management initiatives and application of sustainable travel hierarchy principles in the planning process. • Delivering Seamless Multi-Modal Journeys: Recognises the benefits of integration between modes and wishes to work with partners to provide point on various integration initiatives.

Local Authority	Main Comments
	<ul style="list-style-type: none"> • Decarbonising Transport: Welcome further talks in the regional context to evolve a unified approach to the development of electric vehicle infrastructure. • Facilitating Efficient Freight Movement and Passenger Travel: Accepts the principles of targeted infrastructure investment to augment sustainable growth, place making and infrastructure adaptation – particularly to expedite climate change mitigation. • Working Towards Zero Road Deaths and Serious Injuries: Supports the concept of demonstrable speed reduction measures and limits subject to stakeholder engagement and public consultation. • Reducing Car Kilometres: Recognises the ambition of national and regional transport partners and subscribes to the rationale to move from unsustainable single occupancy car use but also reflects that transport is derived from other sector activity, that the county is experiencing substantial growth, and that some of our communities are remote from PT networks, which compounds the simplicity of 20% direct reduction. • Responding to the Post-COVID World: Is aware of new ways of working and is looking to explore opportunities through enhanced digital connectivity, AI data collection and reduced trip making. • Overview: <i>“East Lothian Council supports the vision of the Regional Transport Strategy, which aligns with the East Lothian Council plan.”</i>
Falkirk	<ul style="list-style-type: none"> • Transport Challenges & Problems: Appreciated that the lack of ULEV was recognised for HGV freight movements. • Vision & Objectives: Stated that the vision reflected the national vision set out in NTS 2. • Shaping Development and Place: Hoped that the policies helped to deliver the Placemaking agenda. • Delivering Safe Active Travel: Stated that sustainable active travel was at the forefront of the Sustainable Travel Hierarchy contained in NTS 2. • Enhancing Accessibility to Public Transport: Highlighted that public transport should provide a viable and affordable alternative travel mode to the private car and for those members of the community who have little or no alternative mode of transport. • Reallocating Roadspace on the Regional and Local Network: Stated that to achieve the 20% reduction in car kilometres and to promote bus travel, the re-allocation of road space to reduce and limit road capacity for the private car is key. • Delivering Seamless Multi-Modal Journeys: Outlined that integration between modes is vital to achieve a reduction in car-based trips, and that any theme that underpins mobility hubs which will offer opportunities for multi-modal journeys is welcomed.
Midlothian	<ul style="list-style-type: none"> • Shaping Development and Place: Stated that focus on BPF will help the RTS achieve some of these objectives. • Overview: <i>“Welcome the approach to structuring the strategy and consider objectives to be very relevant in terms of focus on climate emergency, sustainability, behavioural change and transition from COVID-19 to a greener travel system and a safer travel network.”</i>
Scottish Borders	<ul style="list-style-type: none"> • Transport Challenges & Problems: Appreciated the inclusion of Problem 15 as a Problem. • Delivering Safe Active Travel: Fully supportive of the role of active travel. • Enhancing Accessibility to Public Transport: Highlighted support for issues around forced car ownership. • Transforming and Extending the Bus Service: Welcomed references to BSIP and franchise models.

Local Authority	Main Comments
	<ul style="list-style-type: none"> • Enhancing and Extending Rail Services: Supported opposition against reduction of rail services / frequencies. • Delivering Seamless Multi-Modal Journeys: Agreed that 'Hubs' concept is scalable and fully supportive of MaaS initiatives and wider actions contained within the chapter.
West Lothian	<ul style="list-style-type: none"> • Transport Challenges & Problems: Stated that the identified transport challenges and problems are wide ranging and reflect current urban and rural type transport and travel issues. • Vision & Objectives: Outlined that the vision encapsulates the key expected elements of a strategy of this nature, with the four strategy objectives providing clear links to societal outcomes and wider policy changes. • Enhancing Accessibility to Public Transport: Highlighted that the theme was very important, with the policies and actions outlined in this theme being beneficial. • Transforming and Extending the Bus Service: Broad support for policies and actions which will support and encourage operators to enhance and extend the bus service. • Delivering Seamless Multi-Modal Journeys: Support for the expansion of mobility hubs within the region. • Facilitating Efficient Freight Movement and Passenger Travel: Outlined that measures and initiatives which help with "last mile / first mile" deliveries could have significant contributions to reducing HGV/LGV movements within town and village centres. • Working Towards Zero Road Deaths and Serious Injuries: Stated that through other key themes this will improve further through improvements in road space, reductions in car journeys etc. • Overview: <i>"The draft RTS is presented in an easy to read format and contains helpful and meaningful data and case study examples. The draft RTS is aspirational and outlines the transport challenges faced by the South East of Scotland."</i>

Table 22.2: Main Issues (Local Authorities)

Local Authority	Main Comments
City of Edinburgh	<ul style="list-style-type: none"> • The importance of using engaging language and more graphics to make the RTS more concise and engaging to readers. • Further alignment with NTS2, STPR2, draft NPF4 and CEC CMP & Draft CP. • Emphasis on using more significant languages such as 'transforming'. • Taking cognisance of, and explicitly stating, CEC target of 30% reductions in car use. • KPI/targets need to be smarter, and more action focused. They should tie back to objectives. • RTS gives mixed messages around car travel, some of which are contradictory to local and regional ambitions to reduce car use. • Regional tram should feature more prominently. Believe it should have its own separate theme. • Needs to be updated to accurately reflect that CEC is already working with Transport Scotland on a Strategic Business Case to expand the tram network in Edinburgh. • A720 issues are well documented and interventions are required. Focus on demand control/deterrents rather than additional capacity.
Clackmannanshire	<ul style="list-style-type: none"> • More focus on demand management within problems and policies. • More references to links between planning and transport issues (especially car dependency).

Local Authority	Main Comments
East Lothian Council	<ul style="list-style-type: none"> • Stated the importance of infrastructure first approaches to achieve car reduction targets. • Greater work / clarity around the impact of EV infrastructure on new housing development, retrofitting existing public space and wider impacts upon the power network. • To endorse the RTS with the following caveats: <ul style="list-style-type: none"> – That any policy amendments that change the nature of the partnership, increasing their scope or functions of statutory duties must be considered by East Lothian Council. – That all project and programmes are developed appropriately with sound business cases and financial support provided to East Lothian Council from appropriate government funding sources linked to an overriding presumption of 'Infrastructure First'.
Falkirk	<ul style="list-style-type: none"> • No major issues.
Midlothian	<ul style="list-style-type: none"> • Reinforce the importance of the RTS in the development of LDPs and the development of related policies. RTS's role should be more clearly stated.
Scottish Borders	<ul style="list-style-type: none"> • There needs to be support for the development / delivery of the Borders Railway extension, improvements on the existing line and action to maximise the integration of Reston Station into the East Coast mainline. • There needs to be more differentiation between urban and rural. • RTS needs to acknowledge the important linkages of the region – provide important opportunities for the SEStran regions and Scottish Borders. • There should be more emphasis on the correlation between good transport and good digital connectivity. • More emphasis on increasing public confidence in public transport • There is a lead role to play in behavioural change and public education to support sustainable transport choices to help deliver the Strategy vision. • 'Vision' and 'Objectives' need to have clear alignment with NTS2. • The links back to the Strategy 'Vision' and 'Objectives' needs to be clearly articulated throughout the document: <ul style="list-style-type: none"> – The core linkages seem to get too lost in each section to accurately define how the actions will help deliver the strategy objectives. – There also needs to be clear and measurable outputs for each action so that they are quantifiable and link to the Monitoring and Evaluation section of the Strategy. – There are a number of actions within the draft Strategy without clarity on ownership, how they will be funded, delivered or programmed. • RTS needs to be shortened.
West Lothian	<ul style="list-style-type: none"> • Within the strategy there is no reference to funding and resources for the interventions suggested. Appreciating that the strategy is about setting out the route map for the coming years and is extremely important in that regard, without significant cash investment the strategy will under deliver.

22.1.6 Table 22:3 outlines responses / comments which are specific to the thematic sections of the RTS and reference suggested changes to the final RTS document. Note, there may be some overlap with Table 22:2.

Table 22:3: Local Authority Thematic Responses

High Level Theme	Actions / Responses
Transport Challenges and Problems	<ul style="list-style-type: none"> • Additional focus on other perspectives within user problem approach: • Touch on place, climate change, economic perspective etc. (CEC & Fife) • Lack of balance between the needs of all users – present and future (e.g. impact of climate change on young people) (Fife)

High Level Theme	Actions / Responses
	<ul style="list-style-type: none"> Regional / rural perspective (Scottish Borders) No focus on integrated ticketing within problems (CEC) Conflict between respective authority policies / characteristics (CEC & Scottish Borders) Greater focus on climate change within section (Fife) No mention of demand management / link to planning (Clackmannanshire / Fife) The language used in the problem statements is too moderate (CEC)
Vision	<ul style="list-style-type: none"> Shortening of vision statement (Fife) Inclusion of additional themes (Scottish Borders) Greater link to planning / related policy (Midlothian)
Objectives	<ul style="list-style-type: none"> Amendment of language (CEC) Objectives run the risk of appearing to give the impression that changing to electric vehicles is the solution (Clackmannanshire) Links to planning, demand management and freight within objectives (Clackmannanshire) A diagram to map out how the problems, vision, objectives and themes interrelate. (Fife) Additional objectives relating to inclusive growth / just transition Greater link to planning / related policy (Midlothian)
Shaping development and place	<ul style="list-style-type: none"> Emphasis on section having better relation to planning and guidance on how planning applies concepts (CEC, Clackmannanshire & Scottish Borders). Application of concepts to existing developments. Clearer definitions of concepts such as TOD. Better links to national policy such as NPF4 etc. Other amendments to phrasing, language etc.
Delivering safe active travel	<ul style="list-style-type: none"> Focus on behaviour change. (Scottish Borders) Other minor amendments and inclusion of external active travel projects & policies. (Clackmannanshire / Scottish Borders)
Enhancing access to public transport	<ul style="list-style-type: none"> Changes to language / clarification of certain policies. (CEC, Clackmannanshire, Fife & Scottish Borders) Focus on digital connectivity and wider behaviour change initiatives. (Scottish Borders)
Enhancing and extending the bus service	<ul style="list-style-type: none"> Changes to language. (CEC) Questions over how policies would be delivered. (Clackmannanshire / Fife & Scottish Borders) Urban-rural Issues, specifically the application of bus priority measures and DRT services in the rural context. (Clackmannanshire / Fife & Scottish Borders) Behaviour change leadership role of SEStran. (Scottish Borders) Inclusion of external data sources, including Workforce Mobility Report & Scottish Access to Bus Indicator. (Scottish Borders)
Enhancing and extending rail services	<ul style="list-style-type: none"> Inclusion of tram as standalone chapter. (CEC) Specific reference to other local potential train interventions / appraisals. (Fife, ELC & Scottish Borders) Impact of COVID-19 on future approaches to mode shift aspirations. (Scottish Borders)
Reallocating roadspace on the regional network	<ul style="list-style-type: none"> Stronger focus on the prioritisation of road space as a thread throughout the RTS. (Midlothian) More references to the role of the RTS shaping the development of LDPs and related policies. (Midlothian)
Delivering seamless multi-modal journeys	<ul style="list-style-type: none"> Urban-Rural differentiation, specifically: (Scottish Borders) Costs of buses. Ability of bus to provide solution for all journeys.

