

# **SOUTH WEST OF SCOTLAND TRANSPORT PARTNERSHIP**

**Meeting of Friday, 21 September 2018 at 10.30am, Room 2, Council  
Officers, English Street, Dumfries, DG1 2HQ**

## **Members of the Board**

<b>Andrew Wood</b> (Chair)	- Dumfries and Galloway Council
<b>David Bryson</b> (Vice-Chair)	- NHS Dumfries and Galloway
<b>Richard Brodie</b>	- Dumfries and Galloway Council
<b>John Campbell</b>	- Dumfries and Galloway Council
<b>Adam Wilson</b>	- Dumfries and Galloway Council
<b>Alistair McKinnon</b>	- Scottish Enterprise
<b>David Stitt</b>	- Dumfries and Galloway Council

## **Future Meetings**

**31 October 2018**

**16 January 2019**

**6 March 2019**

**Douglas Kirkpatrick**

Lead Officer, South West of Scotland Transport Partnership

## **SOUTH WEST OF SCOTLAND TRANSPORT PARTNERSHIP**

**Meeting of Friday, 21 September 2018 at 10.30am, Room 2, Council  
Officers, English Street, Dumfries, DG1 2HQ**

- 1. SEDERUNT AND APOLOGIES**
- 2. DECLARATIONS OF INTEREST**
- 3. MINUTES OF MEETING ON 29 JUNE 2018 – FOR APPROVAL**
- 4. REVENUE BUDGET MONITORING REPORT 2018/2019 FOR THE PERIOD  
ENDING 31 AUGUST 2018** – Recommendation - note the forecast outturn for  
the revenue budget as at 31 August 2018.
- 5. REPORT BY EXTERNAL AUDIT ON THE 2017/18 AUDIT OF SOUTH WEST  
SCOTLAND TRANSPORT PARTNERSHIP** – Recommendations – (i) receive  
the external auditors' report on the 2017/18 audit as detailed in Appendix 1; (ii)  
note that no issues have been identified in the course of the audit which have  
impacted on the fairness of the financial statements submitted for audit; and (iii)  
note that the audited accounts (Appendix 3) will be certified by the Treasurer and  
Grant Thornton after this meeting.
- 6. THE GENDER REPRESENTATION ON PUBLIC BOARDS (SCOTLAND) ACT  
2018 - UPDATE** - Recommendation - note and consider the response from  
Dumfries and Galloway Council as detailed at paragraph 3.1.
- 7. DEMENTIA FRIENDLY COMMUNITIES** - Recommendations - (i) note the final  
evaluation report on the Dementia Friendly Communities as shown in the  
Appendix; and (ii) agree that an invite to a future Board meeting be sent to  
Alzheimer Scotland to discuss their recent works on Dementia Friendly  
Communities.
- 8. COMMUNITY ENGAGEMENT AND CONSULTATION STRATEGY** -  
Recommendation - agree to the development of a draft Community Engagement  
and Consultation Strategy for consideration at the SWestrans Board meeting in  
October 2018.
- 9. RISK MANAGEMENT** – Recommendation - agree the Risk Management Plan  
and Risk Register for 2018/19.
- 10. CAPITAL EXPENDITURE PROGRAMME 2018/19 – UPDATE –**  
Recommendations – (i) to consider and agree the amended bus shelter renewal /  
replacement programme 2018/19 as shown in Appendix 3; and (ii) agree the  
draft Active Travel Infrastructure criteria as shown in Appendix 4.

11. **TRANSPORT (SCOTLAND) BILL – CALL FOR EVIDENCE** – Recommendation - discuss and agree a response to the Rural Economy and Connectivity Committee’s invite to submit written views on the Transport (Scotland) Bill.
12. **STAG APPRAISALS UPDATE** – Recommendation - note the update on the work towards developing potential rail station re-opening bids and the need to align with the consultation for South West Scotland: Case for Change.
13. **STATION TRAVEL PLANS** - Recommendations – (i) note the commencement of Station Travel Plan work for Dumfries rail station; and (ii) agree SWestrans officers undertake similar work on a Station Travel Plan for Lockerbie rail station.
14. **LOCAL BUS SERVICES – UPDATE** - Recommendations - (i) agree the request from Scottish Borders Council to provide an annual contribution of £36,278.55 to the cross-boundary local bus service X95 Galashiels/Hawick to Carlisle; (ii) note the estimated annual usage of service 111 Dumfries Town Centre to DGRI; (iii) note the announcement on the future of the National Concessionary Travel Scheme by the Cabinet Secretary for Transport, Infrastructure and Connectivity; and (iv) agree not to implement the extension of the service 246 journey at 2030 from DGRI to Sanquhar to serve Kirkconnel.

Douglas Kirkpatrick  
Lead Officer  
South West of Scotland Transport Partnership

Claire Rogerson  
Secretary to the Board  
South West of Scotland Transport Partnership

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## SOUTH WEST OF SCOTLAND TRANSPORT PARTNERSHIP

Meeting of Friday 29 June 2018  
at 10.30am, Buccleuch Centre, Buccleuch Square, Langholm

### Present

### Members

<b>Andrew Wood</b> (Chairman)	-	Dumfries and Galloway Council
<b>David Bryson</b> (Vice-Chairman)	-	NHS Dumfries and Galloway
<b>Richard Brodie</b>	-	Dumfries and Galloway Council
<b>John Campbell</b>	-	Dumfries and Galloway Council
<b>Archie Dryburgh</b> (Substitute)	-	Dumfries and Galloway Council
<b>Alistair McKinnon</b>	-	Scottish Enterprise
<b>Adam Wilson</b>	-	Dumfries and Galloway Council

### Officials and Advisers

<b>Douglas Kirkpatrick</b>	-	Lead Officer
<b>Claire Rogerson</b>	-	Secretary to the Board
<b>Kirsty Dunsmore</b>	-	Policy and Projects Officer
<b>Janet Sutton</b>	-	Finance Officer
<b>Rebecca Scott</b>	-	Graduate Trainee

### Apologies

<b>Davie Stitt</b>	-	Dumfries and Galloway Council
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### Observer

<b>Christopher Bradberry Craig</b>	-	Thornhill Station Action Group
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## 1. SEDERUNT AND APOLOGIES

The Secretary advised that there had been an administrative error on the agenda calling the meeting, as any other business which the Chairman may decide is urgent due to the need for a decision had been omitted at item 16.

7 Board Members present, 1 apology noting that Archie Dryburgh was substituting for Davie Stitt.

## 2. DECLARATIONS OF INTEREST

**NONE** declared.

## 3. MINUTES OF MEETING ON 8 MAY 2018

### Decision

**APPROVED**

## 4. REVENUE BUDGET OUTTURN REPORT 2017/18

### Decision

The Board **NOTED** the draft financial outturn for 2017/18 and that a break-even position was achieved.

## 5. REVENUE BUDGET MONITORING REPORT 2018/2019 FOR THE PERIOD ENDING 31 MAY 2018

### Decision

The Board **NOTED** the forecast outturn for the revenue budget as at 31 May 2018.

## 6. DRAFT ANNUAL (UNAUDITED) ACCOUNTS 2017/18

### Decision

The Board **NOTED** the unaudited Annual Accounts for the financial year ended 31 March 2018 which would be submitted to the Board's external auditors for review.

## 7. CAPITAL EXPENDITURE PROGRAMME 2017/18 OUTTURN REPORT

### Decision

The Board **NOTED** the outturn position on the 2017/18 SWestrans Capital Programme.

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## 8. CAPITAL EXPENDITURE PROGRAMME 2018/19 – BUS SHELTERS AND SHORT PATHS

### Decision

The Board:

8.1 **NOTED** the review of bus shelter condition;

8.2 **AGREED** to request that a further report providing fuller detail on the priority list for bus shelter renewal / replacement 2018/19, highlighting those that were difficult to achieve, new or existing bus shelters; and

8.3 **NOTED** the initial work being undertaken to develop short paths between communities to enable and support functional walking/cycling noting that a further report would be provided at the October 2018 meeting.

## 9. BOARD MEETING ARRANGEMENTS

### VOTE

9.1 **Motion** – Proposed by **Andrew Wood**, seconded by **Archie Dryburgh**  
To agree that the Board meetings should be held in Dumfries whilst recognising that there may be circumstances where it would be necessary to move the meeting to improve public accessibility when there are prevalent local issues on the agenda.

9.2 **Amendment** – Proposed by **Richard Brodie** seconded by **John Campbell**  
To agree that the status quo with regards to the location of Board meetings remains in that the SWestrans Board continues to meet at different locations across Dumfries and Galloway.

9.3 In a vote taken by roll call Board Members voted as follows:-

Motion :- 4

Being:- Andrew Wood, David Bryson, Archie Dryburgh and Adam Wilson.

Amendment:- 2

Being :- Richard Brodie and John Campbell.

Abstentions – 1

Being :Alistair McKinnon.

### Decision

9.4 The Board **AGREED** Board meetings should be held in Dumfries whilst recognising that there may be circumstances where it would be necessary to move the meeting to improve public accessibility when there are prevalent local issues on the agenda.

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## 10. TRANSPORT (SCOTLAND) BILL

The Chairman thanked the Lead Officer and his team, noting that the contributions from Dumfries and Galloway on the Transport Bill had been commended at a recent meeting with the then Minister for Transport Humza Yousaf MSP.

### Decision

The Board:

10.1 **NOTED** the key measures set out by the Transport (Scotland) Bill, and that regular updates would be provided; and

10.2 **AGREED** that the Chairman would write to the new Cabinet Secretary for Transport, Infrastructure and Connectivity Michael Matheson MSP and invite him to Dumfries and Galloway.

## 11. ACTIVE TRAVEL TASK FORCE

### Decision

The Board **NOTED** the work of the Active Travel Task Force and the publication of the Active Travel Task Force Report.

## 12. STAG APPRAISALS UPDATE

The Lead Officer advised that there was no verbal update to provide as no advice had been received from Transport Scotland.

### Decision

The Board:

12.1 **NOTED** the update on the work towards developing potential rail station re-opening bids with a further report to the Board due in October 2018; and

12.2 **AGREED** to remit the Chairman to write to Transport Scotland and the Cabinet Secretary for Transport, Infrastructure and Connectivity for feedback should that be required following the Lead Officer's meeting with Transport Scotland next week.

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**13. SCOTTISH YOUTH PARLIAMENT COMMUNITY RAIL PARTNERSHIP –****Decision**

The Board:

**NOTED**

13.1 the proposed development of a National Youth Community Rail Partnership;

13.2 the request from ScotRail for SWestrans' written support of a National Youth Community Rail Partnership; and

13.3 **AGREED** in principle, to support the establishment of a National Youth Community Rail Partnership.

**14. LOCAL BUS SERVICES – TIMETABLE CHANGES –**

**PROCEDURE** – The Chairman advised that he had received correspondence received from the A76 Action Group and agreed that this be distributed at the meeting for consideration at this item. (**Appendix**)

**Decision**

The Board:

14.1 **NOTED** the implementation of timetable changes to the local bus network on 8 July 2018; and

14.2 **AGREED** that the Chairman through the Lead Officer respond formally to the A76 Action Group and Stagecoach.

**15. PUBLIC SOCIAL PARTNERSHIP UPDATE****Decision**

The Board **NOTED**

15.1 the progress on the pilot projects within the three Public Social Partnership work streams as highlighted in section 3 of the report; and

15.2 that a further update report on the Public Social Partnership will be brought to the Board in October 2018.



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**16. ANY OTHER BUSINESS WHICH THE CHAIRMAN MAY DECIDE IS URGENT DUE TO THE NEED FOR A DECISION**

**Decision**

The Board **NOTED** that there was no item of business deemed urgent by the Chairman due to the need for a decision.

**PROCEDURE** - Members of the South West of Scotland Transport Partnership Board **AGREED** to consider the following item of business in private and excluded the Press, members of the public and Observers from the meeting given the report contained confidential or exempt information in respect of paragraph 6, 8, 9 and 10 of Schedule 7A of the Local Government (Scotland) Act 1973.

**17. LOCAL BUS SERVICE 101/102 DUMFRIES TO EDINBURGH –**

Summary of Report – This report updated the Board on the replacement of the 101/102 Dumfries to Edinburgh local bus service and sought agreement for the award of contract.

**Decision**

The Board **AGREED** option 4 for the award of contract for Dumfries to Edinburgh and requested that ways to strengthen partnership working across different authorities be investigated.

E-mail received on 28/06/2018.

Councillor Andrew Wood  
Chair, South West of Scotland Transport Partnership

Dear Councillor Wood

At a well-attended meeting this evening - which included representatives from Closeburn and Carronbridge community councils as well as a number of Thornhill residents - the concerns about the cuts to this service were reiterated.

The considerable disquiet amongst residents across Upper- and Mid-Nithsdale centres on:

- impact on rural life especially for those without cars and geographically isolated
- impact on businesses both in Dumfries and Thornhill from the curbing of travel to evening activities e.g pubs, restaurants
- impact on integrated transport if no bus link from trains to Dumfries for Sanquhar
- counter to Scottish Government policy to promote use of public transport and discourage drinking and driving
- added to previous reductions in services and fear that a precursor to more substantial cuts

We are appalled by

- the lack of public consultation prior to these cuts being implemented
- the apparent absence of public information on these service changes e.g notices on buses or in the local press

We intend to pursue a vigorous campaign to have the service reviewed so that it serves the needs of customers rather than private companies.

**In the interim we are formally demanding that the new timetable be suspended pending a proper public engagement - in other words that the current timetable continues beyond 8th July pending a fully participatory review.**

We request that this is put to the SWestTrans board at its meeting tomorrow and that the outcome - with clear reasons for the decision - is fed back to us.

We further ask that you consider your role as our local councillor in supporting our communities as well as your position as chair of the board.

Yours sincerely

David Formstone  
on behalf of the A76 Action Group

## REVENUE BUDGET MONITORING REPORT 2018/2019 FOR THE PERIOD ENDING 31 AUGUST 2018

### 1. Reason for Report

To provide the Board with an update on the Partnership's 2018/19 monitoring and forecast outturn position based on the period ending 31 August 2018.

### 2. Background

The Scottish Government provide revenue funding to SWestrans, with Dumfries and Galloway Council also providing funding. SWestrans also requisitions funding from Dumfries and Galloway Council in respect of payments required for public bus service contracts.

### 3. Key Points

3.1 The **Appendix** shows the revenue budget summary for SWestrans. The published expenditure budget for 2018/19 of £4,308,789 was agreed by the Board on 9 March 2018. It is vital to the economic wellbeing of the Partnership and its stakeholders that the financial resources are managed effectively, and expenditure and income is delivered in line with the approved budget.