High Level Theme	Actions / Responses
	<ul style="list-style-type: none"> • Delivery of DRT services. • No reference to integrated ticketing. (CEC) • Lack of integration for transport provider data. (CEC & Scottish Borders) • More emphasis on enabling bikes to be brought onto public transport. (Fife & Scottish Borders) • Delivery and funding of schemes, including the need to highlight other funding streams as possible avenues for delivery (e.g. Levelling Up Fund). (Scottish Borders)
Decarbonising transport	<ul style="list-style-type: none"> • No mention of e-bikes infrastructure. (Clackmannanshire) • Urban-Rural variations in the provision / funding model of EV infrastructure. (Scottish Borders) • Also provide case study for delivery model.
Facilitating efficient freight movement and passenger travel	<ul style="list-style-type: none"> • Requests for specific freight options / interventions to be mentioned within RTS. (CEC & Fife) • Impact of small freight couriers on 20% target. (Clackmannanshire) • Focus on behaviour change to remove congestion hotspots. (Scottish Borders) • More focus on mobility hubs for passenger travel. (West Lothian)
Working towards zero road deaths and serious injuries	<ul style="list-style-type: none"> • Alignment with Council policy interventions, including School Travel. (CEC) • Clarification on delivery of schemes. (Scottish Borders & Falkirk) • Greater focus on infrastructure first delivery approach to achieving wider goals. (ELC)
Reducing car kilometres	<ul style="list-style-type: none"> • Incorporation of CEC 30% reduction target. (CEC) • More focus on links to planning and demand management. (Clackmannanshire & Fife) • Urban-Rural variances and application of targets / related initiatives across SEStran region (Scottish Borders & Clackmannanshire) • Delivery of behaviour change initiatives (Scottish Borders & West Lothian)
Responding to the post-COVID world	<ul style="list-style-type: none"> • Using COVID-19 as an opportunity to change travel habits (CEC & Fife) • Outline how there is a reliance on planning to react to / change behaviour (Clackmannanshire) • SEStran leadership role in changing behaviours (Scottish Borders)
Spatial Strategy	<ul style="list-style-type: none"> • Various amendments to text, images & content. (All) • More links to NPF4 and it's ambitions to prevent further suburbanisation along travel corridors (Scottish Borders)
Monitoring	<ul style="list-style-type: none"> • Joined up approach to data collection / clarity on baselines. (CEC) • Define main modes of travel and reasoning for doing so. (Clackmannanshire) • Greater focus on town centres etc. for 20mph monitoring (ELC) • Alignment of monitoring with other RTSS. (Falkirk) • No linkages to objectives / starting baseline. (Scottish Borders) • Additional KPIs for specific projects and initiatives. (WLC)
Statutory Assessments	<ul style="list-style-type: none"> • Languages around Equality Act. (Clackmannanshire) • Disproportional impact of climate change on children. (Fife)
Other	<ul style="list-style-type: none"> • Overview of main issues (CEC): • The importance of using engaging language. • Further alignment with NTS2, STPR2, draft NPF4 and CEC CMP & Draft CP. • Taking cognisance of, and explicitly stating, city target of 30%. • RTS gives mixed messages around car travel, some of which are contradictory to local and regional ambitions to reduce car use. • Regional tram should feature more prominently / believe it should have its own separate theme. • A720 issues are well documented / intervention is required. Focus on demand control/deterrents rather than additional capacity

High Level Theme	Actions / Responses
	<ul style="list-style-type: none"> • Question how many policies can be realistically implemented. Also request a specific and detailed action plan indicating responsibilities and timeframes. (Fife) • No reference to funding and resources for the interventions suggested (WLC)

23 Other Stakeholder Responses

- 23.1.1 This section outlines general themes which emerged from the coding process undertaken on 'Other Stakeholder' responses. It only presents information on a thematic basis. Note, the table provides an overview of the comments and does not include specific actions etc.
- 23.1.2 Table 23:1 outlines responses and comments which are specific to the thematic sections of the RTS and relate to information within their corresponding sections. Thematic sections without any responses have been removed.

Table 23:1: Other Stakeholder Thematic Responses

High Level Theme	Main Comments
Transport Challenges and Problems	<ul style="list-style-type: none"> • Minor changes to language (Public Health Scotland) • Focus on new developments within the identified challenges – how does it address existing communities and wider built environment? (Tactran)
Shaping development and place	<ul style="list-style-type: none"> • Terms such as TOD are confusing and require definition – also require substantive policies to ensure that aspirations are delivered (e.g. minimum density requirements). (Public Health Scotland) • Various changes to language to ensure consistent link with wider policy. (SG Planning)
Enhancing and extending the bus service	<ul style="list-style-type: none"> • Lack of connections to new Rural Skills Academy at Musselburgh and emphasis on the need for DRT services to be joined up. (Midlothian Community Planning Partnership)
Improving integration between modes	<ul style="list-style-type: none"> • Urban-Rural divide for car clubs and shared transport – more expensive in the urban setting. (Midlothian Community Planning Partnership) • MaaS only successful if it is cross-boundary. (Tactran)
Reducing car kilometres	<ul style="list-style-type: none"> • Additional demand management controls are required. (Midlothian Community Planning Partnership) • An evidence base which only focuses on SEStran region is a missed opportunity for the development of cross-boundary, integrated schemes which solve regional problems. (Tactran) • Extension of corridors to become inter-regional. (Tactran)

24 Summary of Key Themes

24.1 Overview

- 24.1.1 Below is a summary of the key themes which have evolved from the public engagement and in the feedback from stakeholders. These have formed the basis of the changes made to the RTS in response to the feedback received through the engagement. Exactly how each issue has been responded to is set out in a separate 'Comments Matrix' which is attached as Appendix A. This outlines the various changes which were applied to the draft RTS following the consultation analysis exercise and in the preparation of the final RTS.

Rural Issues

- 24.1.2 Various respondents stated that there needed to be better differentiation between urban and rural areas within the RTS. This included application of / reference to:

- Rural Bus Services, DRT & Bus Priority Measures
- Transit Orientated Development and 20-Minute Neighbourhoods
- 20% car kilometre reduction targets
- EV Infrastructure
- Digital Connectivity

Delivery & Option Referencing

- 24.1.3 A common theme was respondents questioning how the various policies were to be funded / delivered. This also links back to the 'Urban-Rural' issue above.
- 24.1.4 Requests for proposals to be specifically mentioned within the RTS were also raised. These schemes included proposals which are currently subject to appraisal processes.
- 24.1.5 In particular, the expansion of the rail network, particularly in the Scottish Borders, was noted to be a solution to reducing car kilometres and the associated carbon emissions. The extension of the Borders Railway to Hawick and onward to Carlisle was highlighted as a key project which would see more connectivity in the region. Additionally, there is an aspiration to connect this line with the East Coast Mainline and the West Coast Mainline to create east-west movements.
- 24.1.6 The reopening of the Edinburgh South Suburban line to passengers was also suggested as a project which could aid the movement of people into and out of the capital while reducing the number of cars on the road and congestion.

Enhanced Links to Policy

- 24.1.7 Respondents outlined that the RTS needed to have better links to local / national policy and wider reports. Specifically, this included:
- **National Policy:** NTS2, NPF4, STPR2
 - **Local Policy:** Various CEC Policies
- 24.1.8 In particular, there needs to be clear links between the RTS Vision and Objectives and those of NTS2.

Better Emphasis on Links to Land-Use Planning & Demand Management

24.1.9 It was outlined that the RTS needed to make more references to planning. Specifically, this included:

- Better articulation of the link between land use planning and transport problems
- The role of the RTS in informing the development of LDPs and related policies
- Questions regarding how the RTS would solve challenges within the existing built environments (links to the 'Delivery' issue)
- How the RTS influences planning processes to implement these policies (links to the 'Delivery' issue)
- Infrastructure first approach
- Limited references to Demand Management

Mass Transit

24.1.10 CEC requested that regional tram should feature more prominently within the RTS, stating that it should have its own separate theme whilst others highlighted aspirations for their own mass transit interventions.

24.1.11 With Mass Transit featuring in both STPR2 and NPF4 – and various respondents highlighting the need for enhanced links to policy – it would be pertinent to place a greater emphasis upon mass transit within the SEStran region.

Public Transport Services

24.1.12 It was mentioned by many individuals that there needs to be an improvement in public transport services for there to be a modal shift away from travelling by car. In particular there was reference to an increased frequency of bus and rail services to enable more people to access them. There was also a request to extend the operating day of many services to later in the evening and more on weekends.

Electric Vehicles

24.1.13 It was mentioned by many respondents to the public survey that there is too much focus on electric vehicles as an alternative to petrol/diesel cars or vans as they do not solve the issue of too many cars on the roads or a reduction in car kilometres.

24.1.14 Additionally, it was noted that there is a lack of charging infrastructure, and the cost of electric vehicles are still too expensive for some which create barriers to making the transition to electric vehicles.

Integrated Transport Network

24.1.15 Many individuals and organisations from the public survey highlighted that there is a severe lack of integration between public transport modes and again with the active travel network. It was suggested on multiple occasions that train stations should become transport hubs, with a bus service which is coordinated with the arrival and departure of trains.

24.1.16 It was also mentioned that both trains and buses need to provide space for bicycles to allow for cyclists to make a multi-modal journey.

Appendix A Comment Matrix

A.1 Overview

A.1.1 Table A:1 details the themes identified from the comments and outlines how these were addressed within the final RTS.

Table A:1: Comment Matrix

Comment	Response
Urban-Rural Differentiation: Context of Problems & Mobility Themes and application of Policies & Actions within both Urban and Rural environments	<ul style="list-style-type: none"> • SG Urban-Rural Classification and associated commentary added to Context Section • Reference to parking being a different kind of problem across the SEStran region in Defining Transport Problems Section • Discussion of how TOD / 20-minute neighbourhoods will be applied in different ways in urban and rural environments in Shaping Development and Place Section (NPF 4) <ul style="list-style-type: none"> – Policy 6D adapted to reflect this • Specific reference to bus congestion in urban areas in Transforming and Extending the Bus Service Section • Outline how bus priority may not be applicable on rural routes and thus should only be applied where appropriate in Transforming and Extending the Bus Service Section • Reference to problems running rural bus services in current climate of declining demand in Transforming and Extending the Bus Service Section <ul style="list-style-type: none"> – New policy created as a result: 8I • Actions within Delivering Seamless Multi-Modal Journeys Section adapted to reflect urban-rural dimensions • Acknowledgment that there will be regional variations in the delivery of carbon reduction within the SEStran area throughout RTS • Reference to how the draft EV strategy specifically focuses on how the public charging network is incorporating private development / ownership, while maintaining access for all through partnerships between the public and private sectors in Decarbonising Transport Section. <ul style="list-style-type: none"> – Alterations to Policy 13C reflect these changes • Changes to Policy 15C • Reference to digital connectivity in Reducing Car Kilometres Section • Recognition that cars are necessary for rural population, and aim is not to reduce mobility / links to Urban-Rural 20% commentary in Reducing Car Kilometres Section
Delivery & Option Referencing	<ul style="list-style-type: none"> • New Chapter 18 created which outlines approach to delivery. Includes: <ul style="list-style-type: none"> – The inclusion of Policy 18A – Creation of two new actions
Enhanced Links to Policy	<ul style="list-style-type: none"> • NPF 4 & STPR2 referenced / explored within Context section • Liveable Neighbourhoods included within Objectives / Vision Section • Table 4.1 outlines links between Strategy Objectives and NTS 2 Priorities in Vision & Strategy Objective Section • Reference to Transit Orientated Development and 20 Minute Neighbourhoods in Shaping Development and Place Section • Greater emphasis on links to wider policy (such as NPF 4) in Shaping Development and Place Section • Commentary on NPF 4 / NTS 2 links to planning system and transport planning within Shaping Development and Place Section. • More references to Sustainable Transport Hierarchy and Sustainable Investment Hierarchy throughout the RTS, including the Shaping Development and Place Section <ul style="list-style-type: none"> – Reflected in addition of Policy 6A and changes to Policy 13B • Draft EV Vision Strategy commentary within Decarbonising Transport Section, including the changing approach to charging infrastructure delivery

Comment	Response
	<ul style="list-style-type: none"> • Route Map commentary within Reducing Car Kilometres Section • Inclusion of CEC 30% target as example of urban-rural difference in achieving the overall 20% target • Reference of NPF 4 application of 20-minute neighbourhoods in Shaping Development and Place Section (definition in Glossary also adapted from NPF4)
Better Emphasis on Links to Land-Use Planning & Demand Management	<ul style="list-style-type: none"> • Parking outlined to be issue for SEStran region in Transport Challenges in the Region Section, with the impacts varying in extent across the region. • Emphasis on land use planning decisions impacting sustainable transport objectives in Shaping Development and Place Section • Text added about how Transit Orientated Development and 20 minute neighbourhoods can be applied in existing and new developments in Shaping Development and Place Section • Outline of how the RTS is vital in translating NPF 4 concepts into LDPs / discussion about link between land use planning and transport planning in Shaping Development and Place Section <ul style="list-style-type: none"> – New policies created to reflect the above points: Policy 6A & 6B – New Action created to reflect the above points: <ul style="list-style-type: none"> o “SEStran to engage with Local Authorities during the development of Local Development Plans on transport planning matters” • Commentary on the need to implement Demand Management measures in tandem with wider behaviour change interventions <ul style="list-style-type: none"> – Addition of Policy 13C and associated action – Addition of Policy 16G – Action amended to reference Transport Scotland Route Map
Referencing of Mass Transit	<ul style="list-style-type: none"> • Specific reference in Transforming and Extending the Bus Service chapter. • Reference to Edinburgh & South East Scotland Mass Transit network added to Enhancing and Extending Rail Services Section <ul style="list-style-type: none"> – Policy 10G updated to incorporate the above action – Also adapted action: <ul style="list-style-type: none"> o Undertake appraisal and business case development for an Edinburgh & South East Scotland Mass Transit system including new light rail and tram links within the region.
Public Transport Services: Various	<ul style="list-style-type: none"> • Proposed changes and improvements to the bus services are contained within Transforming and Extending the Bus Service Section. These include bus priority measures, BRT, bus service improvements with suggested locations where new services or increased frequencies are required. • Proposed improvements to the rail, light rail and tram network are contained within the Enhancing and Extending Rail Services Section. This section covers the introduction of new station, enhancements to rail services, line capacity constraints and the potential of emerging High-Speed Rail, light rail/tram solutions, issues around affordability and finally automation and innovation of integrated heavy rail and light rail.
Electric Vehicles within the context of the SEStran region	<ul style="list-style-type: none"> • Outline of how Reduction in car km not achieved through shift to EVs highlighted in Decarbonising Transport Section / reference to more detailed commentary in Reducing Car Kilometres Section. • Reference to e-bikes (and associated infrastructure) in Decarbonising Transport section. <ul style="list-style-type: none"> – Creation of Policy 13D reflects this. – Changes to action also included: <ul style="list-style-type: none"> o “Develop and coordinate a regional information strategy including messaging around the need to ensure EVs are not regarded as a green light to increased car use and the range of issues associated with this. Strategy includes highlighting the potential of e-bikes and e-cargo bikes as viable modes of passenger and freight transport.”

Comment	Response
Integrated Transport Network	<ul style="list-style-type: none"> • Lack of Integrated ticketing / no single source of journey planning mentioned in Defining Transport Problems. The fragmented source of data also referenced as a problem. • Ambitions to implement integrated ticketing referenced in Delivering Seamless Multi-Modal Journeys Section. <ul style="list-style-type: none"> – Policy 12A brought to front and centre of policies
Equality Impact	<ul style="list-style-type: none"> • References to the Disability Discrimination Act updated to Equality Act 2010 • Addressed comments from EQiA within the development of the final RTS
Minor Alterations from External Stakeholders	<ul style="list-style-type: none"> • Including updated Clackmannanshire Draft MATHLR figures in SEStran Housing Calculation • Reference to impact of weather on active travel use in Transport Challenges Section • Updating Challenge 29 to include “increasing inequality of access” • Inclusion of “mental health” to Strategy Objective 2 • Addition of Climate Change Adaptation in Objective 4 • Changes to Language from SG Planning • Case Study on Workforce Mobility Project included in Responding to the Post COVID World Section • Links between EV infrastructure and wider societal energy needs
Definition of Terms	<ul style="list-style-type: none"> • Definitions for 20-Minute Neighbourhoods, Infrastructure First, Sustainable Investment Hierarchy, Sustainable Travel Hierarchy and Transit Orientated Development added to Glossary.
Applying policies in existing environments	<ul style="list-style-type: none"> • Change to Policy 6d in Shaping Development and Place Section • Reference to retrofitting EV infrastructure in Decarbonising Transport Section
Inter-Regional / Wider Access	<ul style="list-style-type: none"> • Inclusion of Figure 5.13 (with adjoining commentary) in Spatial Strategy Section
Hydrogen Capabilities	<ul style="list-style-type: none"> • Commentary on the continued development of hydrogen as a fuel source and the responsive shift to hydrogen as an alternative fuel source in Decarbonising Transport Section
Behaviour Change: Post COVID-19 & General Aspirations	<ul style="list-style-type: none"> • Impact of COVID-19 on evidence base referenced in Introduction • Commentary on the RTS needing to lead the way in the education and behaviour change agenda for public transport / active travel in Reducing Car Kilometres Section. As a result: <ul style="list-style-type: none"> – New Policy 16G added – Associated action amended to reference Transport Scotland Route Map • Commentary on SEStran needing to be behaviour change leader to ‘build back better’ post pandemic in the Responding to the Post COVID World section. Includes: <ul style="list-style-type: none"> – Creation of new Policy 17D. – Creation of new associated action: <ul style="list-style-type: none"> o SEStran will engage with relevant bodies and stakeholders to develop and implement interventions which reassert public confidence in public transport services.
Relocation of Spatial Strategy	<ul style="list-style-type: none"> • The Spatial Strategy was moved to follow the Vision and Strategy Objectives Chapter to provide an overview of the region as a whole before focusing on the specific mobility themes.
Access to Healthcare	<ul style="list-style-type: none"> • Reference to the Transport (Scotland) Act 2005 and the role the RTS has in providing access to health care as a requirement in Transforming and Extending the Bus Service. As result: <ul style="list-style-type: none"> – Inclusion of a new policy: Policy 9H – New associated action: <ul style="list-style-type: none"> o Support the delivery of bus services and infrastructure measures which ensure access to healthcare for all.
Opportunities for the RTS	<ul style="list-style-type: none"> • Commentary following the RTS Constraints was added to highlight how there are opportunities which have evolved as a result of COVID-

Comment	Response
	19 and how these will have a positive impact on many local areas (Transport Challenges in the Region Section)
Integration: Data, Ticketing, and Journey Planning	<ul style="list-style-type: none"> Outline of how stakeholders emphasised the lack of integrated ticketing / no single source of journey planning within the region in Transport Challenges in the Region Section. The fragmented nature of wider data was also mentioned. Additional commentary on integrated ticketing (with additional policies and actions) within Delivering Seamless Multi-Modal Journeys Sections. As a result: <ul style="list-style-type: none"> New Policy to support this: 12A Also includes new associated action: <ul style="list-style-type: none"> “Deliver one integrated ticketing system, potentially incorporating fare capping, which can be used across all modes of public transport, taking into account the digital provision differences in urban and rural areas.”
Inclusion of Just Transition	<ul style="list-style-type: none"> Explicit reference to Just Transition within Strategy Objective 4
Real Time Passenger Information	<ul style="list-style-type: none"> Commentary on the benefits of introducing RTPI within Enhancing Accessibility to Public Transport Section. As a result: <ul style="list-style-type: none"> New Policy added to reflect this point: Policy 8C New Actions added to reflect this point: <ul style="list-style-type: none"> Introduce Real Time Passenger Information for public transport services through mobile applications, stations and stops. Identify areas of poor digital connectivity where RTPI facilities may be ineffective and work with partners to resolve these issues.
Misc.	<ul style="list-style-type: none"> References to Scottish Borders / removal of references to ‘hinterland’ Referencing of specific schemes, including Borders Railway
SEStran Comments (Various)	<ul style="list-style-type: none"> Change made to reflect healthcare and equalities throughout the RTS’s commentary, policies, and actions Reference South of Scotland Regional Economic Strategy in Context Section Section 2.1 renamed from Socio Economic to Area Profile Defining of User Problems clearly stated in Section 3.1 Rephrasing of Strategy Objective 3 to include “Transforming” References to Infrastructure First in Transit Orientated Development discussion Adaptation of Policy 6B Rephrasing of Mobility Theme to “Enhancing Accessibility of Public Transport” Explicit reference to Real Time Passenger Information London Integrated Ticketing and Fare Capping moved to Delivering Seamless Multimodal Journeys Section Park and ride reference added to Transforming and Extending the Bus Service Section commentary Commentary around lower rural public transport demand affecting provision / inclusion of other interventions added to the Transforming and Extending the Bus Service Section commentary. Rephrasing of Mobility Theme to Enhancing and Extending the Rail Services Updates to the Enhancing and Extending the Rail Services Section commentary. Including: <ul style="list-style-type: none"> Inclusion of existing light rail / tram network The need for new stations to be supported by suitable service provision that enables sustainable travel options Reference to additional freight services Reference to Borders Railway electrification and Borderlands Growth Deal Updates to Enhancing and Extending the Rail Services policies and actions. Including: <ul style="list-style-type: none"> Inclusion of “across and beyond” in Policy 10A