3.2 The year to date actual figures represents the transactions for five months ending 31 August 2018 and are in line with management expectations. Officers are not aware of any anomalies that will distort the overall financial position.

3.3 Board Members will note that based on the financial performance to date, it is forecast that a balanced budget will be delivered.

### 4. Implications

<b>Financial</b>	As indicated in the report a balanced budget is forecasted
<b>Policy</b>	No policy implications from this report
<b>Equalities</b>	No equalities implications this report
<b>Climate Change</b>	No climate change implications from this report
<b>Risk Management</b>	Revenue budget monitoring relates to two known risks: R06 – Overspend R07 – Revenue funding

### 5. Recommendation

Members of the Board are asked to note the forecast outturn for the revenue budget as at 31 August 2018.

Janet Sutton - Report Author Finance Officer Tel: 01387 260105 Date of Report: 3 September 2018 File Ref:	Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
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**APPENDIX** - Monitoring Report 2018/2019 for the period ending 31 August 2018.

**SOUTH WEST OF SCOTLAND TRANSPORT PARTNERSHIP**  
**REVENUE BUDGET MONITORING AS AT 31 AUGUST 2018**

	FINAL OUTTURN 2017/18 £	PUBLISHED BUDGET 2018/19 £	BUDGET ADJUSTMENTS 2018/19 £	ADJUSTED BUDGET 2018/19 £	ACTUAL EXPENDITURE TO 31/08/18 £	PROJECTED OUTTURN 2018/19 £	PROJECTED VARIANCE 2018/19 £
<b>EXPENDITURE</b>							
Staff Costs	105,545	110,848		110,848	0	110,848	0
Property Costs	50	700		700	0	700	0
Supplies & Services	958	960		960	162	960	0
Transport Costs	18,357	2,104		2,104	0	2,104	0
Administration Costs	25,243	20,193		20,193	123	20,193	0
Payments	4,282,464	4,125,234		4,125,234	1,787,249	4,125,234	0
Central Support	45,128	48,750		48,750	0	48,750	0
Capital Charges	331,603			0	145,891	0	0
<b>Total Expenditure</b>	<b>4,809,348</b>	<b>4,308,789</b>	<b>0</b>	<b>4,308,789</b>	<b>1,933,425</b>	<b>4,308,789</b>	<b>0</b>
<b>INCOME</b>							
Scottish Government Funding	259,250	259,250		259,250	116,450	259,250	0
D&G Council Funding	217,040	100,000		100,000	0	100,000	0
Other Contributions	4,333,058	3,949,539		3,949,539	0	3,949,539	0
<b>Total Income</b>	<b>4,809,348</b>	<b>4,308,789</b>	<b>0</b>	<b>4,308,789</b>	<b>116,450</b>	<b>4,308,789</b>	<b>0</b>
<b>NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,816,975</b>	<b>0</b>	<b>0</b>

## REPORT BY EXTERNAL AUDIT ON THE 2017/18 AUDIT OF SOUTH WEST SCOTLAND TRANSPORT PARTNERSHIP

### 1. Reason for Report

The purpose of this report is to present SWestrans audited annual accounts and the external auditors' report on the 2017/18 audit of SWestrans to this Board in line with the requirements of the International Standards on Auditing 260 (ISA 260).

### 2. Background

2.1 The Partnership's external auditors are Grant Thornton UK LLP who were appointed on a five year appointment from 2016/17, this is the second year of the appointment. Grant Thornton has now concluded their audit of the Partnership's Annual Accounts for the year ended 31 March 2018. There are no qualifications in the audit report on the Annual Accounts. It is the opinion of the External Auditor that the financial statements provide a true and fair view of the Partnership's financial position and income and expenditure for the year.

2.2 Grant Thornton is required to present a report to those charged with governance in the Partnership before 30 September 2018. This report covers the external auditors' wider role, extending to areas such as governance and accountability and performance management and improvement. The report is attached at **Appendix 1**

### 3. Key Points

#### The 2017/18 Final Accounts Audit Process

3.1 The main purpose of the external auditors' report to the Board is to highlight any significant matters that have arisen during the course of the audit. There were no key issues highlighted for the Partnership.

3.2 The International Standard on Auditing 580 (ISA 580) requires auditors to obtain assurances from the proper officer on certain issues relating to the annual accounts. A copy of the letter relating to the 2017/18 accounts which will be signed by the Treasurer is contained as **Appendix 2**.

3.3 As previously reported to this Board, the regulations on the publication of the annual accounts changed in 2014/15 and the audited accounts will require to be approved by the Board prior to being signed by the Treasurer. Therefore, again this year, the unsigned audited accounts have been included as part of this report and are attached in **Appendix 3**.

3.4 There have been no significant changes made from the unaudited accounts which were presented to the Board on 30 June 2018. The final certified annual accounts will be made available to the Board before 31 October 2018, when they will be published on the SWestran's website.

### 4. Consultation

4.1 The Proper Officer (Finance) has been consulted and is in agreement with the terms of this report.

4.2 The External Auditor is required to audit SWestrans financial statements in accordance with relevant legal and regulatory requirements and International Standards on Auditing (UK and Ireland) as required by the Code of Audit Practice approved by the Accounts Commission.

<b>5. Implications</b>	
<b>Financial</b>	The Financial implications are as laid out in the report
<b>Policy</b>	There are no policy implications from this report.
<b>Equalities</b>	There are no equality implications from this report.
<b>Climate Change</b>	There are no climate change implications from this report
<b>Risk Management</b>	The external audit provides assurance and guidance on the governance and financial management of SWestrans

## **6. Recommendations**

Members of the Board are asked to:

- 6.1 receive the external auditors' report on the 2017/18 audit as detailed in **Appendix 1**;
- 6.2 note that no issues have been identified in the course of the audit which have impacted on the fairness of the financial statements submitted for audit; and
- 6.3 note that the audited accounts (**Appendix 3**) will be certified by the Treasurer and Grant Thornton after this meeting.

Janet Sutton - Report Author Finance Officer Tel: 01387 260105 Date of Report: 15 September 2018 File Ref:	Approved by: Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
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Appendix 1 – Report to Members and the Controller of Audit on the 2017/18 Audit

Appendix 2 – Letter of Representation

Appendix 3 – Unsigned audited accounts 2017/18



# South West of Scotland Transport Partnership (SWestrans)

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**External Audit Annual Report to the Partnership and the Controller of Audit  
for the financial year ended 31 March 2018**

Board meeting 21 September 2018 (Draft)

**Joanne Brown**  
Engagement Leader

**Angelo Gustinelli**  
External Audit Manager



# Our audit at a glance



We have fulfilled our responsibilities per International Standards on Auditing (ISAs) (UK) and the Audit Scotland Code of Audit Practice throughout our work and this final report to the Partnership and the Controller of Audit concludes our work.



Materiality has been updated based on the unaudited 2017/18 financial statements to £96,000 (2% of gross 2017/18 expenditure).

Performance materiality is £72,000 and we have to report to officers any misstatements identified over £4,800 (5% of materiality).



Significant audit risks were: management override of controls; the risk of fraud in expenditure recognition as set out in practice note 10. Our risk assessment remained unchanged and we did not identify any adjustments in these areas in our work.

## An audit underpinned by quality



We have built on our understanding and relationship with the South West of Scotland Transport Partnership (SWestrans) officers during the year supporting our audit process.



Our work was undertaken in accordance with our agreed timetable. The draft financial statements produced by the officers were of a good standard with complete information and good supporting working papers. We thank the officers for their support and assistance during our work



A wider scope audit for the SWestrans as set out in our plan, was considered not appropriate. However we have considered your financial planning and governance arrangements as part of our audit.

We have raised one recommendation, following up on a prior year observation, around the need to develop medium term financial plans.



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## Adding value through our external audit work

First and foremost our objective is to ensure we deliver a quality external audit which fully complies with International Standards on Auditing (ISAs) UK and the Audit Scotland Code of Practice (2016). By ensuring our audit is efficient and effective, gives you assurance over our opinion.

Through this Annual Report we seek to provide insight and commentary over certain aspects of the SWestrans arrangements, sharing relevant practices with Officers.

We have continued to build on our working relationship with the officers and our understanding of you as an organisation. During the year we have worked with the officers to develop our audit approach through greater understanding of your financial transactions and the linkage to the Dumfries and Galloway Council external audit process.

# Introduction

This report is a summary of our findings from our external audit work for the financial year ended 31 March 2018.

Our work has been undertaken in accordance with International Standards of Auditing (ISAs) (UK) and the Audit Scotland Code of Audit Practice 2016.

In accordance with our reporting responsibilities the report is jointly addressed to the Controller of Audit.

Once finalised this report will be made publically available on the Audit Scotland website ([www.audit-scotland.gov.uk](http://www.audit-scotland.gov.uk))

We would like to thank the SWestrans officers and the finance team for an effective year-end audit process and all their support and assistance in the audit process.

## Structure of this report

As set out in our Audit Plan (March 2018) we consider in accordance with the Audit Scotland Code of Practice that SWestrans is a smaller body. Therefore full wider scope is not appropriate. Our report concludes on our financial statements audit and certain aspects of the SWestrans' arrangements as follows:

Financial statements – Section 2 and Appendix 1

Financial and governance arrangements – Section 2



## Our Opinion

For the financial year ended 31 March 2018 we plan to issue an **unmodified audit opinion**

- True and fair view of the financial statements
- Other information in the annual report
- Other prescribed matters



## Status of the audit as at 13 September 2018

Our audit is substantially complete with the exception of the following:

- Subsequent events procedures
- Engagement Leader final review

## The audit process

A complete set of financial statements were made available to the public on 28 June 2018, meeting the statutory deadline of the end of June.

The draft financial statements were supported by good working papers and the audit was efficient.

We identified no changes to the financial statement balances and have no unadjusted differences to report. We identified minor disclosure enhancements and these have been reflected in the financial statements.



# The financial statements audit



Our audit work was completed in accordance with International Standards in Auditing (UK) (ISAs) and the Audit Scotland Code of Audit Practice (May 2016). Based on our audit procedures performed we expect to issue an unqualified audit opinion on the financial statements including:

- give a true and fair view in accordance with applicable law and the 2017/18 CIPFA Code of Practice on Local Authority Accounting ('the 2017/18 Code');
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2017/18 Code, and with the requirements of applicable law;
- the information given in the Management Commentary is consistent with the financial statements and that report has been prepared in accordance with statutory guidance; and
- the information given in the Annual Governance Statement is consistent with the financial statements and that report has been prepared in accordance with applicable guidance.

## Audit approach and materiality

Our audit approach was set out in our annual audit plan presented to the Partnership in March 2018. As set out in our plan, our materiality calculations were based on the audited 2016/17 financial statements. We subsequently updated our materiality calculation to be based on the draft 2017/18 financial statements. Overall materiality has been set at £96,000 (2% of gross expenditure) and performance materiality is set at £72,000 (75% of materiality). We report to the officers any audit difference identified over £4,800 (trivial as 5% of materiality).

We did not identify any additional significant audit risks from those identified in our audit plan.

## Internal control environment

During the year we sought to understand the SWestrans overall control environment (design) as related to the financial statements. We have built on our understanding of key financial controls processes in place at the SWestrans. In particular we have:

- Considered procedures and controls around related parties, journal entries and other key entity level controls.
- Performed walkthrough procedures on key financial controls in particular journals, ledger controls, income and expenditure transactions.

Our work over controls is limited to our ISA requirements in understanding an entities control environment. Our audit is not controls based and we do not seek reliance over controls. Our audit is fully substantive based in nature.

We identified no material weaknesses or areas of concern from this work which would have caused us to alter the planned approach, set out in our plan.

## Internal Audit

As set out in our external audit plan we have not placed formal reliance on the work of internal audit. We reviewed the internal audit plan and individual reports issued to date, to consider if any impact on our audit approach, with none being noted.

The findings of internal audit do not disagree with our knowledge and understanding of the SWestrans as an organisation.

## Identified audit risks and our conclusions

	Identified audit risk at planning	Work completed	Our conclusion
Risk of fraud in revenue	<p>As set out in ISA 240 there is a presumed risk that revenue may be misstated due to improper recognition of revenue. The majority of SWestrans income is from government grants. The nature of this income is well forecast and agreed to confirmation letters therefore we rebut the presumed risk around this revenue stream. We therefore focus our risk on other income. The risk is prevalent primarily on transactions around the year end where there is a inherently higher risk of misstatement.</p>	<ul style="list-style-type: none"> <li>• SWestrans income is from government grants and service funding from Dumfries and Galloway Council.</li> <li>• The nature of this income is well forecast and agreed to third party confirmations, therefore we rebut the presumed risk around these revenue streams.</li> <li>• We therefore consider it appropriate to rebut the presumed risk of fraud in revenue.</li> </ul>	<ul style="list-style-type: none"> <li>• We still consider it appropriate to rebut the presumed risk of fraud in revenue.</li> <li>• From our audit procedures performed we are satisfied that revenue is free from material misstatement.</li> <li>• We are satisfied that transactions have been recognised in the appropriate financial year.</li> </ul>
Risk of fraud in expenditure	<p>Operating expenditure is understated or not treated in the correct period (risk of fraud in expenditure). As set out in Practice note 10 (revised) which applies to public sector entities, we recognise that there is a risk that expenditure could be materially misstated. The risk is prevalent primarily on transactions around the year end where there is a inherently higher risk of misstatement.</p>	<ul style="list-style-type: none"> <li>• Developed our understanding of the SWestrans material expenditure streams including walkthrough of key transactions.</li> <li>• Perform cut-off at year end on post year end transactions and performed procedures to ensure expenditure allocated in appropriate financial year.</li> <li>• Confirmed the completeness of creditors balances through testing for unrecorded liabilities.</li> </ul>	<ul style="list-style-type: none"> <li>• From our audit procedures performed we are satisfied that expenditure is free from material misstatement.</li> <li>• We are satisfied that transactions have been recognised in the appropriate financial year.</li> </ul>
Management override of controls	<p>As set out in ISA 240 there is a presumed risk that management override of controls is present in all entities</p>	<ul style="list-style-type: none"> <li>• Developed our understanding of the entity level controls in place at the SWestrans that reduce the risk of management override.</li> <li>• Performed review of journal transactions for unusual transactions or balances.</li> <li>• Evaluated key areas of judgement within the financial statements and the basis for these judgements / application of accounting policies.</li> <li>• Reviewed unusual and/or significant transactions.</li> </ul>	<ul style="list-style-type: none"> <li>• We did not identify any significant areas of bias in key judgements by management.</li> <li>• We have not identified any unusual or significant transactions during the course of the year that would indicate management manipulation.</li> </ul>

## Narrative elements of your annual accounts

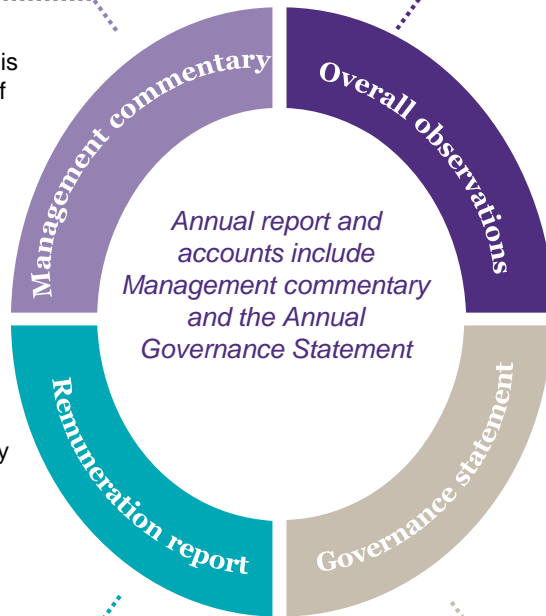
In accordance with our responsibilities we have reviewed your narrative aspects of the Annual Report and Accounts. We have considered the consistency of this narrative with our understanding and the financial statements and have set out our observations below.