Comment	Response
	<ul style="list-style-type: none"> – Addition of “national boundaries” in Policy 10B – References to tram and longer distance regional cross boundary rail / tram in the first action • Rephrasing of Mobility Theme to Delivering Seamless Multimodal Journeys • Reference to how successful delivery of transport integration can lead to a transformational change in how the transport network is accessed and used in Delivering Seamless Multi-Modal Journeys Section. • Shift of Integrated ticketing to this Delivering Seamless Multi-Modal Journeys Section (including inclusion of London Integrated Ticketing and Fare Capping) • Updating to add more urban/rural differentiation to actions in Chapter 12 • Reference to different approach to EV infrastructure delivery in Decarbonising Transport Section • Change to Policy 15C to include urban-rural reference • Role of education and behaviour change to deliver reduction referenced throughout Reducing Car Kilometres Chapter • Addition to Reducing Car Kilometres Chapter commentary, including: <ul style="list-style-type: none"> – Referring to the provision of public transport services or alternative provisions to encourage shared car use / multi-modal journeys – Stating that whilst the RTS does not seek to put measures in place that would reduce the mobility of those living in areas of limited public transport provision, it seeks to provide alternatives that make car ownership less necessary – Changes to Tripshare platform commentary • Benefits of local living in urban and rural neighborhoods outlined in Shaping Development and Place Section, alongside urban-rural benefits of working from home commentary in Responding to the COVID World Section • Changes to Spatial Strategy Regional Corridors descriptions • Addition of KPI to specifically measure local delivery of the national 20% kilometre reduction targets
Behaviour Change to be own Mobility Theme	<ul style="list-style-type: none"> • Behaviour Change – and the need for the RTS to lead on this – is explicitly referenced in both the Reducing Car Kilometres and Responding to a Post COVID World Sections
Greater links to economic strategies	<ul style="list-style-type: none"> • The Land-Use planning section of the Context chapter provides commentary of the RTS's link to the wider economic landscape
Inclusion of other user perspectives	<ul style="list-style-type: none"> • The approach to identifying problems is considered to be robust and is in accordance with the Scottish Transport Appraisal Guidance.
Review of partner authorities active travel plans	<ul style="list-style-type: none"> • Not achievable within the time available for reviewing and updating the RTS. Will be included as part of future Delivery Plan actions.
Differentiation between Transforming and Extending the Bus Service and Enhancing and Extending Rail Services	<ul style="list-style-type: none"> • Feel that there is already enough differentiation as one focuses on buses and the other on rail.
Wales DRT Case Study	<ul style="list-style-type: none"> • Not included to help minimise length of the RTS

Development and consultation stages of RTS

Stage of RTS Development	TYPE	DATE
Main Issues Report		
Consultation on main issues for area with Local Authority Partners	Face to face workshop	February 2019
Consultation on main issues for area with key stakeholders across public transport, freight, local authority, NHS	Face to face workshop	May 2019
Case for Change		
Stakeholder Engagement (Stakeholder Engagement: Over 130 stakeholders were invited to participate in consultation either through workshops, individual meetings or by responding to briefing notes. This included multi discipline workshops attended by senior Local Authority officers.	Online face to face	January through to May 2021
Online Public Consultation	Non statutory online	8 March 2021 to 19 April 2021.
Chief Officers of Transportation		26 May 2021 25 August 2021
Equalities and Access to Healthcare Forum		31 March 2021 30 September 2021
Integrated Mobility Forum		27 April 2021 7 October 2021
Freight Forum		19 May 2021
Statutory Assessment		
Strategic Environmental Assessment scoping with Statutory SEA Authorities	Statutory	22 February to 26 March
Case for Change Survey (for SEA requirements)	Statutory online	29 June 2021 to 26 July 2021
Equalities Impact Assessment: SEStran RTS Equalities Duties Assessment Framing Note		March 2021
Initial Options Appraisal		
Regional Transport Working Group Meeting 1	Online	9 June 2021
City Region Deal Directors Group discussion and presentation	Online	14 June 2021
Regional Transport Working Group Meeting 2	Online	28 July 2021
Draft RTS		
Online consultation via virtual engagement room	Online	1 November 2021 to 4 February 2022
Engagement sessions to be determined	Online	tbc

October 2021





Projects Performance Report

1 Introduction






- 1.1 This report and its appendix track progress over the last quarter across SEStran's projects and key work streams, with impacts on progress or delivery explained where required, and new areas of work are highlighted for noting.

2 Performance Report

- 2.1 Progress against milestones and timescale is indicated in the report template through a high level 'RAG' (Red-Amber-Green) status with 'Blue' for completed action.

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

- 2.2 The alignment of project work to SEStran's Strategic Objectives is indicated using the following symbols.

	Economy
	Accessibility
	Environment
	Safety and health
	Corporate

3 Regional Transport Strategy (RTS) Monitoring

- 3.1 As part of monitoring the existing RTS and in preparation for future monitoring of the draft RTS, work is now required to scope and commence procurement for the mapping and monitoring of projects throughout the SEStran area that are currently being delivered, developed, and considered for investment. This will support future work to be undertaken to develop a Programmed Investment Plan for the SEStran area in consultation with partners, to provide a regional resource, as outlined in Section 1 of Appendix 1.

4 Recommendations

4.1 The Board is asked to:

- a) Note progress on existing projects outlined in the Performance Report at Appendix 1;
- b) Agree the commencement of work to develop a Programmed Investment Plan, as set out in in consultation with partners, outlined in paragraph 3 above and Appendix 1.

Anna Herriman
Senior Partnership Manager
10 June 2022

Appendices
Appendix 1: Projects Performance Report June 2022


Policy Implications	Outlined project work contributes to the objectives identified within SEStran Regional Transport Strategy.
Financial Implications	All project work is delivered from within confirmed budgets.
Equalities Implications	There are no adverse equalities implications arising from SEStran projects. All projects actively work to reduce inequalities.
Climate Change Implications	There are no negative climate change implications arising from SEStran projects. All projects actively work to tackle climate change through creation of, or support for more sustainable transport options.

SEStran Projects Performance March 2022

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1. Strategy

1.1 Regional Transport Strategy		
Start date: November 2020		
Initial completion date: March 2022		
Expected completion date: March 2022		
Overall project progress:		Delayed
<p>Project description: SEStran's first RTS was approved in March 2007 to cover the period from 2008 until 2023. The current RTS which was refreshed in August 2015 covers the period until 2025.</p> <p>A new draft Regional Transport Strategy (RTS) has now been prepared to cover the period up to 2035 aligning to the National Transport Strategy 2, National Planning Framework 4, Climate Change (Scotland) Act 2019, and regional spatial and economic strategies. The new RTS takes account of potential impacts for future travel demand, behaviour and the transport system resulting from Covid-19.</p> <p>As part of monitoring the existing RTS and in preparation for future monitoring of the draft RTS, and within the approved budget for RTS monitoring in 2022/23, work will commence to identify projects throughout the SEStran area that are currently being delivered, developed, and considered for investment. This will support future work to be undertaken to develop a regional Programmed Investment Plan for the SEStran area in consultation with partners.</p>		
<u>Project Development:</u>		
<ul style="list-style-type: none">Last quarter		On track
<ul style="list-style-type: none">Following submission of comments on the draft RTS, revisions were made, and a final draft was presented at the March Partnership Board. Changes in the draft RTS sought to reflect the comments received, however, Scottish Borders Council continued to seek greater refection of the distinction of rural issues. The Partnership Board agreed to postpone consideration of the final draft and officers were tasked with working with SBC to resolve SBC the way rural issues are presented within the final draft RTS.Further amendments have been discussed with SBC officers.The matter is still to be considered by Scottish Borders Council and the timescale for completion has been affected by local government elections.		
<ul style="list-style-type: none">Stages Achieved		On track
<ul style="list-style-type: none">Completion of the review of the consultation comments from all stakeholders and local authority partners.Completion of a final draft RTS in time to report to the Partnership Board in March		

<ul style="list-style-type: none"> • Next Steps 	Delayed
<ul style="list-style-type: none"> • Amend the draft RTS and report to the Partnership Board with Final RTS • Commence work on a Programmed Investment Plan for the region. • To reduce delay to submission of the RTS to Scottish Ministers consideration may be given to a special Partnership Board meeting. • Submit Final RTS to Scottish Ministers for approval. 	

2. Strategic Active Travel Projects

2.1 GO e-Bike	
<p>Start date: April 2018</p> <p>Initial completion date: ongoing programme</p> <p>Expected completion date: ongoing programme subject to funding</p>	
Overall project progress:	In progress
<p>Project description: GO e-Bike, the regional bike-sharing scheme launched in 2018, aims to increase the visibility of e-bikes and increase access to e-bike use within community hubs or community groups in the region. The project began with a contribution from SHARE-North to the four GO e-Bike hubs in Fife (two), West Lothian and Falkirk which remain active. In 2018 SEStran secured funding from the Low Carbon Travel and Transport (LCTT) Fund and Transport Scotland (TS) to expand GO e-Bike to six further hubs / locations. The latest are Bewegen GO e-Bike hire stations in East Lothian and Midlothian. Expanding to e-cargo bikes for shared use or hire is the latest phase of Go e-Bike. SEStran has worked with Transport Scotland to support Cargo Bike Movement (CBM) developing a community hub in south Edinburgh. This promotes cargo bikes as a fairer, healthier, and greener alternative to carbon-emitting vehicles for delivery of goods and for individuals and families. Go e-Bike has added two e-cargo bikes to the project.</p>	
<p><u>Project Development:</u></p>	
<ul style="list-style-type: none"> • Last quarter <ul style="list-style-type: none"> • Ongoing discussion with LAs regarding expansion opportunities. Midlothian conducting survey for potential new site locations. • Removal of Jarnac Court site and review of options for relocating. • East Lothian confirmed two new station sites in Musselburgh. 	In progress
<ul style="list-style-type: none"> • Stages achieved <ul style="list-style-type: none"> • All planned hubs operational (May 2021) 	On track

- LCTT funding fully maximised with 6 new hubs.
- **Next steps** In progress
 - Work with partners to promote scheme in East and Midlothian, enhancing the system website with route suggestion in the area. Upgrading signage for existing Bewegen stations.
 - Planning for activities of all hubs in 2022/23.
 - Identify sites for expansion of the Bewegen system including provision of cargo trikes. Work with Midlothian Council on relocation of Jarnac Court e-bike station.
 - Groundworks for new wayfinding panels as required at Go e-bike stations.
 - Legacy project in partnership with the Enduro World Series in Tweed Valley to promote access to and use of community Go e-bike fleet for transport and leisure through led-rides and training.

2.2 Regional Cycle Network Grant Scheme



Start date: April 2014

Initial completion date: ongoing programme

Expected completion date: ongoing programme subject to funding

Overall project progress:

In progress

Project description: Provided through a partnership between Sustrans Scotland and SEStran, the Regional Cycle Network Grant Scheme delivers an annually agreed set of improvements to the cross-boundary utility routes.

Project Development:

- **Edinburgh BioQuarter** Delayed
 - City of Edinburgh have completed a procurement exercise for the engagement of a consultant for Stage 4 design work on this route.
 - Work will be pushed into 2022/23 as a result of this, however Sustrans are able to commit this funding to the project through the SEStran Partnership agreement.
- **SEStran Strategic Network** In progress
 - **Last Quarter:** In order to maximise investment in the Strategic Network, funding will complement the Regional Active Travel Fund and activity (described below).

2.3 Regional Active Travel Development Fund – Transport Scotland



Start date: Financial year 2022/23

Initial completion date: March 2023

Expected completion date: March 2023

Overall project progress:

In Progress

Project description: The Regional Active Travel Development Fund was established between Transport Scotland and the Regional Transport Partnerships in 2018/19 and allows for an annual award for delivery of agreed project work. SEStran's proposal for projects in 2021/22 to Transport Scotland has been awarded up to £597, 000 for this fifth year of funding. Several projects from 2021/22 are to publish final reports.

Project Development:

▪ **Project 1: SEStran Strategic Network**

In progress

- This project builds on prior work in the development of a regional active travel network connecting settlements for short journeys and providing suitable infrastructure for longer journeys.
- This year work will focus on the topographical and utility surveying to progress 5 routes towards the next steps of developed design and produce some costing estimates for construction in subsequent years.
- A further phase is the deployment of a smart multimodal counting system to enable quality data to supplement applications for further funding.
- **Last quarter:**
- Partners engaged in projects in FY 21/22 have been canvassed for eagerness for the deployment of smart counting systems.
- **Next steps:**
- Further discussion with all local partners on the deployment of multimodal sensors.
- Procurement exercise for assets and maintenance service regime, consultant support on ongoing development of network and surveying reports.

▪ **Project 2: GO e-Bike Development**

In progress

- Transport Scotland have provided funding for the development of further stations and use of e-cargo bikes as described in section 2.1.
- **Last quarter:**
- Project officers have been reviewing the contractual arrangements with Bewegen with work ongoing on a fixed term extension of the contract.
- **Next steps:**
- Completion of contractual discussions and procurement of additional assets for the system as described.

2.4 Cycle Training and Development – Cycling Scotland



Start date: core workstream

Initial completion date: ongoing

Expected completion date: ongoing

Overall progress:

In Progress

Project description: This workstream is made possible through a partnership arrangement with Cycling Scotland and supports 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.

Project Development:

▪ **Bikeability Scotland**

In progress

- **Last quarter:** Delivery across the region is progressing however there are some constraints to delivery in certain areas due to capacity of instructors and tutors to support delivery as cycle training activity has picked up.
- Two Cycle Trainer courses have been organised in the region over the last quarter, which will increase capacity for delivery.
- Two new instructors based in the region have been brought on board with Cycling Scotland to increase capacity.
- Worked with Thistle to support a Delivering Inclusive Cycle Training course to Edinburgh Active Schools staff in September 2022.
- **Next steps:**
 - Support Plus Application process for next academic year has commenced, so working with LAs to plan spend as required with a deadline of 26th September. Current areas of focus to increase school participation are Falkirk, Fife and West Lothian.
 - Planning for learn to ride pilots in

▪ **GO e-Bike cycle training**

In progress

- **Last quarter:** Training is offered to all hubs as they are completed and as part of ongoing development plans.
- **Next steps:**
 - E-bike trials and led-rides as part of the Enduro world series in June (Scottish Borders Council). This will be complemented with a series of legacy rides and training offers using the e-bike fleet.
 - Explore options for tying in training offers with Go e-bike hire schemes including demo days in East Lothian and Midlothian.

▪ **Adult and Family Cycle Training**

In progress

- **Last quarter:** Essential Cycling Skills funded sessions are available from a range of providers in the region to the end of June 2022. A series of evening Essential Cycling Skills sessions have been organised in partnership with Midlothian Council as part of their adult education programme.
- Cargo Bike Training for Fife Outdoor learning staff and Porty Community Energy with support from cargo bike movement.
- Supporting Thistle with a Cycle Ride Leader course to increase their capacity to utilise their adaptive cycles.
- **Next steps:**
- Coordinating

3. Strategic Public Transport Projects

3.1 Real Time Passenger Information (RTPI)



Start date: 2010

Initial completion date: ongoing workstream

Expected completion date: ongoing workstream

Overall progress:

In Progress

Project description: SEStran began implementing a region wide network of RTPI screens, providing bus timetable information to make bus travel more predictable and reliable. Since 2010, SEStran has worked with partners to build up a comprehensive network of over 200 screens in travel hubs such as railway stations, park and choose / ride sites, 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.

Project Development:

- **Last quarter:**
 - PC replacement program is underway for the legacy system.
 - New installations of standalone screens purchased via the framework complete at additional locations in Fife, Scottish Borders and West Lothian.
 - Weekly meetings held with Local Authority partners and projects team.
- **Stages achieved:**
 - The new RTPI system is now live with bus operator data being integrated.

In progress

On track

- The framework is being utilised by SEStran and Local Authorities to provide additional real time infrastructure for the region.

- **Next steps:**

In progress

- Roll out of new PCs will continue, 180 have been distributed to date from the total of 200.
- The new regional real time system is being updated with real time data from bus operators. Data integration has been an issue and the project team is working with key operators to address this.
- New infrastructure has been ordered for the Scottish Borders and Fife.
- 'Go Live' with capacity management information after further testing.
- SEStran is working with Midlothian Council to explore sites for screens.

- **NOVUS FX**

In progress

- The NOVUS FX platform allows Local Authorities to manage scheduled and real time information in partnership with bus operators.
- It is owned and provided by Trapeze and SEStran manages the contract on behalf of local authority partners.
- The system integrates with the SEStran regional real time passenger information system.
- SEStran has negotiated a new 3-year deal which is now in place from 1st April 2022.
- SEStran is working with Local Authorities and Trapeze to further update the regional NOVUS FX system.

3.2 Thistle Assistance Programme



Start date: 2005

Initial completion date: ongoing workstream

Expected completion date: ongoing workstream

Overall project progress:

In Progress

Project description: SEStran has developed the (national) Thistle Assistance Scheme to make using public transport easier for older people and those with disabilities, illness or mobility issues. SEStran is leading on the development of a new journey planning aspect of the scheme.

Project Development:

- **Last quarter:**

In progress

- Thistle Assistance continues to be promoted in key publications, Enable, Inspire and Possibility magazine with editorial highlighting the new journey planning project.
- Work continues on the journey planning project with further system design, there has been a slight delay with this element due to software integration, but this is not expected to affect the overall project timeline.
- New branding for the journey planning project is being developed.

- Transport Operator information leaflets and posters have been developed to help inform operator staff about the Thistle Assistance program, this will be distributed throughout 2022.

▪ **Stages achieved:**

On track

- Journey planning project running to plan with final system design.
- Six-month milestone meeting point met with Scottish Enterprise approval.

▪ **Next steps:**

In progress

- Stage one initial testing of journey planning prototype will commence in June 2022.
- Project aiming for a 'go live' in July/August 2022.
- Options for further development/use - SEStran will be discussing with key stakeholders Transport Scotland and Traveline Scotland.

3.3 Newburgh Train Station Study



Start date: December 2019

Initial completion date: March 2020

Expected completion date: March 2022

Overall project progress:

In Progress

Project description: SEStran procured Systra to carry out a transport options study for Newburgh, on behalf of SEStran. The 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.

Project Development:

• **Last quarter:**

In Progress

- Initial draft of the Detail Options/Business Case has been sent to project team for review.
- Project team have provided feedback for review by SYSTRA.

• **Stages achieved:**

Complete

- Case for Change and Initial Options Appraisal delivered and published.

• **Next steps:**

In Progress

- Final report due June 2022.
- Post Appraisal report due July 2022

3.5 Bus Service Improvement Partnerships



Start date: May 2020

Initial completion date: ongoing area of work

Expected completion date: March 2026

Overall project progress:

In progress

Project description: The Bus Partnership Fund (BPF) is a £0.5Bn Transport Scotland capital fund for the delivery of infrastructure to tackle the impacts of congestion on bus priority and reliability. Bids can be made by partnerships working towards a Bus Service Improvement Partnership (BSIP) status. BSIPs must be collaborative, involving bus operators that provide services in a local authority or BSIP area, and other relevant partners.

SEStran has supported four bus alliance groupings to become established and supported the development of bids in the region and continues to work with partners and Bus Alliance Project managers to maximise investment in bus priority infrastructure where it is needed, ensuring bids are complementary, and reporting to the Partnership Board on progress as Bus Alliances move towards BSIP status. Funding contributions have been made to bid development costs in four partnerships. Across the region, all bids submitted have now received funding to progress some or all of their proposals.