### Management commentary

- The management commentary is in line with our understanding of SWestrans
- The management commentary statement is clear and concise.
- Finance performance was well articulated and there is discussions around budget versus actual.

### Remuneration Report

- SWestrans does not employ any staff, therefore a Remuneration Report is not required to be prepared in accordance with Local Authority Accounts (Scotland) Regulations 2014.



### Overall observations

- We have considered the management commentary and the governance statement as part of our audit. We have no matters we wish to bring to your attention.

### Annual Governance Statement

- Statement defines the governance framework in place at the SWestrans and effectiveness of governance arrangements.
- The officers have not identified any governance issues during the course of the year that would require disclosure in the statement.

## Key aspects of your financial statements

As set out in our audit plan we consider particular aspects of your financial statements in relation to the officers judgements including estimates and where officers may have particular options or choices in what accounting standards or disclosure requirements to apply. We have summarised where these apply, and our conclusions below.

SWestrans **accounting policies** accounting policies are in accordance with the CIPFA Code of Practice on Local Authority Accounting and we consider these to be appropriate to the organisation and consistent with those adopted in prior years.

Overall the SWestrans accounts are considered simple accounts with few areas of **estimate or judgement**. They provide transparent reporting of income and expenditure throughout the year.

In terms of **uncertainties** SWestrans had no material uncertainties in the accounts.

The officers are satisfied that SWestrans will continue to receive funding to meet annual operating obligations in delivering statutory services, with income received totalling £4.478 million in year, with Scottish Government grants and requisitions from Dumfries & Galloway Council being the main contributors to this total. As a result they are satisfied that the entity continues to represent a **going concern**. We have obtained confirmation of SWestrans funding for 2018/19 and concur with Management's going concern assessment.

In relation to the audit risk of fraud in respect of expenditure, we tested SWestrans cut off arrangements in particular (**timing of transaction**) and identified no issues in accruals or prepayments which would indicate potential fraud.

There are **no post balance sheet** events or legal uncertainties at year-end.



# SWestrans financial sustainability and governance arrangements

## Key observations



### Financial position & sustainability

SWestrans reported a breakeven position for the year ended 31 March 2018, with the main expenditure from the subsidies in respect of the local bus network, which totalled £4.3 million. However, through spending controls and active budget management, SWestrans achieved a financial balance.

SWestrans face particular financial challenges in balancing public sector funding constraints alongside increasing pressures.

Currently SWestrans, like other transport authorities, faces challenges in planning strategically as it is limited to annual funding settlements and unable to hold reserves. The draft Transport Bill, currently going through the Scottish Parliament legislative process, may enable partnership authorities to retain reserves. This would allow greater strategic financial planning.

Action plan 1.

Like many public bodies, SWestrans faces financial pressures.

The Transport Bill, currently going through legislative process, may allow SWestrans the opportunity to retain reserves, providing scope for more strategic financial planning.



### SWestrans Governance

SWestrans has an established governance framework in place consisting of policies, procedures and systems of internal control to support the delivery of partnership outcomes.

In addition, The Partnership's officers and Board members have continued to participate in the development of local, regional and national initiatives including the review of the National Transport Strategy and the Borders Transport Corridor Appraisal.

Key strategic risks are reported annually to the Partnership and internal audit provide assurance around the adequacy and effectiveness of SWestrans internal control framework.

From review of corporate publications, the SWestrans board minutes and papers we have not identified any material concerns around governance arrangements in place.

SWestrans has well established governance framework in place. These facilitate monitoring and oversight of the delivery of the Regional Transport Strategy and strategic risks to the organisation.

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# Appendices

**Action plan and follow up of 2016/17 recommendations**

**Audit adjustments**

**Independence, fees and fraud responsibilities**

**Communication of audit matters with the Board**

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# Action plan for 2017/18 and follow up of 2016/17 external audit recommendations

We have set out below, based on our audit work undertaken in 2017/18, those risks and recommendations we consider are of a higher risk to Swestrans that Management may wish to consider in the future. We have also completed follow up of our 2016/17 recommendations and this is reflected below for information.

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## Recommendation from 2017/18 audit

## Agreed management response

---

### Strategic financial planning

Due to annual funding settlement as well as restrictions on the organisation's ability to hold reserves, SWestrans financial plans are primarily based on an annual basis. Given the financial pressures facing the organisation it is important that medium to longer term financial plans are in place to ensure that SWestrans has a sustainable operating model in place to support service delivery.

With the draft Transport Bill, there is potentially opportunity for SWestrans to retain reserves in the future providing an opportunity for more strategic financial planning and investment decisions.

### Management response:

We will continue to track the progress of the Transport Bill and will look at longer term planning and consultation on any potential funding reductions.

### Action owner:

Treasurer and Lead Officer.

### Timescale for implementation:

On-going.

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## Recommendation from 2016/17 audit

## Agreed management response

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### Fixed Asset Register

There is currently a £4,000 difference between the accounts and the underlying fixed asset register due to historic depreciation adjustment.

### Management update:

This is a historical adjustment that relates to 2012/13 when our Financial Systems changed over. We are unable to adjust the Fixed Asset Register without generating further transactions in the ledger. Therefore, we will ensure that the reconciling difference remains consistently at £4,000.

### Action owner:

Treasury and Capital Manager.

### Timescale for implementation:

Closed.

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# Audit adjustments

## Uncorrected and corrected misstatements

We are pleased to report that there were no uncorrected misstatements to the financial statements arising during our audit.

## Disclosure misstatements

In accordance with auditing standards we are required to highlight significant disclosure misstatements to allow the Partnership to evaluate the impact of these matters on the financial statements. There were no material/significant disclosure misstatements identified we wish to bring to your attention. Minor changes included:

- Minor disclosure amendments inline with recommended disclosures including narrative on going concern.

# Fees, independence, fraud arrangements

## External Audit Fee

Service	Fees £
External Auditor Remuneration	8,250
Pooled Costs	730
Contribution to Audit Scotland costs	520
Contribution to Performance Audit and Best Value	0
<b>2017-18 Fee</b>	<b>9,500</b>

The audit fee was calculated in accordance with guidance issued by Audit Scotland and agreed with Management.

The above fee has not changed and our final fee was £9,500.

## Fees for other services

Service	Fees £
We can confirm there are no non-audit fees for the 2017/18 financial year	Nil

## Independence and ethics

We confirm that there are no significant facts or matters that impact on our independence as auditors that we are required or wish to draw to your attention.

We have complied with the Auditing Practices Board's Ethical Standards and therefore we confirm that we are independent and are able to express an objective opinion on the financial statements.

We confirm that we have implemented policies and procedures to meet the requirements of the Auditing Practices Board's Ethical Standards.

We are required by auditing and ethical standards to communicate any relationships that may affect the independence and objectivity of the audit team.

We can confirm no independence concerns have been identified.

## Fraud arrangements

In assessing our audit risks, the audit team was alert to the possibility of fraud at SWestrans.

As part of our audit work we are responsible for:

- identifying and assessing the risks of material misstatement of the financial statements due to fraud in particular in relation to management override of controls.
- Communicated with those charged of governance (for SWestrans this is assumed to be the Board) on their view of fraud. We did this within our audit plan and in the form of management and those charged with governance questionnaires which were received in September 2018.
- designing and implementing appropriate audit testing to gain assurance over our assessed risks of fraud.
- responding appropriately to any fraud or suspected fraud identified during the audit. – None were identified in-year.

As auditors we obtain reasonable but not absolute assurance the financial statements as a whole are free from material misstatement, whether due to fraud or error.

We will obtain annual representation from management regarding managements assessment of fraud risk, including internal controls, and any known or suspected fraud or misstatement.

It is SWestrans responsibility to establish arrangements to prevent and detect fraud and other irregularity. This includes:

- developing, promoting and monitoring compliance with standing orders and financial instructions
- developing and implementing strategies to prevent and detect fraud and other irregularity
- receiving and investigating alleged breaches of proper standards of financial conduct or fraud and irregularity.

Throughout the audit we worked with SWestrans to review specific areas of fraud risk, including the operation of key financial controls.

We also examined certain policies in place, strategies, standing orders and financial instructions, as relevant to the fraud framework, to ensure that they provide a reasonable framework of internal control.

No suspected frauds or irregularities have been identified by Management and reported in-year.

# Communication of audit matters with the Partnership

Our communication plan	Audit Plan	Audit Findings
Respective responsibilities of auditor and management/those charged with governance who for SWestrans we deem to be the Treasurer	•	
Overview of the planned scope and timing of the audit, including planning assessment of audit risks and wider scope risks	•	
Confirmation of independence and objectivity <b>We are independent of the SWestrans and have not identified any conflicts of interest</b>	•	•
A statement that we have complied with relevant ethical requirements regarding independence. Relationships and other matters which might be thought to bear on independence. Details of non-audit work performed by Grant Thornton UK LLP and network firms, together with fees charged. Details of safeguards applied to threats to independence <b>We have not incurred any non-audit fees during the year and no threats to independence identified</b>	•	•
Significant matters in relation to going concern <b>No significant going concern matters identified</b>	•	•
Views about the qualitative aspects of the SWestrans accounting and financial reporting practices, including accounting policies, accounting estimates and financial statement disclosures <b>Set out in the Financial statements Section</b>		•
Significant findings from the audit <b>No significant findings from our audit</b>		•
Significant matters and issues arising during the audit and written representations that have been sought <b>Letter of representation will be shared and signed by the Board when signing the financial statements. This is our standard, unmodified letter of representation.</b>		•
Significant difficulties encountered during the audit <b>No difficulties encountered</b>		•
Significant deficiencies in internal control identified during the audit <b>None identified</b>		•
Significant matters arising in connection with related parties <b>None identified</b>		•
Identification or suspicion of fraud involving management and/or which results in material misstatement of the financial statements <b>None identified. A nil fraud return was submitted to Audit Scotland in April 2018 in accordance with the planning guidance.</b>		•
Non-compliance with laws and regulations <b>None noted</b>		•
Unadjusted misstatements and material disclosure omissions <b>None noted. Minor disclosure amendments only and these were not material in nature</b>		•
Expected modifications to the auditor's report, or emphasis of matter <b>None, an unqualified opinion</b>		•

International Standards on Auditing (UK) (ISA) 260, as well as other ISAs, prescribe matters which we are required to communicate with those charged with governance, and which we set out in the table above.

We communicate any adverse or unexpected findings affecting the audit on a timely basis, either informally or via a report to SWestrans' Management and the Partnership



Our Ref: AG/JEB/SWestrans

21 September 2018

Militia House  
English Street  
Dumfries  
DG1 2HR

Grant Thornton UK LLP  
110 Queen Street  
Glasgow  
G1 3BX

Dear Sirs

**South West of Scotland Transport Partnership (SWestrans)  
Financial Statements for the year ended 31 March 2018**

This representation letter is provided in connection with the audit of the financial statements of the South West of Scotland Transport Partnership (SWestrans) for the year ended 31 March 2018 for the purpose of expressing an opinion as to whether the Partnership financial statements give a true and fair view in accordance with International Financial Reporting Standards and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2017/18 and applicable law.

We confirm that to the best of our knowledge and belief having made such inquiries as we considered necessary for the purpose of appropriately informing ourselves:

**Financial Statements**

- i We have fulfilled our responsibilities for the preparation of the Partnership financial statements in accordance with International Financial Reporting Standards and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2017/18 ("the Code"); in particular the financial statements are fairly presented in accordance therewith.
- ii We have complied with the requirements of all statutory directions affecting the Partnership and these matters have been appropriately reflected and disclosed in the financial statements.
- iii The Partnership has complied with all aspects of contractual agreements that could have a material effect on the financial statements in the event of non-compliance. There has been no non-compliance with requirements of any regulatory authorities that could have a material effect on the financial statements in the event of non-compliance.

**South West of Scotland Transport Partnership**

- iv We acknowledge our responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud.
- v Significant assumptions used by us in making accounting estimates, including those measured at fair value, are reasonable.
- vi Except as disclosed in the financial statements:
  - a there are no unrecorded liabilities, actual or contingent
  - b none of the assets of the Partnership has been assigned, pledged or mortgaged
  - c there are no material prior year charges or credits, nor exceptional or non-recurring items requiring separate disclosure.
- vii Related party relationships and transactions have been appropriately accounted for and disclosed in accordance with the requirements of International Financial Reporting Standards and the Code.
- viii All events subsequent to the date of the Partnership's financial statements and for which International Financial Reporting Standards and the Code require adjustment or disclosure have been adjusted or disclosed.
- ix We have considered the adjusted misstatements, and misclassification and disclosures changes schedules included in your Audit Findings Report. The financial statements have been amended for these misstatements, misclassifications and disclosure changes and are free of material misstatements, including omissions.
- x The Partnership's financial statements are free of material misstatements, including omissions.
- xi Actual or possible litigation and claims have been accounted for and disclosed in accordance with the requirements of International Financial Reporting Standards.
- xii We have no plans or intentions that may materially alter the carrying value or classification of assets and liabilities reflected in the Partnership's financial statements.
- xiii We believe that the Partnership's financial statements should be prepared on a going concern basis on the grounds that current and future sources of funding or support will be more than adequate for the Partnership's needs. We are satisfied that the Partnership will continue to receive sufficient funding to enable to meet the Partnership's financial obligations.
- xiv We acknowledge that we have not included a remuneration report within the Partnership's financial statements and we are comfortable that we do not have to do so.

## **Information Provided**

- xv We have provided you with:
  - a. access to all information of which we are aware that is relevant to the preparation of the Partnership's financial statements such as records, documentation and other matters;
  - b. additional information that you have requested from us for the purpose of your audit; and
  - c. unrestricted access to persons within the Partnership from whom you determined it necessary to obtain audit evidence.
  
- xvi We have communicated to you all deficiencies in internal control of which management is aware.
  
- xvii All transactions have been recorded in the accounting records and are reflected in the financial statements.
  
- xviii We have disclosed to you the results of our assessment of the risk that the financial statements may be materially misstated as a result of fraud.
  
- xix We have disclosed to you all information in relation to fraud or suspected fraud that we are aware of and that affects the Partnership and involves:
  - a. management;
  - b. employees who have significant roles in internal control; or
  - c. others where the fraud could have a material effect on the financial statements.
  
- xx We have disclosed to you all information in relation to allegations of fraud, or suspected fraud, affecting the Partnership's financial statements communicated by employees, former employees, analysts, regulators or others.
  
- xxi We have disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing financial statements.
  
- xxii We have disclosed to you the identity of the Partnership's related parties and all the related party relationships and transactions of which we are aware.
  
- xxiii We have disclosed to you all known actual or possible litigation and claims whose effects should be considered when preparing the financial statements.

## **Annual Governance Statement**

- xxiv We are satisfied that the Annual Governance Statement (AGS) fairly reflects the Partnership's risk assurance and governance framework and we confirm that we are not aware of any significant risks that are not disclosed within the AGS.

## **Management Commentary**

- xxv The disclosures within the Management Commentary fairly reflect our understanding of the Partnership's financial and operating performance over the period covered by the financial statements

**Approval**

The approval of this letter of representation was minuted by the Partnership at its meeting on 21 September 2018.

Yours faithfully

Paul Garrett  
Treasurer  
21 September 2018

**Signed on behalf of the Partnership**





## ***Annual Accounts***



2017/2018

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## **Membership of the South West of Scotland Transport Partnership Board**

Andrew Wood (Chairman) (Dumfries and Galloway Council)  
David Bryson (Vice –Chairman) (NHS Dumfries and Galloway)  
Richard Brodie (Dumfries and Galloway Council)  
John Campbell (Dumfries and Galloway Council)  
Jim Dempster (Dumfries and Galloway Council) – until 19 March 2018  
Alistair McKinnon (Scottish Enterprise)  
David Stitt (Dumfries and Galloway Council)  
Adam Wilson (Dumfries and Galloway Council) – from 29 March 2018

The Council members have substitutes being:-

Ian Carruthers  
Archie Dryburgh  
Andrew Giusti  
Sean Marshall  
Ronnie Tait

## **Management Commentary**

### **Introduction**

The Management Commentary is intended to assist readers of the annual accounts through providing an insight into the activities and priorities of the organisation and also through providing an analysis of financial performance as reflected in the following statements.

The South West of Scotland Transport Partnership (SWestrans) was set up under the Transport (Scotland) Act 2005 and Dumfries and Galloway Council's public transport functions were transferred to the SWestrans under a Transfer of Functions Order on 7 November 2006.

The Financial Statements following this present the South West of Scotland Transport Partnership's (SWestrans) financial position for the year ended 31 March 2018. These statements have been prepared in accordance with proper accounting practice as set out in the CIPFA/ LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Code).

The purpose of these Accounts is to provide clear information about the Transport Partnership's financial position and this foreword is intended to give the reader an easily understandable guide to the most significant matters reported in the Accounts.

### **Activities during 2017/18**

The South West of Scotland Transport Partnership continued to balance service provision through its revenue budget, and service development through capital budgets during 2017/18. The Partnership's officers and Board members have continued to participate in the development of local, regional and national initiatives including the review of the National Transport Strategy and the Borders Transport Corridor Appraisal.

There was no Board meeting held in May 2017 due to the local government elections. Dumfries and Galloway Council at its first full meeting following these elections confirmed that the five Councillor Board members for SWestrans were Andrew Wood, John Campbell, James Dempster, David Stitt and Richard Brodie. These Councillor Boards members joined the two existing external Board members from NHS Dumfries and Galloway (David Bryson) and Scottish Enterprise (Alistair McKinnon) with the Board meeting for the first time on 30 June 2017. Andrew Wood was elected as Chairman with David Bryson continuing as Vice -Chairman. Jim Dempster resigned from the Board on the 19 March 2018. Adam Wilson was nominated by Dumfries and Galloway Council as Board Member with effect from 29 March 2018

## Management Commentary (continued)

April 2017 saw the successful implementation of significant changes to the SWestrans supported services on the local bus network covering Dumfries Town and all bus services in the Stewartry and Wigtown areas of the region. These changes delivered the twenty-five local bus contracts, totalling some £2.434M, that were awarded by the Board in January 2017. These contracts retained the majority of the journeys on the network with some change in times and operator. The changes were delivered smoothly with very little negative impact or comment from the travelling public.

The issues created by parking at Lockerbie Station continues to be an area which SWestrans is focussed on addressing through an element of its capital programme spend. The planned provision of a further 25 spaces through re-configuration of the existing car park at the Station continued to be developed during the year with Board being advised that the estimated cost of this provision had risen to some £0.5 Million. SWestrans was approached by three private landowners during 2016/17 regarding further proposals to create parking availability close to the railway station. The Board agreed at its meeting in June 2017 not to progress two of these offers but to continue to develop options on the site at Sydney Place.

Work continues on the potential development of new rail stations for Dumfries and Galloway. The outcomes of the three STAG 1 Appraisals for the Thornhill, Eastriggs and Beattock areas were reported to the Board at its June 2017 and September 2017 meetings. The Board agreed to progress all three of these areas through the next stage of the appraisal process, STAG 2. The outputs from STAG 2 are expected to be complete in mid-2018 and will be reported to the first meeting following their completion.

SWestrans continues to be a key partner in the development and delivery of the Social Transport Public Social Partnership (PSP) which is seeking to improve the design of transport services delivered on behalf of the regions transport commissioners (SWestrans, Dumfries and Galloway Council, NHS Dumfries and Galloway) and to develop the capacity of the social/community transport sector. This will be achieved by working in partnership to maximise the benefits to the community. The PSP is a multi-agency partnership between Dumfries and Galloway Council, SWestrans, NHS Dumfries and Galloway, Community Transport operators and the Third Sector, Dumfries and Galloway.

The PSP will engage with third sector organisations to work within the PSP around three work streams:

- Transport Service Developments.
- Health and Social Care Transport Solutions.
- Capability and capacity building.

SWestrans continued its programme of bus shelter replacement and improvement during 2017/18, with new and valued improvements in a number of locations. There continues to be considerable demand across the region for new infrastructure, and the programme will continue as a key element of SWestrans' Capital Programme going forward.

A number of other initiatives have been developed utilising SWestrans funding during 2017/18 including:

- the purchase of fully accessible buses and their subsequent leasing to local bus companies operating on contracted journeys; and
- progression of walking and cycling infrastructure linking communities.

In its wider strategy and policy role SWestrans continues to lobby and respond to a significant number of consultations across all transport modes and on a wide range of other issues at national and local level. These included responses to consultations on, 'Places, People, Planning', Socio-Economic Duty, Climate Change Bill, Free Bus Travel, Local Bus Services, Smart Ticketing and Low Emission Zones. SWestrans also submitted its 2016-17 Climate Change Duties Report in the required reporting format to the Sustainable Scotland Network.

## Comprehensive Income & Expenditure Statement

SWestrans' Comprehensive Income & Expenditure Statement for the year ended 31 March 2018 is shown on page 9 of these accounts. Income received totalled £4.478Million with Scottish Government grants and requisitions from Dumfries & Galloway Council being the main contributors to this total.

## Management Commentary (continued)

SWestrans' financial results for the year, compared against budget are shown below. This presentation differs from that shown in the Comprehensive Income & Expenditure Statement, which is a more summarised version.

### Budget Performance Statement

	2016/17		2017/18	
	Budget £000	Actual £000	Budget £000	Actual £000
Staff costs	80	80	106	106
Property costs	0	0	0	0
Supplies & services	1	1	1	1
Transport costs	7	7	18	18
Administrative costs	31	31	25	25
Payments to other bodies	4,224	4,224	4,282	4,282
Central Support costs	46	46	45	45
Capital charges	309	309	332	332
<b>Gross Expenditure</b>	<b>4,698</b>	<b>4,698</b>	<b>4,809</b>	<b>4,809</b>
Government Grants	359	359	259	259
Other income	4,339	4,339	4,550	4,550
<b>Gross Income</b>	<b>4,698</b>	<b>4,698</b>	<b>4,809</b>	<b>4,809</b>
<b>Net Expenditure</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

SWestrans achieved a breakeven position for the financial year. The major item of expenditure which created the main budget pressure was the subsidies in respect of the local bus network, which totalled £4.3 Million. However, through tight spending controls and active budget management, SWestrans achieved a breakeven position.

SWestrans is not allowed to retain any General Fund balances at the year-end so it cannot show a surplus. If SWestrans is in deficit then it can requisition the shortfall from Dumfries & Galloway Council. Therefore, income and expenditure will always net to zero, excluding accounting entry requirements, and the budget has been set to take account of this requirement.

### Balance Sheet

SWestrans' Balance Sheet is shown on page 11 of the accounts and provides details of SWestrans' assets and liabilities as at 31 March 2018.

### Cash Flow Statement

The Cash Flow Statement is shown on page 12 of the accounts and shows the changes in the cash & cash equivalents of the Partnership during the course of the year.

**Andrew Wood**  
Chairman

**Douglas Kirkpatrick**  
Lead Officer

**Paul Garrett**  
Treasurer

## **Statement of Responsibilities for the Statement of Accounts**

### **The Transport Partnership's Responsibilities**

The Transport Partnership is required:

- to make arrangements for the proper administration of its financial affairs and to ensure that one of its officers has the responsibility for the administration of those affairs. In this Transport Partnership, that officer in the year to 31 March 2018 was the Treasurer (who was also the Section 95 Officer of Dumfries & Galloway Council);
- to manage its affairs, to secure economic, efficient and effective use of resources and safeguard its assets;
- to approve the Statement of Accounts.

### **The Treasurer's Responsibilities**

The Treasurer is responsible for the preparation of the Transport Partnership's statement of accounts in accordance with proper practices as set out in the CIPFA/ LASAAC *Code of Practice on Local Authority Accounting in the United Kingdom* (the Code).

In preparing this statement of accounts, the Treasurer has:

- selected suitable accounting policies and applied them consistently;
- made judgements and estimates that were reasonable and prudent;
- complied with the local authority Code.

The Treasurer has also:

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

The Statement of Accounts provides a 'true and fair view' of the financial position of the Partnership at the accounting date and its income and expenditure for the year ended 31 March 2018.

**Paul Garrett**  
**Treasurer**

## **Annual Governance Statement**

1. This statement is given in respect of the statement of accounts of the South West of Scotland Transport Partnership. I acknowledge my responsibility for ensuring that an effective system of internal financial control is maintained and operated in connection with the resources concerned.
2. The system of internal financial control can provide only reasonable and not absolute assurance that transactions are authorised and properly recorded, and that material errors or irregularities are either prevented or would be detected within a timely period.
3. The system of internal financial control is based on a framework of regular management information, financial regulations, administrative procedures (including the segregation of duties), management supervision and a system of delegation and accountability. Development and maintenance of the system is undertaken by the Board of the Transport Partnership. The system currently includes regular financial reports to the Board and management.
4. The Transport Partnership currently uses the financial systems and resources of Dumfries & Galloway Council. The Internal Audit section of Dumfries & Galloway Council has reviewed these systems and has determined that reasonable assurance can be placed upon the adequacy and effectiveness of the systems.
5. My review of the effectiveness of the system has been informed by the work of managers in the Transport Partnership, the work of Internal Audit and reviews by External Audit.
6. In my opinion, based on the above information, reasonable assurance can be placed upon the adequacy and effectiveness of the Transport Partnership's internal financial control system in the year to 31 March 2018.
7. The Transport Partnership's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010).

**Paul Garrett**  
Treasurer

## **Independent auditor's report to the members of the South West of Scotland Transport Partnership and the Accounts Commission**

This report is made solely to the parties to whom it is addressed in accordance with Part VII of the Local Government (Scotland) Act 1973 and for no other purpose. In accordance with paragraph 120 of the Code of Audit Practice approved by the Accounts Commission, we do not undertake to have responsibilities to members or officers, in their individual capacities, or to third parties.

### **Report on the audit of the financial statements**

#### **Opinion on financial statements**

We certify that we have audited the financial statements in the annual accounts of the South West of Scotland Transport Partnership for the year ended 31 March 2018 under Part VII of the Local Government (Scotland) Act 1973. The financial statements comprise the Comprehensive Income and Expenditure Statement, Movement in Reserves Statement, Balance Sheet, Cash Flow Statement and notes to the accounts, including a summary of significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRSs) as adopted by the European Union, and as interpreted and adapted by the Code of Practice on Local Authority Accounting in the United Kingdom 2017/18 (the 2017/18 Code).

In our opinion the accompanying financial statements:

- give a true and fair view in accordance with applicable law and the 2017/18 Code of the state of affairs of Swestrans as at 31 March 2018 and of its income and expenditure for the year then ended;
- have been properly prepared in accordance with IFRSs as adopted by the European Union, as interpreted and adapted by the 2017/18 Code; and
- have been prepared in accordance with the requirements of the Local Government (Scotland) Act 1973, The Local Authority Accounts (Scotland) Regulations 2014, and the Local Government in Scotland Act 2003.

#### **Basis for opinion**

We conducted our audit in accordance with applicable law and International Standards on Auditing (UK) (ISAs (UK)). Our responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of our report. We are independent of the body in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and we have fulfilled our other ethical responsibilities in accordance with these requirements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

#### **Conclusions relating to going concern basis of accounting**

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Treasurer has not disclosed in the financial statements any identified material uncertainties that



may cast significant doubt about the body's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

### **Responsibilities of the Treasurer and board for the financial statements**

As explained more fully in the Statement of Responsibilities, the Treasurer is responsible for the preparation of financial statements that give a true and fair view in accordance with the financial reporting framework, and for such internal control as the Treasurer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Treasurer is responsible for assessing the partnerships ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

The board is responsible for overseeing the financial reporting process.