Project Development:

- **Last Quarter:**

In Progress

SEStran remains involved in and supportive of the following partnerships as they develop new governance structures and carry out appraisal work to develop funded options further:

Midlothian Bus Alliance was awarded £302,000 to carry out appraisal work on four key routes within Midlothian, from the bid to the October round.

- West Lothian Bus Alliance was awarded £225,750 to carry out appraisal work on fifteen proposals.

- **Stages achieved:**

On track

- Work in partnerships funded from Round One is progressing across the region with consultants appointed by Forth Valley and Fife Partnerships for appraisal work and by Edinburgh for appraisal work and delivery of quick wins.
- Consultants now appointed for Midlothian and West Lothian bids.
- Agreement has been reached using SEStran's ancillary powers that a member of the SEStran team will provide project management services to Midlothian and Forth Valley Bus Alliances.

- **Next steps:**

In Progress

- SEStran will continue to work with all Alliances on proposed governance structures, plans, and schemes, pending the emerging Guidance and regulations from Scottish Government,

- Continue to engage with Transport Scotland on behalf of all regional partners on issues relevant to all emerging BSIPs in the region, including governance arrangements and efficient application of STAG Appraisals.
- Continue to provide project management services to Midlothian and Forth Valley Bus Alliances using the collaborative powers given to SEStran by s.14 of the Transport (Scotland) Act 2005.
- A report to the September board will set out progress across the region on relevant BSIP development and STAG processes.

3.4 The GO SEStran project



Start date: March 2022

Planned completion date: December 2022

Expected completion date: March 2023.

Overall project progress:

In progress

Project description: SEStran has worked with a wide range of stakeholders across the South East of Scotland to develop the GO SEStran project, an innovative Mobility as a Service (MaaS) and Demand Responsive Transport (DRT) project proposal that was submitted to the Transport Scotland's MaaS Investment Fund Round 2 (MIF2). The GO SEStran project was awarded £212,440 for the development of MaaS and DRT pilots in the SEStran region over the course of a one-year period.

SEStran will deliver the project in partnership with 3 project partners, Fuse Mobility as MaaS providers, East Lothian Council and Tactran. SEStran will also work with Prentice Coaches and their DRT tech provider Ioki to obtain data on their DRT 109 service, as well as working with Transport Scotland to co-create other Digital Demand Responsive Transport (DDRT) pilots in the East Lothian area which link into the MaaS project.

Project development:

- **Last Quarter:**
 - SEStran has worked with project partners and Transport Scotland to co-create the final GO SEStran project proposal.
 - The consortium group is meeting fortnightly to discuss updates and plan project activities.
- **Stages achieved:**
 - A revised project proposal was submitted to Transport Scotland and was approved for funding in November 2021.

In progress

Complete

- **Next steps:**

In Progress

- SEStran is working with Transport Scotland to get the grant agreement arranged, including project objectives and milestones.
- SEStran is working with Anderson Strathearn and the consortium partners to develop and agree an innovative legal agreement structure that will set out the collaborative arrangements for the delivery of the GO SEStran project over the first year of MIF2 funding.
- SEStran is working with Prentice Coaches and their DRT tech provider Ioki to obtain data on their DRT 109 service, as well as working with Transport Scotland to co-create other DDRT pilots in the East Lothian area which link into the MaaS project.

4. Freight and Logistics Projects

4.1 Forth Freight Study



Start date: May 2020

Initial completion date: December 2021

Expected completion date: June 2022 (end date revised by funder, Transport Scotland)

Overall project progress:

In progress

Project description: 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.

Project Development:

- **Last Quarter:**

In progress

- Finalising the Case for Change ready for publication.
- Work has begun on the Initial Options Appraisal (Outline Business Case)
- Stakeholder workshop will be run in March 2022 to help inform the next stage of work.

- **Stages achieved:**

On track

- Case for Change approved December 2021.

- **Next steps:**

In Progress

- Initial Options Appraisal to be submitted to Transport Scotland in July 2022.

- Detailed Options Appraisal due to start in September 2022 subject to Transport Scotland Approval.

5. European-funded Projects

5.1 SHARE-North

Interreg North Sea Region, ERDF



Start date: January 2016

Initial completion date: December 2019

Expected completion date: June 2022 (following successful extension application and 6-month Covid-19 extension)

Overall project progress:

In progress

Project description: 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.

Project Development:

- **Last Quarter:**

In Progress

- SEStran were involved in the SHARE-North final conference which took place in 25 May 2022 in Bremen. The event, Shared Mobility Rocks, was well attended and SEStran presented on the Regional Transport Strategy and how shared mobility and active travel is being delivered and incorporated into sustainable transport policies.

- **Stages achieved:**

Complete

- The first stage of the Journey Hub development at the Brunton Hall in Musselburgh is now complete. This includes EV charging facilities for car club vehicles, electronic information displays, and Journey Hub landscaping concept design.
- SEStran has worked with East Lothian Council to further expand the Brunton Hall Journey Hub pilot and provided SHARE-North funding for multi-modal travel counters and additional geo-fenced Bewegen e-bike hubs. This work is also now complete.

- **Next steps:**

In Progress

- The final meeting of the Shared North Project takes place at the end of June in Edinburgh with a partner meeting to discuss administration and the final closure requirement of the project.
- Preparation of final project report and funding claim.

5.2 SURFLOGH

Interreg North Sea Region, ERDF



Start date: June 2017

Initial completion date: October 2020

Expected completion date: June 2023

Overall project progress:

In progress

Project description: [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.

Project Development:

▪ **Last Quarter:**

On track

- Developed procurement brief for Perth West study – April 2022
- Drone innovation workshop help in partnership with Provence of Drenthe and Edinburgh Napier University in Brechin (June 2022).
- SEStran attended the partnership meeting in Boras (Sweden) in May 2022 and presented the regional freight study work to the project partners.

▪ **Stages achieved:**

- Edinburgh pilot running case study research complete.
- Business model framework and canvas developed and being used.
- Project extension approved.

▪ **Next steps:**

In progress

- Finalise brief for Perth West hub and appoint consultants to undertake the study.
- SEStran to attend Partner meeting and hackathon in Groningen in June 13th to 15th June 2022.

5.3 BLING

Interreg North Sea Region, ERDF



Start date: January 2019

Initial completion date: June 2022

Expected completion date: June 2023

Overall project progress:

In progress

Project description: 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.

Project Development:

• **Last Quarter:**

In progress

- SEStran participated in the partnership meeting in Belgium in March 2022.
- SEStran engaged with DHL and ZEDIFY logistics to develop interest in using the Blockchain Readiness Awareness Tool (B.R.A.T.) developed by the University of Gothenburg.
- SEStran developed a brief is to build on the conclusions of the project work to date, identifying and evaluating opportunities and challenges to the wider implementation of blockchain technology, smart contracts, and distributed ledger technology, in local government within the Scottish policy landscape, with a particular focus on the impact on transport.
- This has been sent to consultants to return quotes with the work commencing 3rd quarter 2022 with a report for partners by December 2022.

▪ **Stages achieved:**

On track

- GeoPact pilot proof of concept delivered.
- Research paper written and shared.
- Project extension approved.

▪ **Next steps:**

In Progress

- SEStran to explore in partnership with the University of Gothenburg and ZEDIFY to trial the use of the B.R.A.T. tool in September/October 2022.
- Appoint consultant to help with work on current state of play and opportunities for blockchain technology within transport sector in Scotland.

5.4 PriMaaS

Interreg Europe, ERDF



Start date: August 2019

Initial completion date: January 2023

Expected completion date: July 2023 (following a 6-month extension due to Covid-19 impacts)

Overall project progress:

In Progress

Project description: 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.

Project Development:

▪ **Last Quarter:**

In Progress

- SEStran completed the first stage of the PriMaaS project, running a face-to-face event and two online Regional Stakeholder events, as well as submitting its Good Practice examples and Action Plan, which have been approved by the Project Leads.

▪ **Stages achieved:**

On track

- In April, SEStran hosted a face-to-face event, involving all PriMaaS partners and regional stakeholders. The event consisted of three elements: a thematic conference, a capacity building workshop, and an internal partner meeting.
- Also in April, SEStran submitted its Good Practice examples and Action Plan, detailing examples of good practice in MaaS in Scotland and elsewhere, showing how the lessons learned from EU partners had informed SEStran's own GoSEStran project, and setting out an Action Plan as to how MaaS and DRT would be implemented in the SEStran region.
- In May, SEStran, with the support of IBI Group, hosted a second online Regional Stakeholder event which involved different speakers from across Scotland on the challenges and opportunities surrounding MaaS and DRT.

▪ **Next steps:**

In Progress

- A final face-to-face event is planned in the Coimbra region of Portugal in June 2023.

5.5 CONNECT

Interreg North Sea Region



Start date: October 2019

Initial completion date: March 2022

Expected completion date: December 2023

Overall project progress:

In Progress

Project description: [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>

Project Development:

- **Last Quarter:** In progress
 - SEStran participated in a partnership meeting in Brussels in March 2022.
 - SEStran presented freight study work to highlight sustainable freight options being explored in and around the Firth of Forth (key regional waterway).
- **Stages achieved:** In progress
 - Not applicable.
- **Next steps:** In Progress
 - SEStran to continue integrating freight study work (initial options appraisal) into project.
 -
 - SEStran will be review with Forth Ports their approach to enhancing sustainable ports operations and increasing commercial efficiency, this work will be reported back to the project team.
 - SEStran to visit Port of Gothenburg in October to assess approaches taken.

5.6 REGIO-Mob

Interreg Europe, ERDF



Start date: April 2016

Initial completion date: March 2020

New start date: October 2021

New completion date: September 2022 (following approval of additional one year funding for project activities in relation to Covid-19 impacts).

Overall project progress:

In Progress

Project description: REGIO-Mob aims to promote “learning, sharing of knowledge and transferring best practices between the participating regional and local authorities to design and implement regional mobility plans (or Regional Transport Strategies)”.

The additional REGIO-MOB activities, through a partnership made up of 6 partners from 6 European regions (IT, PL, RO, SI, GR, UK), will allow for an exchange of experiences aimed at learning about the best solutions developed to deal with the Covid-19 crisis and to improve 6 policy instruments for public transport policies to meet the new needs of planning and guarantee a safer and sustainable mobility.