### **Auditor's responsibilities for the audit of the financial statements**

Our objectives are to achieve reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of the auditor's responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of our auditor's report.

### **Other information in the annual accounts**

The Treasurer is responsible for the other information in the annual accounts. The other information comprises the information other than the financial statements, and our auditor's report thereon. Our opinion on the financial statements does not cover the other information and we do not express any form of assurance conclusion thereon except on matters prescribed by the Accounts Commission to the extent explicitly stated later in this report.

In connection with our audit of the financial statements, our responsibility is to read all the other information in the annual accounts and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of this other information, we are required to report that fact. We have nothing to report in this regard.

## **Report on other requirements**

### **Opinions on matters prescribed by the Accounts Commission**

In our opinion, based on the work undertaken in the course of the audit

- the information given in the Management Commentary for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with statutory guidance issued under the Local Government in Scotland Act 2003; and
- the information given in the Annual Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and that report has been prepared in accordance with the Delivering Good Governance in Local Government: Framework (2016).

### **Matters on which we are required to report by exception**

We are required by the Accounts Commission to report to you if, in our opinion:

- adequate accounting records have not been kept; or
- the financial statements are not in agreement with the accounting records; or
- we have not received all the information and explanations we require for our audit; or
- there has been a failure to achieve a prescribed financial objective.

We have nothing to report in respect of these matters.

Joanne Brown, for and on behalf of Grant Thornton UK LLP

110 Queen Street

Glasgow

G1 3BX

21 September 2018

## Comprehensive Income & Expenditure Statement

This statement shows the accounting costs in the year of providing services in accordance with generally accepted accounting practices.

2016/17				2017/18		
Gross Expenditure £000	Income £000	Net Expenditure £000		Gross Expenditure £000	Income £000	Net Expenditure £000
4,698	(4,389)	309	Roads and Transport Services	4,810	(4,478)	332
<b>4,698</b>	<b>(4,389)</b>	<b>309</b>	<b>Net Cost of Services</b>	<b>4,810</b>	<b>(4,478)</b>	<b>332</b>
		(0)	Taxation & Non Specific Grant Income capital grants & contributions			(347)
		<b>309</b>	<b>(Surplus) or Deficit on the Provision of Services</b>			<b>(15)</b>
		<b>0</b>	<b>Other Comprehensive Income &amp; Expenditure</b>			<b>0</b>
		<b>309</b>	<b>Total Comprehensive Income &amp; Expenditure</b>			<b>(15)</b>

## Movement in Reserves Statement

This statement shows the movement in the year on the different reserves held by the Transport Partnership, analysed into usable reserves – i.e. 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 Transport 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.

	Usable Reserves	Unusable Reserves			Total Reserves
	General Fund Balance £000	Capital Adjustment Account £000	Revaluation Reserve £000	Total Unusable Reserves £000	£000
<b>Balance at 31 March 2016</b>	<b>0</b>	<b>(2,083)</b>	<b>(25)</b>	<b>(2,108)</b>	<b>(2,108)</b>
<b>Movements in Reserves during 2016/17</b>					
(Surplus) or Deficit on provision of services	309	0	0	0	309
<b>Total Comprehensive Income &amp; Expenditure</b>	<b>309</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>309</b>
Adjustments between accounting basis & funding basis under regulations					
- charges for depreciation of non-current assets	(309)	309	0	309	0
- capital grants & contributions applied	0	0	0	0	0
	<b>0</b>	<b>309</b>	<b>0</b>	<b>309</b>	<b>0</b>
<b>Overall decrease in year</b>	<b>0</b>	<b>309</b>	<b>0</b>	<b>309</b>	<b>309</b>
<b>Balance at 31 March 2017 carried forward</b>	<b>0</b>	<b>(1,774)</b>	<b>(25)</b>	<b>(1,799)</b>	<b>(1,799)</b>
<b>Movements in Reserves during 2017/18</b>					
(Surplus) or Deficit on provision of services	(15)	0	0	0	(15)
<b>Total Comprehensive Income &amp; Expenditure</b>	<b>(15)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(15)</b>
Adjustments between accounting basis & funding basis under regulations					
- charges for depreciation of non-current assets	(332)	332	0	332	0
- capital grants & contributions applied	347	(347)	0	(347)	0
	<b>15</b>	<b>(15)</b>	<b>0</b>	<b>(15)</b>	<b>(0)</b>
<b>Overall Increase in year</b>	<b>0</b>	<b>(15)</b>	<b>0</b>	<b>(15)</b>	<b>(15)</b>
<b>Balance at 31 March 2018 carried forward</b>	<b>0</b>	<b>(1,789)</b>	<b>(25)</b>	<b>(1,814)</b>	<b>(1,814)</b>

## 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 reserves held by the Partnership. Reserves are reported in two categories. The first category of reserves are usable reserves which can be used to help fund services. The second category of reserves is those that the Partnership is not able to use to provide services. This category of reserves includes those that hold unrealised gains and losses where the amounts would only become available to provide services if the assets were sold, and reserves that hold timing differences shown in the Movement in Reserves Statement line “adjustments between the accounting basis and funding basis under regulations”.

<b>31 March 2017 £000</b>		<b>31 March 2018 £000</b>	<b>Note</b>
1,799	Property, Plant & Equipment	1,814	7
<b>1,799</b>	<b>Long Term Assets</b>	<b>1,814</b>	
	Short Term Debtors		
18	- Central Government bodies	37	
181	- Other entities & individuals	173	
<b>199</b>	<b>Current Assets</b>	<b>210</b>	
	Short Term Creditors		
(199)	- Other entities & individuals	(210)	
<b>(199)</b>	<b>Current Liabilities</b>	<b>(210)</b>	
<b>1,799</b>	<b>Net Assets</b>	<b>1,814</b>	
1,799	Unusable Reserves	1,814	9
<b>1,799</b>	<b>Total Reserves</b>	<b>1,814</b>	

The Audited Accounts were issued on 21 September 2018.

**Paul Garrett**  
Treasurer

## Cash Flow Statement

The Cash Flow Statement shows the changes in cash and cash equivalents of the Transport Partnership during the reporting period. The amount of net cash flows arising from operating activities is a key indicator of the extent to which the operations of the Transport Partnership are funded by way of grant income or from recipients of services provided by the Transport Partnership.

<b>2016/17</b> <b>£000</b>		<b>2017/18</b> <b>£000</b>
309	Net (surplus) or deficit on the provision of services	(15)
(309)	Adjustment to net (surplus) on the provision of services for non-cash movements	(332)
<b>0</b>	<b>Net cash flow from or used in operating activities</b>	<b>(347)</b>
	Investing activities	
0	- Purchase of property, plant & equipment	347
<b>0</b>	<b>Net (increase) or decrease in cash and cash equivalents</b>	<b>0</b>
0	Cash and cash equivalents at the beginning of the period	0
<b>0</b>	<b>Cash and cash equivalents at the end of the reporting period</b>	<b>0</b>

## Notes to the Accounts

### 1. Summary of Significant Accounting Policies

#### a) General Principles

The Annual Accounts summarise the Partnership's transactions for the 2017/18 financial year and its position at the year end of 31 March 2018. The Partnership is required to prepare Annual Accounts by the Local Authority Accounts (Scotland) Regulations 2014, which sets out that they require to be prepared in accordance with proper accounting practice. These practices are the Code of Practice on Local Authority Accounting in the United Kingdom 2017/18 (the Code), supported by International Financial Reporting Standards (IFRS). They are designed to provide a 'true and fair view' of the financial performance and position of the Council.

The accounts are prepared on a going concern basis. The accounting convention adopted in the Annual Accounts is principally historic cost, modified by the revaluation of certain categories of non-current assets and financial instruments.

#### b) Accruals of Income & Expenditure

Activity is accounted for in the year it takes place, not simply when cash payments are made or received. In particular:

- suppliers' invoices paid in the two weeks following the year-end have been analysed and included together with specific accruals in respect of further material items provided the goods and services were received in 2017/18,
- all known specific and material sums payable to the Partnership have been included. Revenue for the sale of goods or the provision of services is recognised when it is determined that the service has been provided,
- supplies are recorded as expenditure when they are consumed. When there is a gap between the date supplies are received and their consumption, they are carried as inventories on the Balance Sheet,
- where income and expenditure has been recognised but cash has not been received or paid, a debtor or creditor for the relevant amount is recorded in the Balance Sheet. Where it is doubtful that debts will be settled, the balance of debtors is written down and a charge is made to revenue for the income which will not be collected.

#### c) Cash & Cash Equivalents

Cash is represented by cash in hand and deposits with financial institutions repayable without penalty on notice of not more than 24 hours. Cash equivalents are investments that mature in three months or less from the date of acquisition and that are readily convertible to known amounts of cash with an insignificant risk of changes in value.

#### d) Changes in Accounting Policies and Prior Period Adjustments

Changes in accounting policies are only made when required by proper accounting practice or the change provides more reliable or relevant information about the effects of transactions, other events and conditions on the Partnership's financial position or financial performance. Where a change is made it is applied retrospectively (unless otherwise stated) by adjusting opening balances and comparative amounts for the prior periods as if the new policy had always been applied.

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

#### e) Charges to Revenue for Non-Current Assets

The Partnership is charged with the following amounts to record the real cost of holding non-current assets during the year:

- depreciation attributable to the assets used by the Partnership,
- revaluation and impairment losses on assets used by the Partnership where there are no accumulated gains in the Revaluation Reserve against which the losses can be written off.

## Notes to the Accounts (continued)

### f) Events After the Balance Sheet Date

Events after the Balance Sheet date are those events which occur between the end of the reporting period and the date when the Statement of Accounts is authorised for issue. The Statement of Accounts is adjusted for events which provide evidence of conditions that existed at the end of the reporting period. The Statement of Accounts is not adjusted for events which are indicative of conditions which arose after the end of the reporting period. However, where such events would have a material effect, a disclosure is made in the Notes to the Accounts of the nature of the event and the estimated financial effect.

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

### g) Exceptional Items

When items of income and expenditure are material, their nature and amount is disclosed separately either on the face of the Comprehensive Income and Expenditure Statement or in the Notes to the Accounts, depending on how significant the items are to an understanding of the Partnership's financial performance.

### h) Grants & Contributions

Whether paid on account, by instalments or in arrears, government grants and third party contributions & donations are recognised as due to the Partnership when there is a reasonable assurance that:

- the Partnership will comply with the conditions attached to the payments, and
- the grants or contributions will be received.

Monies advanced as grants and contributions for which conditions have not been satisfied are carried in the Balance Sheet as grants in advance. Where conditions are satisfied, the grant or contribution is credited to the relevant service line (revenue grants) or Taxation & Non Specific Grant Income (capital grants) in the Comprehensive Income & Expenditure Statement.

Where capital grants are credited to the Comprehensive Income & Expenditure Statement, they are reversed out of the General Fund balance in the Movement in Reserves Statement. Where the grant has yet to be used to finance capital expenditure, it is posted to the Capital Grants Unapplied Account. Amounts in the Capital Grant Unapplied Account are transferred to the Capital Adjustment Account once they have been applied.

### i) Leases

Leases are classified as finance leases where the terms of the lease transfer substantially all the risks and rewards incidental to ownership of the asset from the lessor to the lessee. All other leases are classified as operating leases.

#### The Partnership as Lessor

##### *Operating leases*

The Partnership has entered into leases relating to the operational use of vehicles, which are accounted for as operating leases. Where the Partnership grants an operating lease over a vehicle the asset is retained on the Balance Sheet.

### j) Overheads and Support Services

The costs of Central Support departments, such as Financial Services, Legal Services and accommodation, are procured from Dumfries & Galloway Council. The cost of these is based on services provided to SWestrans during the year.

### k) Property, Plant & Equipment

Assets which have a physical substance and are held for use in the provision of services, for rental to others or for administrative purposes and that are expected to be used during more than one financial year are classified as Property, Plant & Equipment.



## Notes to the Accounts (continued)

### Recognition

Expenditure on the acquisition, creation or enhancement of Property, Plant & Equipment is capitalised on an accruals basis, provided that it is probable that the future economic benefits associated with the asset will flow to the Partnership and the cost of the item can be reliably measured. Expenditure that does not add to an asset's potential to deliver future economic benefits or service potential is charged as an expense when it is incurred.

### Measurement

Assets are carried on the Balance Sheet at fair value, determined as the amount that would be paid for the assets in its existing use.

### Revaluation

All assets are formally revalued at least once every five years and the revised amount is then included in the Balance Sheet. Increases in valuations are matched by credits to the Revaluation Reserve to recognise unrealised gains. Where decreases in the value are identified these are accounted for by:

- writing down any balances on the Revaluation Reserve for that asset up to the accumulated gain,
- where there is no or insufficient balance on the Revaluation Reserve, the loss is charged against the relevant service line in the Comprehensive Income & Expenditure Statement.

### Impairment

Assets are reviewed at each year end as to whether there is an indication that an asset may be impaired. Where indications exist, the recoverable amount of the asset is estimated and where this is less than the carrying amount, an impairment loss is recognised. Impairment losses are accounted for by:

- writing down any balances on the Revaluation Reserve for that asset up to the accumulated gain,
- where there is no or insufficient balance on the Revaluation Reserve, the impairment loss is charged against the relevant service line in the Comprehensive Income & Expenditure Statement.

### Depreciation

Depreciation is provided on all Property, Plant & Equipment, on a straight line basis over the expected life of the asset. Where an item of Property, Plant & Equipment has major components whose lives are different and whose costs are significant in relation to the total cost of the item, the components are depreciated separately.

Revaluation gains are also depreciated, with an amount equal to the difference between current value depreciation charged on assets and the depreciation that would have been chargeable on their historical cost being transferred each year from the Revaluation Reserve to the Capital Adjustment Account.

## **I) Reserves**

Reserves are categorised under accounting regulations into two broad categories:

- usable reserves, which are available to support services,
- unusable reserves, which are required to facilitate accounting requirements.

SWestrans is statutorily unable to hold balances on its usable reserves at the year end.

## **m) VAT**

Income and expenditure excludes any amounts related to VAT, as all VAT collected is payable to HM Revenues & Customs (HMRC) and all VAT paid is recoverable from it.

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## **2. Remuneration Report**

SWestrans does not employ any staff; therefore, a Remuneration Report is not required for 2017/18.