Project Development:

- **Last quarter:** In Progress
 - The first of the three interregional events was held online by the Polish partners. Two good practices from Poland and Romania were discussed at the event.
- **Stages achieved** In Progress
 - SEStran identified five good practices that were implemented in the SEStran region in response to the COVID-19 pandemic and shared these with the REGIO-Mob partners. The good practices include the South East of Scotland Transport Transition Plan, the Thistle Assistance Face Mask exemption sticker, the Bus Priority Rapid Deployment Fund measures, the proposed East Lothian DRT trial, and the Spaces for People programme.
- **Next steps:** In Progress
 - The second Interregional meeting will be held in Slovenia on 5th and 6th July and the final meeting will now be 13th to 15th September in Edinburgh.
 - Organisation of regional stakeholder meeting to consider and vote on partners’ good practices.
 - Attending partner meeting in Slovenia (between May and September 2022).
 - Organisation of partner meeting in Edinburgh from 13th to 15th September 2022 and presentation of good practices within SEStran area during the Edinburgh meeting.
 - Finally, 6 brief summaries on the key elements learned to drive the change will offer visibility of the results achieved and will facilitate applicability in project’s regions and replicability in other European regions as well.

6. SEStran forums and 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:

- **Logistics and Freight Forum**
 - The last forum took place on the 26th of January 2022 (online).
- **Equalities and Access to Healthcare Forum**
 - The last forum took place on 30th of September 2021.
- **Integrated Mobility Forum**
 - The last forum took place on 7th of October 2021.

New Member Induction.

1. Purpose of Report

- 1.1 The purpose of this report is to outline the proposals for an induction and training programme for Partnership Board members.

2. Background

- 2.1 With the changes resulting from the local authority elections in May, it is important that all Councillor and Other Members of the Regional Transport Partnership (RTP) are fully aware of the purpose of RTPs and of what is expected of them as members. New members of statutory bodies customarily receive a formal induction and training programme to familiarise themselves with:

- The powers, functions, aims, objectives and business and strategic plans of the body.
- Their professional and personal responsibilities and obligations as members of an autonomous and accountable statutory body.

It is proposed that a generic training and induction programme should be delivered to new members.

3. Programme Content

- 3.1 The programme will comprise a series of talks or presentations from a range of speakers. The following are examples of topics to be covered:

- Introduction to RTPs
- Statutory powers and functions of RTPs
- Governance of RTPs
- Duties and behaviour of Members

4 Programme Delivery

- 4.1 The programme will be delivered in the form of a series of talks / presentations from speakers allowing opportunities for questions from members.

- 4.2 It is suggested that the training take place on the day of the next Partnership Board meeting on Friday 23rd September 2022.

5 Continuous Training

- 5.1 Training will be provided on an ongoing basis to cover issues that may arise from time to time, and on topics that may be identified through the skills audit process.

6 Recommendation

- 6.1 The Board is asked to note the contents of this report and approve the date of the proposed induction session.

Angela Chambers
Business Manager
8th June 2022

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.

Sent by e-mail to Consultation@stpr2surveys.co.uk

13 April 2022

Dear Sirs

Consultation on the draft second Strategic Transport Projects Review (STPR2) for Scotland

STPR2 – REGIONAL RESPONSE FROM SESTRAN

SEStran is the Regional Transport Partnership of the Councils of City of Edinburgh, Clackmannanshire, East Lothian, Falkirk, Fife, Midlothian, Scottish Borders and West Lothian.

This response, provided in addition to the consultation survey response submitted by SEStran presents a regional perspective on key aspects of the STPR2 report and technical appendices, and relates to the whole of the SEStran region.

1. SEStran regional perspective on STPR2 report and technical appendices.

1. The commitment to develop an STPR2 Delivery Plan following consultation stage is welcomed.

The delivery plan should prioritise interventions that make the most significant *and early* impacts on accessibility and carbon reduction in order to support achievement of national targets.

Ongoing input of RTWGs into the development of the delivery plan is essential, however, to ensure good coordination of delivery plans at local, regional and national level.

2. The future scenarios underpinning STPR2 are understandably broad, but are subject to significant uncertainty.

It would be useful to review scenarios once newer patterns of hybrid working are more established and the impact of global events are better understood, as these have implications for the assumptions behind the scenarios.

- 3. South-East Scotland mass transit proposals are welcomed in principle, as is the commitment to involve regional and local partners in the development of the proposals. The extent to which the proposals will meet the unmet need of many regional journeys across wider corridors needs to be understood before detailed comment is provided.**

It's important that the wording of the final recommendation adds clarity, to explain:

- how it will increase access to public transport in the region's car dependent areas,
- how it will add to measures to reduce car kilometres in the region - the RTS shows that c. 60% of car journeys in the region are unrelated to the city centre,
- how it relates to Bus Partnership funded initiatives
- how it can help to build an integrated public transport network for the region.

- 4. The benefit of splitting active travel routes into sub-categories ('active freeways', 'village to town', 'connecting towns'. 'long distance') is unclear, and is not considered to be appropriate by SEStran.**

Given the significance of the period covered by STPR2 for evolving the transport network, SEStran proposes that completing utilitarian active travel networks is the utmost priority for this period. The emphasis of active travel recommendations in STPR 2 should reflect this as well as the emphasis on connected networks rather than types of routes.

The creation of multiple route types could add complexity into the system of active travel funding applications. The proposals for long distance routes are appealing in some parts of Scotland in particular but where these are more leisure based, their priority should come after utilitarian cycling.

The SEStran Strategic Network should be included as a regional recommendation. There is no assessment in the appendices that explains its exclusion - it meets a number of TPOs and is deliverable.

- 5. The recommendations for rail station upgrades, rail corridor enhancements, and the note confirming funding for appraising the Borders Railway Extension are all welcomed in principle. However, their inclusion raises a question around other rail investment programmes, e.g. those within CP6 investment programme which runs until 2024.**

Much of the region needs access to an integrated sustainable transport network in which heavy passenger rail will continue to play a vital role, and STPR2 would benefit from clarifying through what mechanism capacity issues in the regional network will be enhanced, such as:

- Addressing the lack of network capacity to incorporate service from Winchburgh an area where high levels of car use originate.

- The capacity needed for increased service from Perth and Clackmannanshire to Edinburgh
- the capacity needed on East Coast Main Line to meet the scale of development on the rail corridor and growing need at new stations,
- network capacity at Portobello junction, to accommodate new service as well as meet ambitions for transfer of road freight to rail should be explained in the context of STPR2,

6. The recommendations for Grangemouth are welcomed in principle, including strengthening strategic connections and improving sustainable connections, as is the commitment to support greater levels of sustainable freight by rail and more sustainable travel.

The transport issues for the area are complex, and SEStran notes that transport investment around Grangemouth will require very close integration with a wide range of other partner interventions. Success may depend upon a range of non-transport interventions being realised or even funded to ensure the outcomes envisaged can be achieved. For example, these may after appraisal, include provision of freight consolidation facilities, land acquisition, water side freight facilities, and may prove to be enablers for sustainable freight and sustainable travel recommendations.

7. SEStran welcomes generic recommendations around DRT, MaaS, passenger interchange facilities and integrated ticketing in principle.

Given the 20-year horizon for STPR2, the document and vision benefit from some specific recommendations for bus service enhancements, and greater clarity is needed on how these work in tandem with bus priority infrastructure investment through the five-year bus Partnership Fund. This will ensure the longevity and relevance of STPR2 beyond 2026.

Key areas of public transport will require ongoing investment beyond the Phase 1 STPR2 recovery period, and in tandem with bus priority measures will help to transform public transport usage levels, include clarity on the role of the public sector in:

- Investment in the technology and data management systems to support MaaS, DRT,
- Integration of ticketing systems and cross boundary ticket pricing structures to encourage bus travel

Overall, STPR2 provide a broad framework of intervention types which are appraised against relevant policy. The clarity that the delivery plan should provide regarding the scope, nature or specifics of interventions and recommendations is much needed, and will require further input and also consultation, from RTWGs.

Yours faithfully

A handwritten signature in black ink, appearing to read 'James P. Grieve'.

Jim Grieve

Partnership Director



EQUALITIES AND ACCESS TO HEALTHCARE FORUM
10:00am Thursday 31st March 2022

Present:

Doreen Steele (Chair) (DS)

Cheryl Fergie (Minute Taker) (CF)

Jim Grieve (JG)

Jim Stewart (JS)

Andrew Ferguson (AF)

Anna Herriman (AH)

John Ballantine (JB)

Diana Budziosz (DiB)

Mark Craske (MC)

Ken Reid (KR)

Cllr Cameron Rose (CR)

Richard Dunbar (RD)

Fergus Millan (FM)

Ally Nelson (AN)

Maureen Olliffe (MO)

Cllr Colin Davidson (CD)

Cllr Laura Murtagh (LM)

Iain Sneddon (IS)

Non-Councillor Member

SEStran

SEStran

SEStran

SEStran

SEStran

Edinburgh Access Panel

East Lothian Council

NHS Forth Valley

East Lothian Access Panel

City of Edinburgh Council & SEStran

Board member

Midlothian Council

The Scottish Government

Transport Scotland

Transport Scotland

Fife Council & SEStran Vice Chair

Falkirk Council & SEStran

Board member

NHS Lothian

Apologies:

Karen Armstrong

Cllr Gordon Edgar

Jane Hopton

Cllr Peter Smaill

Emma Scott

Catriona Burness

Susan Keenlyside

Mike Harrison

Allan Lindsay

Frank Henderson

Terry Barlow

The Scottish Government

Scottish Borders Council

NHS

Midlothian Council

Disability Equality Scotland

RNIB Scotland

Fife Council


Midlothian Disability Access Panel

Young Scot

Edinburgh Council

SATA

Ref.		Actions
1.	WELCOME AND APOLOGIES FOR ABSENCE	
	Doreen Steele welcomed everyone to the meeting and apologies were	

	noted as above.	
2.	MINUTES FROM 30th SEPTEMBER 2021 AND ACTIONS ARISING	
	<p>The minutes of the last meeting were approved. It was noted that the below actions from the previous meeting for Keith Fiskin will be picked up before the next Equalities and Access to Healthcare Forum.</p> <p>Keith Fiskin to discuss old RTPI systems with Mark Craske. Keith Fiskin will contact John Ballantine and Ken Reid to discuss user testing of the VoyagAR App.</p> <p>Doreen Steele asked the group if they thought it would be a good idea to track the Actions from this forum. This was agreed. Doreen will liaise with Cheryl Fergie to discuss.</p>	<p>KF</p> <p>KF</p> <p>DS CF</p>
3.	INTRODUCTION FROM EACH MEMBER ON THEIR ORGANISATION AND ASPIRATIONS FROM THE FORUM	
	<p>Each member of this forum gave an introduction, and the following interests and aspirations were noted as below:</p> <ul style="list-style-type: none"> • Delivery of framework objectives. • Best provisions of transport. • Set objectives and use talent in the forum to achieve. • Focus on access and make connections. • Improving access to healthcare for disabled people. • Improve transport in underrepresented groups. • Integrate and input strategic approaches. • There is room for improvement to prioritise patient's transport. • Using public transport to access healthcare. • Conscious input from panel to find out if things can be bettered. 	
4.	TERMS OF REFERENCE - PRESENTATION	
	The Terms of Reference for this forum have had a refresh, Andrew Ferguson ran through them with the members. There was a discussion about who else to include. Jim Grieve asked members to email Cheryl Fergie with any changes, additions, or subtractions.	
5.	PRESENTATION – ACCESSIBLE TRAVEL FRAMEWORK ANNUAL DELIVERY PLAN	
	<p>Maureen Olliffe presented the Accessible Travel Framework Annual Delivery Plan, see below for presentation.</p> <p> Engagement Plan - SEStran - 31 March 20</p>	