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## Notes to the Accounts (continued)

### 3. Accounting Standards Issued & Not Yet Adopted

The Partnership must disclose information relating to the impact of an accounting change that will be required by a new Accounting Standard that has been issued but not yet adopted. Currently this includes; IFRS 9 Financial Instruments (effective 1 January 2018), IFRS 15 Revenue from Contracts with Customers (effective 1 January 2018) and IFRS 16 Leases (effective 1 January 2019 although not yet endorsed). Further work will be progressed to establish the impact of these changes. However, it is not anticipated that these standards will have a material impact on these Annual Accounts.

### 4. Critical Judgements in Applying Accounting Policies

In applying the Accounting Policies 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 Statement of Accounts are:

- all leases involving the Partnership as lessor have been reviewed and it has been determined that the Partnership is not party to any finance leases.

### 5. Assumptions Made About the Future and Other Major Sources of Estimation Uncertainty

The Statement of Accounts contains estimated figures that are based on assumptions made by the Partnership about the future or 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.

There were no items in the Balance Sheet at 31 March 2018 for which there is a significant risk of material adjustment in the forthcoming financial year.

### 6. Events After the Balance Sheet Date

The audited Statement of Accounts were issued by the Treasurer on 21 September 2018. Events taking place after this date are not reflected in the financial statements or notes. There have been no material or non-material events since the date of the Balance Sheet, which have required the figures in the financial statements and notes to be adjusted.

### 7. Property, Plant & Equipment

The following table contains details on the movements on the Property, Plant & Equipment assets contained in the Balance Sheet.

	2016/17 Vehicles £000	2017/18 Vehicles £000
<b>Cost or Valuation</b>		
<b>At 1 April</b>	3,128	3,128
Additions	0	347
<b>At 31 March</b>	<b>3,128</b>	<b>3,475</b>
<b>Accumulated Depreciation at 1 April</b>	<b>(1,020)</b>	<b>(1,329)</b>
Charge for year	(309)	(332)
<b>Accumulated Depreciation at 31 March</b>	<b>(1,329)</b>	<b>(1,661)</b>
<b>Net Book Value at 31 March</b>	<b>1,799</b>	<b>1,814</b>

## Notes to the Accounts (continued)

### Depreciation

Depreciation has been provided for on non-current assets with a finite useful life, which can be determined at the time of acquisition or revaluation. The depreciation methods and useful lives used within each category of non-current assets have been determined on an individual asset basis in line with the Royal Institute of Chartered Surveyors (RICS) recommended practice. Vehicles are depreciated on a straight-line basis over up to 12 years.

### 8. Usable Reserves

Movements in the Transport Partnership's usable reserves are detailed in the Movement in Reserves Statement, the Partnership do not hold any usable reserves.

### 9. Unusable Reserves

#### 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 & Expenditure Statement. The Account is credited with the amounts set aside by the Partnership as finance for the costs of acquisition, construction and enhancement.

	2016/17 £000	2017/18 £000
<b>Balance at 1 April</b>	<b>(2,083)</b>	<b>(1,774)</b>
Depreciation of non-current assets	309	332
Capital grants & contributions credited to the Comprehensive Income & Expenditure Statement	(0)	(347)
<b>Balance at 31 March</b>	<b>(1,774)</b>	<b>(1,789)</b>

#### Revaluation Reserve

The Revaluation Reserve contains the gains made by the Council arising from increases in the value of its Property, Plant & Equipment. The balance is reduced when assets with accumulated gains are:

- revalued downwards or impaired and the gains are lost,
- used in the provision of services and the gains are consumed through depreciation,
- disposed of and the gains are realised.

	2016/17 £000	2017/18 £000
<b>Balance at 1 April</b>	<b>(25)</b>	<b>(25)</b>
<b>Balance at 31 March</b>	<b>(25)</b>	<b>(25)</b>

### 10. Payments to Members

No payments were made to Members of the SWestrans Board during 2017/18 or 2016/17.

## Notes to the Accounts (continued)

### 11. Audit Fees

The external audit fee payable for 2017/18 was £9,500 (£9,370 in 2016/17).

### 12. Grant Income

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

	2016/17 £000	2017/18 £000
<b>Credited to Taxation and Non Specific Grant Income</b>		
Capital grants & contributions	(0)	(347)
<b>Total</b>	<b>(0)</b>	<b>(347)</b>
<b>Credited to Services</b>		
Scottish Government grants	(259)	(259)
Dumfries & Galloway Council service funding	(3,573)	(3,618)
<b>Total</b>	<b>(3,832)</b>	<b>(3,877)</b>

### 13. Related Parties

The Transport Partnership is required to disclose material transactions with related bodies – bodies or individuals that have the potential to control or influence the Transport Partnership or to be controlled and influenced by the Transport Partnership.

#### Central Government

Central Government is responsible for providing the statutory framework, within which the Transport Partnership operates, provides some of its funding in the form of grants and prescribes the terms of many of the transactions that the Transport Partnership has with other parties. Details of Central Government Grants received are contained in Note 12 (grant income).

#### Other Public Bodies

Dumfries & Galloway Council is responsible for providing the funding for the day-to-day operation of the Transport Partnership under the Transport (Scotland) Act 2005. In 2017/18, the Council provided £100k (£100k in 2016/17) as match funding to a Scottish Government grant for core running costs, a capital grant of £117K (nil 2016/17) and a further £3.401 Million (£3.473 Million in 2016/17) was requisitioned by the Transport Partnership to cover the operating costs for 2017/18. SWestrans does not employ its own staff and during 2017/18 Dumfries & Galloway Council charged SWestrans £167k (£152k in 2016/17) in respect of staff support, supplies and other support services.

### 14. Leases

#### Partnership as Lessor

SWestrans purchased 3 buses in 2017/18 (No buses in 2016/17) and the buses are leased to private bus operators as part of specific route tenders. No income is received from these operating leases.

## THE GENDER REPRESENTATION ON PUBLIC BOARDS (SCOTLAND) ACT 2018 - UPDATE

### 1. Reason for Report

At the request of the Chairman, this report advises the Board of a response received from Dumfries and Galloway Council, in reply to a letter sent following the Board's decision in November 2017.

### 2. Background

2.1 Prior to the Local Government Election in May 2017, SWestrans requested that the Council when nominating Councillors to the Board give consideration to gender balance. As guidance had been issued by the Scottish Government to Board Members of Public Bodies which outlined a clear aim of achieving a 50:50 gender balance on all public body Boards by 2020.

2.2 Further, at the meeting of 10 November 2017, the Board agreed that the Chairman write to the Chief Executive of Dumfries and Galloway Council, regarding the requirement of the Public Boards (Scotland) Bill in that a policy approach may be helpful for the Council to assist in achieving a more gender representative SWestrans Board.

2.3 The Gender Representation on Public Boards (Scotland) Act 2018 received royal assent on 9 March 2018. The "gender representation objective" for a public board is that it has 50% of non-executive members who are women.

2.4 Schedule 1 of the act lists the public authorities that are introduced by section 2 (key definitions) of the act. This includes a Regional Transport Partnership (RTP) created under section 1(1) of the Transport (Scotland) Act 2005 which would include SWestrans. Excluded positions in Schedule 1 for RTPs include councillor members, members appointed only by virtue of being nominated for membership by a health board and a member appointed only by virtue of being nominated by Scottish Enterprise. In terms of the act "non-executive member" in relation to a public authority means a position on its public board that is not an excluded position, or that not held by an employee of the authority.

2.5 Recognising that all positions on the SWestrans Board were excluded under the terms of the act, on 17 April 2018 the Board agreed that the aim to have a 50:50 gender representative board remained an objective recognising that would be likely be fulfilled over time.

### 3. Key Points

3.1 In response to the letter sent by the Chairman in December 2017, an e-mail was received on 19 July 2018 from the Democratic Services Manager at Dumfries and Galloway Council as follows:

"As the SWestrans Board acknowledge the legislation in question, The Gender Representation on Public Boards (Scotland) Act 2018 contains an exemption for

Councillor members of Regional Transport partnerships so currently there is no legal requirement to achieve a 50-50 split. However, I recognise that the SWestrans Board have an aspiration to move towards a 50-50 gender balance over a period of time on a voluntary basis and would be happy to support the Board in their endeavours.

Councillor appointments to the SWestrans Board are made by the Full Council who, in turn, receive the nominations from the Political Groups which make up the Council. It would therefore be appropriate for you as Chair to raise the matter with the Political Group Leaders in order that their respective Groups can consider how they would wish to respond to the Board's ambitions. I would hope that a consensus on the way forward can be achieved and, where appropriate, am happy that Officers in Democratic Services can be involved in discussions on how to give effect to any agreement on the way forward."

3.2 The Board is asked to note and consider this response.

#### 4. Consultations

This is a procedural report and the Lead Officer is in agreement with its terms.

5. Implications	
<b>Financial</b>	No financial implications from this report
<b>Policy</b>	Policy implications will be monitored, reported and addressed where possible as they develop
<b>Equalities</b>	A gender balanced Board is an important aspiration of both SWestrans and the Scottish Government
<b>Climate Change</b>	No climate change implications from this report
<b>Risk Management</b>	Board representation relates to two known risks: R02 – Public Image R03 – Strategic Direction

#### 6. Recommendation

Members of the Board are asked to note and consider the response from Dumfries and Galloway Council as detailed at paragraph 3.1.

Report Author: Claire Rogerson Tel: 01387 260024	Approved by: Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
Date of Report: 13 September 2018 File Ref:	

## DEMENTIA FRIENDLY COMMUNITIES

### 1. Reason for Report

1.1 To provide the Board with an understanding of the work being undertaken on the Dementia Friendly Communities Project (DFC). The project was a partnership initiative including Alzheimer Scotland, NHS Dumfries and Galloway, Dumfries and Galloway Council (DGC) and the local User and Carer Involvement Group (UCI).

1.2 To seek the Board's agreement to receiving a future presentation from Alzheimer Scotland to discuss their recent works on Dementia Friendly Communities.

### 2. Background

2.1 Working with partners (Alzheimer Scotland, DGC, NHS & UCI) a proposal was submitted for Life Changes Fund money and that was successful in getting funding for 3 years to fund the DFC project. The **Appendix** outlines the work of the project over the last 3 years and how it has included people with dementia and their families/carers as well as the wider community across the region. There was good participation from a number of businesses and schools and there has been significant training to highlight dementia to as many people as possible.

2.2 Whilst the project itself is concluded, the work continues and has been embedded in the fabric of Dumfries and Galloway and will continue to provide support for people with dementia and their family and carers.

### 3. Discussion

3.1 Dumfries and Galloway Council's Social Work Services Committee at its meeting on 28 August 2018 received a report on the DFC Project.

3.2 The SWestrans Chairman offered Alzheimer Scotland the opportunity to present and discuss their recent works with the SWestrans Board. The Board are asked to agree that an invite to a future Board meeting be sent to Alzheimer Scotland to discuss their recent works on Dementia Friendly Communities.

### 4. Implications

<b>Financial</b>	No financial implications from this report
<b>Policy</b>	Policy implications will be monitored, reported and addressed where possible as they develop
<b>Equalities</b>	Raised awareness for the support required for people with dementia and their family and carers
<b>Climate Change</b>	No climate change implications from this report
<b>Risk Management</b>	No risk management implications from this report

### 5. Recommendations

Members of the Board are asked to:

5.1 note the final evaluation report on the Dementia Friendly Communities as shown in the Appendix; and

5.2 agree that an invite to a future Board meeting be sent to Alzheimer Scotland to discuss their recent works on Dementia Friendly Communities.

Report Author – Douglas Kirkpatrick Tel: 01387 260136	Approved by: Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
Date of Report: 31 August 2018 File Ref: SW2/Meetings/2018	

**Appendix** - Final Summary Report, Dementia Friendly Communities Dumfries and Galloway 2015-2018





## Final Summary Report

### Dementia Friendly Communities Dumfries and Galloway 2015-2018

#### Introduction

The Dementia Friendly Communities Dumfries and Galloway Project was funded by the Life Changes Trust (LCT) in March 2015 for 3 years. The overarching priority of the LCT is to drive change so that people affected by dementia are empowered to exercise control and choice over their lives and become active citizens in their communities. The LCT has 5 priorities

- Enable people affected by dementia to live in a place that suits them and their needs
- Protect and promote the independence of people affected by dementia
- Support work that will guarantee that people affected by dementia get the help they need when they need it
- Create a culture in Scotland where people affected by dementia feel safe, listened to, valued and respected
- Empower people affected by dementia so that they can do the things that are important to them

The Dementia Friendly Community (DFC) projects that have been funded by the LCT have been self-evaluating their progress, learning and impact on a continual basis and have submitted 6 monthly monitoring reports which have gathered a range of data to provide evidence to show the progress made in relation to achieving the following outcomes

- I have a significant say in how my dementia friendly community is run
- I know I have a community of support around me
- I am included
- I feel safe, listened to, valued and respected
- I am empowered to do the things that matter to me

Much of the work of the DFC had the potential to achieve more than one outcome simultaneously. For example, involving people in the locality forums could both facilitate people to have a significant say in how their dementia friendly community is run and engender a feeling of being included. The processes of meeting with people at community groups, carer support groups and in their own homes aimed to ensure people felt safe, listened to and connected with others experiencing similar issues, it also communicated that people had a community of support around them. For this reason the report is structured around the main themes and areas of work, the outcomes are integral within and across all of these areas and themes.

## Background

Life Changes Trust state that a key element of the dementia friendly communities they fund are that people with dementia and carers are enabled as much as they are able to have a significant say in how they are run. This way of thinking about Dementia Friendly Communities lends some flexibility to the concept of 'dementia friendly' and moves towards a principled approach rather than a set of standards and tick-boxes. The Life Changes Trust also distinguish between 'dementia friendly' and 'dementia enabled', the latter tends to be more about the environment and its accessibility; whereas 'dementia friendly' is about relationships and the extent to which people with dementia and carers can participate in their chosen community.

Dementia Friendly Communities are underpinned by an assets-based approach to community development, this approach is designed to facilitate people and communities in coming together to achieve positive change using their own knowledge, skills and lived experience. The Life Changes Trust has encouraged this approach with the intention of mobilising individual and community assets and abilities, to encourage meaningful partnership working based on deep respect for the knowledge and assets that already exist in communities which can be further developed.

The D&G DFC embraced these principles fully. The D&G DFC had one Development Manager (0.6 FTE), four locality development workers (0.4 FTE) and one regional User and carer involvement (UCI) worker (0.4 FTE). The staff were local to Dumfries and Galloway, they had worked and lived in D&G and were familiar with the particularities of four localities each of which have their own unique heritage and culture. Each locality worker built on the already strong community connections, social networks, relationships and reciprocity within the community.

This final report will summarise the work of the DFC in the four local areas within Dumfries and Galloway (D&G) over the three year time period. And the difference this project has made to those people living with dementia and those who care about and for them.

## The work of the Dementia Friendly Community in Dumfries and Galloway

### Partnership working

In order to build strong and sustainable partnerships and projects extensive networking to raise awareness about the creation of Dementia Friendly Communities within D&G was required. This work recognised the many organisations and groups were doing similar and related pieces of work, particularly with Carers. **This work involved drawing on individual and community assets to build community capacity to meet the needs of people living with dementia and carers.** In order to do this the DFC adjusted their approach depending on what was already in place, the locality needs and the perspectives of those affected by dementia. **The importance of face to face contact, taking time to build relationships, being reliable, non-intrusive, show mutual understanding and persistence cannot be underestimated.**

The DFC Development Manager and the team met with a broad range of individuals, groups and organisations across the region on many occasions. These groups included

- The Home Care Project
- The Care Home Project Board
- Care Home Managers
- Older Person's Consultative Group
- Multi-Cultural Association

- NHS Health Improvement Practitioner for Annandale and Eskdale
- Food Train Friends
- Head of Mental Health Occupational Therapy
- NHS Strategic Planning
- Boots the chemist
- Housing partnerships and associations
- Numerous local businesses
- Local supermarkets
- Local shops
- Social Work Department
- Joint Commissioners for NHS and D&G Council
- Hospital Patients
- Football club
- Rugby club
- All local churches
- Community Mental Health Teams
- Dementia Link workers
- Scottish Fire and Rescue Service
- All GP surgeries
- D&G College
- Scottish Care
- Bus companies
- Rotary clubs
- Primary schools
- Taxi companies
- Adult Resources centres
- Day services

These meetings were initially to raise awareness, establish relationships, build partnership working opportunities, encourage user and carer involvement, trial new community activities, offer Dementia Friends training and form a reference group of users and carers to support and guide the work of the DFC. **As the project grew the relationships between many of these groups and the DFC were strengthened and weaved into the fabric of the wider community, resulting in 144 partnerships of varying degrees.**

This work intersected with the engagement work that took place within the locality forums such as, NHS, Housing and health and social care partnership and dementia forums. The UCI worker supported involvement in all these forums to ensure the voices of people with dementia and their carers were heard. The locality workers also ensured the views of people with dementia and carers were heard in their community interactions. For example, three DFC locality forums were established and this led to a multi-agency Roadshow held on 27th of November in Wigtonshire.

### **Awareness raising**

The DFC has undertaken a number of interrelated activities to increase public awareness of dementia and influence local policy. This work is not discreet, it spans across the public awareness raising events, partnership working, community activities, engagement and involvement work and the Dementia Friends sessions.

Prior to the project commencing the two Dementia Advisors from Alzheimer Scotland delivered Dementia Friends sessions. Due to the scope of their role they could not focus solely on running Dementia Friends, the DFC locality workers were able to provide additional resource and focus to this work and **during the lifetime of the project has equipped over 3000 people across the community to not only understand the needs of people with dementia and carers but prepare them for the future needs of their organisations.** This work with such a wide range of partners, health providers, and community groups has begun to raise the level and depth of awareness which will provide the platform for further growth and development. Alzheimer Scotland has given an undertaking to continue to much of this work, this will be done by the Dementia Advisors.

The DFC participated in 20 community awareness raising activities. It is difficult to be exact about the large numbers of the general public that have engaged directly with us at these events but we estimate it to be in excess of 300. These events included

- 'It's a knockout day' at Crichton Estate (Alzheimer Scotland, 2015, 2016, 2017) <https://www.dgwego.com/dgwego-friday-focus/charity-its-a-knockout-return/>
- Dementia awareness week events (2015, 2016, 2018) e.g. three tea and blether events
- NHS celebration events (2016, 2017)
- Roadshows
- Dumfries Rotary club
- Wigtown Masonic lodge
- Moffat Regeneration
- Catholic Diocese

**The culture of the local area is also threaded through the work of the DFC**, this can be seen in the work the DFC has done with the strong farming community in Dumfries and Galloway where reaching out and in to this community was important to gain traction with the local community. The DFC engaged with the Scottish farmers, the National Farmers Union and the Royal Scottish agricultural Benevolent Institution. This has resulted in articles in newsletters, an awareness raising stand at the cattle market and a dementia friendly social group for retired farmers being developed.

#### **What matters to people living with dementia and their carers**

The four DFC locality workers sought the views of people with dementia and carers to find out what a Dementia Friendly Community means to them on an ongoing basis and responded to the needs and wants identified as far as possible. Over the course of the project they consulted with 60 people living with dementia and 70 carers. The consultations identified that

- Using and accessing transport (buses) is difficult and many drivers do not understand support needs
- More community activities would be of benefit
- Many shops and businesses did not know understand support needs
- Small independent shops were very helpful
- Young people are unsure of what to say

The four DFC locality workers facilitated ongoing dialogue between local partners, people with dementia and carers. The views of people with dementia and carers were used to influence local NHS, GP and Housing partnership forums.

“Thank you for taking the time to ask my dad about what he would like to see, it makes such a difference being listened to.”

“Thank you, it’s so good to get out and meet other people with no worries”

Often these conversations allowed them to express, in a number of cases for the first time, things that have caused them stress or upset.

“When my husband was alive it provided social contact and much enjoyment for him. Since his death, it has helped fill the void left from losing a much loved partner and recover from the strain of being a sole carer.”

“Sometimes I don’t need much, just for people to understand me”

People living with dementia also raised some of the challenges they faced through our locality forums. One example was safety in the home. In response we organised a roadshow in a local church hall and invited Fire Scotland, Police Scotland, Telecare, Handyvan, NHS, Alzheimer Scotland to showcase their safety services, technology and advice. This was well received and attended by members of the locality group.

The Regional User and Carer Involvement (UCI) worker also made 16 home visits to speak with individuals to ensure people living with dementia not able or willing to be involved in groups were included and their voices heard. The UCI worker was the conduit for two way communication between them and the various groups and forums.

“Just getting people to listen to me seeing me rather than what’s wrong would be so good”

“It’s great having someone listen to me and trying to make a difference”.

Some of the issues they raised were

- Poor experiences with local bus service
- Feelings of relying too heavily on friends and family
- Care provision for the elderly including the lack of/ unpredictability of respite
- Poor access to some buildings e.g. churches
- The more understanding of needs within a hospital setting
- General lack of insight into hemianopia (lack of vision) and how to provide appropriate support
- People avoiding social contact with them
- Lack of practical help

The UCI worker also engaged in raising awareness with Adult Resource Centre staff and attendees. This was facilitated by the Locality worker in the respective area. The UCI Officer supported the ongoing development of dementia-experienced User and Carer Involvement Groups in each of the four localities across Dumfries and Galloway. In accordance with the plan, these broad interest groups were represented on the Locality Forums and became the principal reference and advisory groups that fed information to the Dementia Strategy and Steering Groups.

These conversations enabled the DFC to focus our plans and work in response to their views. **For example, transport in a rural Dumfries and Galloway was an issue that was raised frequently by people affected by dementia.** Some of this was related to not being able to get to or return from hospital appointments, visits or stays via public transport. We worked with bus company drivers to raise awareness but this won’t influence the overall service provision and timetabling strategy for the company. We also worked with NHS Dumfries and Galloway via the DFC sub group, Locality managers

and Dementia Nurse Consultant to raise awareness about transport issues particularly for those in the west of the region. Also the D&G Council taxi card currently precludes people with dementia from using this credit system. This was discussed with the council in an effort to understand what the barriers are to people with dementia receiving this credit and influence the council direction where possible.

“The local taxi company struggles to make sense of me sometimes and it would be great if you can speak to them and make it much easier for me as I do rely on them”

Accessing services is also particularly difficult in some of the locality areas, rural Wigtown for example. We organised a mobile roadshow in partnership with Police Scotland, Fire and Rescue, Alzheimer Scotland and Handyvan to tour rural areas with information and ask them about what they need in their locality.

### **Building a community of support**

**Over the three years 285 Dementia Friends sessions were delivered by the DFC project team under the banner of Alzheimer Scotland.** These were delivered by the locality workers under the direction of Alzheimer Scotland to shops, businesses, schools and organisations. As a result of these over 3000 people have become Dementia Friends in Dumfries and Galloway. The DFC has developed a next step second programme for businesses, shops, schools and organisations. This next step programme builds on the Dementia Friends sessions and encourages them to progress on to becoming Dementia Friendly organisations. They do this by

- Agreeing to sign up to a pledge
- Agreeing to an individually tailored action plan
- Using the relevant components of the toolkit e.g. Help pack for customer facing staff and employers pack
- Agreeing to an environmental audit (where appropriate)
- Committing to being a Dementia Friendly Business/organisation

**Over the 3 years the project engaged with over 80 businesses, organisations, shops and schools to support them to take the next step and become dementia friendly organisations.** These included supermarkets, chemists, Social Work office teams, GP surgeries, National Farmers Union, Dental Practices, housing partnerships and Adult Resource centres. By March 2018 eight businesses had partly adapted their premises in response to an environmental audit. The take up continues to be very positive with the recognition that becoming Dementia Friendly is beneficial for customers and staff. It is worth noting that engagement is not always straightforward. For those businesses that need to seek permission from a remote Head Office for Alzheimer Scotland and the DFC to deliver sessions or make any subsequent changes can take time. Whilst local businesses are often the easiest to reach, they often have part time staff and little or no flexibility to give us time to deliver our sessions. However there were exceptions to this, Tesco Extra, Tesco and Boots though national companies retain a community spirit and engaged significantly with the DFC at a local level. **This work resulted in the Tesco stores in Castle Douglas and Lockerbie having relaxed lanes and all Boots chemist stores in Dumfries and Galloway being Dementia Friendly.**

Social housing and council landlords across the region have engaged particularly well with the Dementia Friends programme and in becoming Dementia friendly organisations. Managers, heads of service, and frontline staff from rent collection, offices, call centre and trades people have all participated. This will allow people with dementia and carers to feel confident that people coming into their home or who they are speaking with at council and social housing offices have an understanding

of issues or challenges they may face. Below are quotes from some of the businesses and organisations that participated in the sessions and engaged with the project.

“I will respect people with dementia”

“To try and listen and be more understanding”

“We know more about dementia, more than before”

“That everyone with dementia is affected differently”

“It’s good to remember to look beyond the dementia”

“I now know what I need to do to help people with dementia”

Schools have also participated in the Dementia Friends sessions and this has facilitated some intergenerational work. In 2017 Alzheimer Scotland Stranraer day care supported children with autism to visit services and take part in co-hosted events. We have piloted new resources for Dementia Friend sessions in Primary Schools. These sessions evaluated well and provide useful evidence to help promote these sessions more widely within the Primary School network locally and show how this work supports the learning and teaching of Health and Wellbeing within schools.

The DFC also recruited 40 Dementia Champions in Tesco, Annan, Social Work (older adults), two GP’s surgeries, Small Town Initiative Group, two in Local Housing partnerships, Boots the Chemist and Dumfries and Galloway Council enterprise team. The DFC provided initial dementia friends sessions followed up by more detailed information and issuing business toolkits containing tips for employers and front facing staff, environmental hints and tips and an environmental audit for the premises. In addition to the supermarket relaxed lanes, GP surgeries changed their practice to walk through and meet patients, buildings now have new signage and Dementia awareness boards.

### **Inclusion for all**

The User and Carer Involvement (UCI) worker was committed to raising awareness and address stigma in harder to reach groups. Dementia Friends sessions have been undertaken with The Multicultural Association, Adult Resources Centres and social workers across the region working with adults with learning disabilities, Shelter, Salvation Army, LGBT and Headway – supporting people with brain injury. Care and treatment for those with dementia and learning disabilities (particularly Down’s syndrome) is an ongoing concern. **The UCI worker engaged with these groups to challenge the stigma, myths and taboos around dementia through raising awareness amongst BAME groups, multi faith groups and with Learning Disability support services.**

The UCI worker has found that while we aim to make it better in the communities as a whole, government public awareness campaigns to date seem to have had limited impact on the BAME community. It seemed that knowledge and understanding about dementia in these communities was very low and myths and taboos about the condition were commonplace. Although stigma is attached to dementia in all communities, our work indicated that levels of stigma were higher in BAME communities and that it will take time and culturally sensitive approaches to engage these communities.

“The Chinese word for dementia is really bad. The term is used in an insulting way. It’s very negative.”

“People find it hard; basically, they do not want the public to know. There are a lot of concerns within our religion and culture. Dementia: you know most people think it is not a disease, it is a thing people call ‘bonkers’ and all that kind of stuff. So it has a stigma attached to it. People tend to hide away from facing the facts - that there are real issues to be dealt with”.

“People can be reluctant to talk, they don’t feel comfortable, there can be a language barrier. People want to reminisce with others like them, with the same culture and language.”

A lack of knowledge was also found amongst the Learning Disability community. One of our key achievements, along with our continuing involvement at Adult Resource Centres throughout the region, has been developing “gentle” interview techniques for those with dementia and learning difficulties – particularly those with Downs Syndrome. In this we have been greatly assisted by our Learning Disabilities Worker, and organisations such as Key who provide personalised support and housing solutions for people with disabilities and long term conditions.

The LGBT community were concerned whether older LGBT adults were being sensitively and appropriately supported particularly in care home environments. We have also worked with care homes across the region to involve people living in care homes in community activities and groups. Twenty residents of care homes were interviewed to ask them about what makes them feel included in the community. As a result of this engagement some care homes transported residents to community activity groups. The community activity organiser went to care homes to run quiz events, used care home lounges to facilitate carers meetings and run joint activities with residents and people from the local community. **Connections have also been made through the Dementia Friends programme, the local hair and beauty students now offer therapeutic massages to carer and people living with dementia who attend day care.**

“Many thanks for your tremendous effort and motivation in making our lives worth living and I personally do believe in music and the difference it makes for people in our care. When we miss it, it is because we are not able to come. Residents come back buzzing and it makes you feel that is the job done”.

“Thank you so much for visiting my Dad. It is a very emotional time at the moment and clearly he had a lot bottled up. He rarely sees anyone except the carers at the home and your kindness and the interest you showed in his situation obviously unleashed that emotion”.