	<p>A discussion took place, and the following points are noted below:</p> <ul style="list-style-type: none"> • Clear Pathways, The Edinburgh billboard ban has been a success but could be rolled out nationally. • Taxi and Private Hire, there should be consideration of a national licencing solution applied to all taxis including private hire on the percentage of accessible vehicles. This should be weighed against the next 5/6-year plans for decarbonisation. • NEC+1 card, A regional solution might be applied through discussion with RTPs to make this boundary sensitive application of the free companion travel acceptance by LA's less of a burden on card users. • Thistle Assistance, A further marketing campaign nationally as well as further staff training to raise awareness should be considered. <p>Jim Grieve said there should be more discussion with RTPs regarding the Thistle Assistance to make it less boundary sensitive.</p> <p>Doreen Steele suggested we bring this discussion to a future meeting. There will be further engagement with Ally Nelson and Maureen Olliffe to discuss further.</p> <p>Maureen Olliffe will email the presentation to Cheryl Fergie to circulate with members, she asked for members to email her directly regarding their top 3 priorities to be addressed in the next financial year.</p>	<p>JG</p> <p>DS/SEStran</p> <p>MO CF</p>
6.	LOOKING AHEAD – EARLY ENGAGEMENT WITH NHS ON FUTURE PLANS AFFECTING TRANSPORT	
	<p>Doreen Steele stated it is important to have awareness of NHS plans that are going to be changed, in advance, to obtain strategic planning of services. This needs to be recognised as a real issue. We need appropriate representation from NHS for this forum.</p> <p>Iain Sneddon said that it is critical that linkages are made. NHS Lothian need to link in with RTPs and members of this group regarding movement of services, he will flag this up and take this action away. John Ballantine said NHS patient transport needs improvement.</p> <p>Fergus Millan is aware of transport related issues, there is a strategic advisory group being set up. Engaging with Boards to manage links and navigate services in areas must be conveyed. Practical examples are good, and this forum is very helpful to engage and improve understanding. It allows understanding of gaps to get higher up the agenda and impacts on people to mitigate challenging journeys.</p>	<p>IS</p>

	<p>Andrew Ferguson noted SEStran are involved in technological pilots in East Lothian using MaaS. The same technology has already been used in the Tactran area and the NHS trust there have been impressed with the results. SEStran would like to engage with the NHS regarding the pilot in East Lothian. Andrew will give an update at the next forum regarding how the pilots are coming along.</p> <p>Ken Reid raised the question, are concession cards allowed in the DRT trial in Humby and Tranent. Ally Nelson will take this as an action to concessionary travel colleagues and let us know.</p> <p>Laura Murtagh said an explanation is needed on entitlement for the clarification of subsidy for DRT journeys.</p>	<p>AF</p> <p>AN</p>
7.	AOCB	
	There was no other business to report.	
8.	DATE OF NEXT MEETING	
	29 th September 2022	



**Remote Chief Officer Liaison Group Meeting
2:00pm Wednesday 25th May 2022
Microsoft Teams**

Present:

Jim Grieve (JG) (Chair)

Anna Herriman (AH)
Jim Stewart (JS)
Andrew Ferguson (AF)
Beth Harley Jepson
Cheryl Fergie (CF)
Kevin Collins (KC)
Morag Haddow (MH)
Peter Forsyth (PF)
Jane Findlay (JF)
David miller (DM)
Wayne Clark (WC)
Graeme Johnston (GJ)

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Falkirk Council
East Lothian Council
East Lothian Council
Fife Council
Midlothian Council
Midlothian Council
Scottish Borders Council

Apologies:

Jason Hedley
Lesley Deans
Derek Oliver
Ian Lennock
Gordon Brown
Douglas Proudfoot

Scottish Borders Council
Clackmannanshire Council
Midlothian Council
East Lothian Council
West Lothian Council
East Lothian Council

Ref.		Actions
1.	Welcome and Apologies for Absence	
	The Chair welcomed the Officers to the meeting and apologies were noted as above.	
2.	Minutes and Matters Arising	
	<i>The minutes from Wednesday 16th February 2022 were agreed as a correct record. It was noted any previous actions will be picked up throughout the meeting as they are covered by the agenda.</i>	

3.	Financial Report	
	<p>In the absence of IS, AH gave a brief update:</p> <p>The outturn position of SEStran projects for 21/22 is an underspend of £59,000.</p> <p>There is an underspend of £75,000 on the core budget due to a change in timing of EU Projects, this will be carried forward. All underspend is earmarked for expenditure and activity.</p> <p>Iain Shaw will report this information at the next PB as unaudited accounts.</p>	
4.	RTPI Update	
	<p>Jim Stewart provided an update, and the key points were noted.</p> <p>The new system is working well there is an increase in the number of trips recorded. Framework purchases for 21/22 are all close to being completed. Keith Fiskien should be contacted with any potential new sites.</p> <p>AH has met with Andy Nicol from CEC and discussed the Levelling Up Fund. The COs were updated, and the following points were noted and discussed:</p> <ul style="list-style-type: none"> • There is an opportunity for SEStran as a partnership to add value regionally and to increase the number of RTPI screens in priority areas. • Applications for screens can be coordinated across the region. • The City Region Deal are operating revenue funded initiatives for employability, tourism, and energy sector development. • Scottish Borders Council have secured funding for their EV charging feasibility study. • There are 3 years of funding to apply for. • GJ has been successful with the community renewal fund. • The technical appraisal can be complicated. • There may be available cross boundary funding up to £50 million. • AH is happy to help and support councils that wish to apply individually or coordinate combined applications. 	
5.	Bus Partnership Fund	
	<p>Andrew Ferguson provided an update, and the key points were noted:</p> <p>The case for change for Forth Valley should be ready in the next week. A meeting will be organised for all the BPF Project Mangers in the regional area with an extended invite to consultants, to discuss how the STAG process could be shortened. It would be beneficial for COs to take more of a role in BPs moving forward, in particular</p>	

	with governance and BSIPs. JG noted projects will be competitive, this item should remain on the COs agenda to be discussed further.	
6.	Freight Study Update	
	<p>Jim Stewart provided an update, and the following points were noted:</p> <p>Stakeholder engagement has been good with operators, businesses and partners and is now completed. SEStran are working with consultants to complete the initial options appraisal and hope to have this completed by the end of May. The draft will then be sent to Transport Scotland, SEStran are hoping for a quick turnaround. JS will email Freight Study slides that include key interventions to the group.</p> <p>PF said East Lothian Council have been waiting on a response from Transport Scotland for their STAG access study, this was sent to them in November. They have had an extension to the local rail funding and was curious if SEStran have had the same. JS said he will organise a catch up with KF and PF to discuss.</p>	<p>JS</p> <p>JS & KF</p>
7.	Active Travel	
	<p>Anna Herriman provided an update, and the following points were noted:</p> <p>Over the next 3-4 months SEStran are going to procure traffic data counters to support LAs for Active Travel funding, the cameras will have 9 modes. PJ will be in touch to negotiate and collaborate on the position of cameras. The procurement will be completed by summer.</p> <p>East Lothian Council has 20 vivacity counters but only two are set up at the moment due to power supply issues, they would like to compare and share data with SEStran.</p> <p>Beth Harley Jepson updated on Go-eBike:</p> <p>East Lothian Council and Midlothian Council both have 2 sites up and running. East Lothian Council are looking to expand, they are in discussions with various LAs about potential sites. Mid Lothian are also looking to expand. Musselburgh and Dalkeith are to link railway stations to town centres.</p> <p>BHJ is now taking care of this, and any questions should be directed to her.</p>	
8.	Regional Transport Strategy	
	Jim Stewart provided an update, and the following points were noted:	

	<p>The draft RTS statutory consultation was drafted and taken to the last PB meeting, after discussions around rural and rail issues with LAs it was decided not to consider the RTS for approval at this point. Due to comments around delivery and how this was taken into consideration a new chapter was added to the draft RTS. It is proposed that a supplementary document created called The Programmed Investment Plan will be developed which will identify and detail all schemes being delivered, are under development or are aspirational schemes to be funded. These schemes will be supported by the policies in the draft RTS and will be supported by SEStran.</p> <p>The draft RTS is now close to completion and will be taken to the newly formed PB for approval as soon as possible.</p>	
9.	Electric Vehicles Strategy	
	<p>Jim Grieve attended a workshop regarding the EVIF fund from Transport Scotland and Scottish Futures Trust, the following points were discussed and noted:</p> <ul style="list-style-type: none"> • There is 60k available per LA for EV strategy. • EVIF will replace any previous funding. • Potential for using the same model as East Lothian Council. • SEStran to take EV Strategy forward for all 8 LAs to collaborate. • Collaborative working with regional approach. • Commercialisation. • Income generation for LAs. • Opportunity to sustain local communities with income. • Partnership working with operators. <p>JG agreed SEStran would set up a meeting in around 3-4 weeks' time for COs with TS and SFT to raise the above points and discuss how to move forward collaboratively.</p>	
10.	AOCB	
	<p>There was a discussion around new council administration and new SEStran PB members. Cllr Bennet and Cllr McMillan have been elected for East Lothian Council.</p> <p>JS noted the outdoor seating planning requirements consultation, there are no planning permissions required, this could impact on roads. The consultation also covers EV charging.</p> <p>AF added the link to the Team chat https://www.gov.scot/publications/review-permitted-development-rights-phase-2-consultation/</p> <p>GJ noted that Reston Railway Station is now open.</p>	

	JG asked the COs to provide PO numbers for SEStran requisitions if they hadn't already done so.	
11.	Date of Next Meeting	
	The date of the next meeting is scheduled for 2:00pm on Wednesday 24 th August 2022.	