“That was the best day I’ve had ever! I really enjoyed that, can I come back?”

**At the heart of the project was the processes of meeting with people at community groups, carer support groups, forget me not lunches and in their own homes.** The Locality workers worked hard to ensure people felt safe, listened to and connected with others experiencing similar issues. Our excellent relationships with NHS staff, Mental Health OT’s, Dementia Link Workers, Community Psychiatric Nurses and Dementia Advisors have enabled the views of people with dementia and their carers to be heard and informal referral processes established.

“It’s nice to be asked what would make a difference to me”



“It’s just wonderful that my husband will still have a go at things, he doesn’t at home”.

“Whatever I need at the group there is always someone there to assist”

### **Community Activities and Active Communities**

Over the 3 years 780 people living with dementia, over 300 of these came from care homes, and 410 carers attended community activities. This is indicative that the DFC supported people living with dementia and those who cared for them to feel supported and empowered to participate in what mattered to them. There are 20 community activity groups running across the region, many started as a 3 month trial to see if that particular activity would be popular in that particular local area. The DFC workers needed to be very flexible so when groups had no uptake to change and try something else. There is one Community activity organiser in Stranraer and another in Dumfries, **without the support of the volunteers it would have been impossible to run as many groups and groups across D&G**. Over the period of the project 60 volunteers in total attended the community activities; there was a smaller core group that faithfully supported the groups.

By April 2017, 262 Community Activities were delivered across the region. Activities included

- Rugby memories
- Bowling
- Arts and crafts
- Movie memories
- Mining memories
- Football memories
- Photography group
- Knit and natter
- Musical minds
- Golf
- Indoor bowling
- Camera club
- Forget me Not cafes

In addition to the community activities the DFC supported other mainstream community groups to function as a Dementia Friendly community group. This included a musical minds group, a dementia friendly café, a movie memories group, a rugby memories group and a town lunch club.

“Thank you so much, mum is so proud of what she has achieved in the group and looks forward to each session. All your groups that we attend offer a really relaxed environment and I feel generate a warm friendly atmosphere. Thank you; it has really made a difference to our social life again”

“Dad enjoyed the Art Therapy yesterday and hopefully he will be happy to attend the rest of the course. Thanks again”

“The social lunches have provided an activity my husband and I can attend together as equal participants and have a good laugh”

**Existing community activity groups were an ideal way of enabling people with dementia to engage socially with not only people with dementia but like minded artists, golfers, footballers etc.** These connections help people sustain and rekindle leisure and social activities that are part of their identity.

“That was really good. It was a nice place and everyone was so friendly. Had mum not gone she would have spent the afternoon on her own at home with the risk of becoming restless and disorientated looking for someone or something to do”.

“I mentioned to my mum something about today and surprisingly she said "I have been here before". She is too advanced to do anything else. She enjoys music and going wee trips on the bus”

The relationships with businesses have resulted in participants of the community activity groups attending community events, for example the football group were able to attend a local football match through the football club donating tickets. We also connected with existing community groups to link people with dementia up with them to support people with dementia to do the things that matter to them, socially or personally. For example, a woman in one small town was missing attending the cinema due to a lack of confidence and no family support around her. A locality worker spent time to take her to the community centre movie morning, introduced her to the group and stayed for the movie. This was such a success that the lady now goes on her own to the group and is welcomed warmly by the others in the group.

**Some community activities are now driven by local community residents with the support of the Alzheimer Scotland Community Activity Organisers.** Relaxation technique sessions for carers of people living with dementia are currently being piloted. Art classes with a trained therapist for people with dementia and carers have started in the Wigtown locality; these will run for 12 weeks and are funded by a donation from Stranraer and Newton Stewart masonic groups. Three groups in Stranraer have been sponsored by local businesses or organisations and both football groups have pies donated by local butchers. The active mind group knits blankets etc. these are then sold and profits go back into the group. This will help groups to become self-sustaining in the future.

The success of the project can be seen in different ways the community has supported various developments. This has included fundraising and financial awards to sustain community activities. For example Stewarty Area Committee awarded £1000 to sustain the Arts and Crafts group, HSBC donated £5000 to sustain the running of art classes across Dumfriesshire and Wigtownshire. Wigtown and Stewarty Masonic lodge raised £5000 for community activities in the area and the over 50's dance group in Castle Douglas raised £550 for community activities in the Stewarty area. In kind contributions have allowed the project to use venues at no or low cost and many of the activities are now part of the wider community and open to and attended all.

The Community Activity groups give us a measure of what people with dementia enjoy and the benefits they reap from the sessions. They allow people to maintain their lives in the community and where they have not been active for a time, rekindle that passion and desire. This is an area where Alzheimer Scotland has committed to continue to employ two Community Activity Organisers one based in Dumfries and one in Stranraer. There are more than 20 groups running across the region with development plans for new and refreshed groups.

### **Discussion**

It took time to recruit staff, to engage with people affected by dementia, garner their views and respond to these. Indeed if we were to do it again we would give more time to ensuring all partners truly involved people living with dementia and their carers in setting their priorities for creating a DFC in D&G. It took time to embed the project into existing community groups and partnerships and begin to deliver on some of the outcomes. The size, demographics and rural nature of the region meant long travel times. **The geography and demography of the area also impacted on people's ability to attend**

**groups and activities regularly, health, transport availability and costs all featured when people weighed up the benefits of attending and becoming involved.** This chimes with the literature which highlights how fewer resources in rural areas creates a greater dependency on friends and families, underscoring the importance of a well-established network of social support in DFCs. Once driving is no longer possible, transportation options, whether public or private, were noted as key to maintaining these connections and supports (Crampton & Eley, 2013; Smith et al., 2016; Wiersma & Denton, 2016).

Many of the community activities required significant research, preparation and planning prior to being run. **Once activities were running staff needed to be responsive to the fluctuating abilities and changing interests of the people attending to retain engagement and attendance.** The DFC was very successful at creating and sustaining community activities that fostered peer relationships and meaningful engagement in the greater community, and these connections have been reported to promote well-being (Henwood & Downs, 2014; Hirst, 2016; Rahman, 2014; Woods, 2012). Staff also needed to be flexible and adaptable when delivering Dementia Friends sessions. Flexible in terms of arranging suitable times and ensuring the essential information is imparted within the time limit. Staff needed to be able to tailor sessions to individual businesses and organisations to help them make connections between their work and the needs of people living with dementia. An example of this was adapting the environmental audit so businesses could do it more quickly.

We did encounter people and organisations that were unwilling or unable to share information which hampered our ability to approach and involve people. Some organisations approached us, initially appeared enthusiastic, but then did not engage despite repeated attempts. This took time and effort on the part of workers and although disheartening, perhaps we had to accept that we would not be able to reach out to everyone within the lifetime of the project. However the support we received from volunteers, partner agencies, local businesses and many staff within health, social care and housing was immense.

The work continues, for example we are working with the local Health Improvement Officer to actively promote the delivery of Dementia Friend sessions within primary and secondary schools and explore how this could provide the platform for future intergenerational work. Through the partnerships we have developed we hope to reach areas within the locality e.g. Langholm & Gretna, to ensure there is equitable coverage within the locality. Through the close links we developed with the Community Mental Health Team and Post-diagnostic Link Workers we hope to achieve improved representation on the DFC Locality Forums. And we hope with the input of residents and the partnerships the community activities will be kept alive and popular.

**The D&G DFC has embraced an asset based approach that identifies and mobilises individual and community assets rather than focusing on problems.** From the outset it has worked in partnership and collaborated with the local community to maximise use of resources and skills, mentor new communities, provide appropriate training to staff and volunteers that often goes beyond raising awareness. This is not to say awareness raising is not important, it is, as **there is still a stigma associated with dementia in our community, not everyone wants it known they have dementia so it is important to have community groups and activities open and inclusive to all.** We have learned that many older people are afraid of dementia and are frightened to or don't want to talk or hear about it. Often a general approach is more acceptable and less challenging, for example couched in discussions about health in older age.

The learning has been rich and informative, the value of being seen talking to people across the community face to face, listening to what people with dementia and those who care for them, and

informing people what we are doing to respond to their expressed needs and wishes has paid dividends. The DFC staff have shown resilience, innovation and determination as they went out again and again to engage with people.

The LCT 5 priorities have always been at the heart of the project, and all have been achieved at different levels. The project has allowed people across Dumfries and Galloway to have a better understanding of people living with dementia and the difficulties that can be experienced by them and their families. It has also highlighted how people with dementia can live well with timely and appropriate support.

Alzheimer Scotland has reviewed all of the key components of the current work being undertaken by the DFC project to identify how work which meets with the organisations aims and strategic plans can be continued within the current Alzheimer Scotland resources. It is important to note that while some aspects will cease, this only pertains to work which was supporting the aims of the DFC project and which therefore has a natural end given that the project has ended having achieved its intended outcomes.

### **A snapshot**

- ✓ 76 people living with dementia and 70 carers consulted.
- ✓ 3000 Dementia Friends
- ✓ 285 Dementia Friends sessions
- ✓ 80 business, organisations, shops and schools supported to become dementia friendly organisations
- ✓ 8 businesses adapted their premises in response to an environmental audit.
- ✓ 262 Community Activities were delivered across the region
- ✓ 780 people living with dementia, 300 of which live in care homes participated in community activities
- ✓ 410 carers attended community activities.
- ✓ 20 community activity groups running across the region
- ✓ 60 volunteers support the community activities
- ✓ 20 community awareness raising activities
- ✓ 2 relaxed lanes in Tesco supermarkets
- ✓ All D&G Boots chemists dementia friendly

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## Authors

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## COMMUNITY ENGAGEMENT AND CONSULTATION STRATEGY

### 1. Reason for Report

This report is seeking agreement from the Board to the development of a Draft Community Participation and Engagement Strategy.

### 2. Background

2.1 SWestrans is required by legislation to consult on its Regional Transport Strategy (RTS) with Dumfries and Galloway Council and NHS Dumfries and Galloway. Government guidance sets out that ‘meaningful and effective engagement with regional stakeholders and the wider public should have a significant bearing on the overall direction of the RTS’.

2.2 The SWestrans Board agreed, on 8 May 2018, to undertake a consultation on Lockerbie Car Parking options.

2.3 Dumfries and Galloway Council agreed a Community Participation and Engagement Strategy and Action Plan on 7 March 2017. On 5 June 2018, the progress of this Action Plan and the development of a Framework for the Planning and Delivery of Effective Consultation was noted.

2.4 The Community Planning Participation and Engagement Working Group, established in December 2016, brings together eight local partners (including SWestrans) to improve the co-ordination of engagement activity and make best use of resources for the benefit of local people.

### 3. Key Points

3.1 SWestrans officers have identified a need to improve the present structures in place for engaging and consulting communities and passengers on SWestrans policy decisions and service delivery. This identification is based on a number of factors and experiences, most notably:

Policy – A number of local and national policy changes such as Dumfries and Galloway Council’s Priorities and Commitments and the Community Empowerment (Scotland) Act 2015 and Socio-Economic Duty have increased focus and placed requirements on ensuring communities have opportunities to have their voices heard.

Many of these expectations and requirements have been associated with recent legislation relating to equalities, accessible travel, community empowerment and local democracy, the development of strategic documents such as the RTS, and in the delivery of projects i.e. station parking and active travel schemes.

Legal – In terms of consultation, whether SWestrans decides to undertake a consultation voluntarily or has a statutory duty to do so, it has a legal duty to carry out the consultation properly. SWestrans could be open to legal challenge if consultations do not follow the four ‘Gunning Principles’. These are:

1. Consultation must take place when the proposal is still at a formative stage; *consultation cannot begin if a decision has already been taken on the outcome.*
2. Sufficient reasons must be put forward for the proposal to allow for intelligent consideration and response; *we must provide the right information in the right format and use the right methods to enable partnerships to participate and make an informed view.*
3. Adequate time must be given for consideration and response; *those being consulted must have enough time to participate and those consulting must have enough time to consider the responses as part of the decision-making process.*
4. The product of consultation must be conscientiously taken into account; *decision makers must demonstrate that they have taken stakeholders views into account.*

Key partners – The policy intent for Dumfries and Galloway Council's Consultation Strategy, agreed by Communities Committee on 1 December 2016, included making engagement arrangements more efficient across partners. Dumfries and Galloway Council is the sole constituent council in the SWestrans area and is a key Community Planning and funding partner.

Various sectors, such as the voluntary sector, are now recognised as key partners that public bodies should be having formal relationships with. This has increased the importance of good quality engagement; i.e. the Dumfries and Galloway Public Social Partnership relies heavily on engagement between partners, community transport operators and service users to achieve its shared objectives.

Public opinion – SWestrans is receiving ongoing criticism concerning the lack of consultation on the removal of bus services, most notably the 500 (Stranraer – Dumfries), 101/102 (Dumfries – Edinburgh) and 246 (Dumfries – Cumnock) services. We have also received criticism of the SWestrans website and wider publicity of service changes and the role of SWestrans.

Upcoming work – A number of transport studies are due to be engaging and consulting with stakeholders and communities in the SWestrans area. These include STAG studies for Thornhill, Eastriggs and Beattock; the South West of Scotland Case for Change Study; Station Travel Plan surveys with workshops at Dumfries and Lockerbie; and a refresh of the RTS.

3.2 The Dumfries and Galloway Council Community Participation and Engagement Strategy is aimed at improving the quality and range of their engagement activity and reflects the revised National Standards for Community Engagement which acts as a benchmark and reference point for best practice.

3.3 Both of the SWestrans Policy and Projects Officers have attended a programme of training organised by the Council on 'Best Practice in Consultation'. This training, delivered by the Consultation Institute, centred on The National Standards for Community Engagement.

3.4 Members are asked to agree that SWestrans officers develop a draft Community Engagement and Consultation Strategy for SWestrans. It is intended that this draft will be available for members' comment and consideration at the SWestrans Board meeting in October 2018.

<b>4. Implications</b>	
<b>Financial</b>	Financial implications will be highlighted to the next Board
<b>Policy</b>	Policy implications will be highlighted to the next Board
<b>Equalities</b>	Equalities implications will be highlighted to the next Board
<b>Climate Change</b>	No direct climate change implications from this report
<b>Risk Management</b>	Risk Management implications will be highlighted to the next Board

#### **5. Recommendation**

Members of the Board are asked to agree to the development of a draft Community Engagement and Consultation Strategy for consideration at the SWestrans Board meeting in October 2018.

Report Author: Josef Coombey SWestrans Policy & Projects Officer  <a href="mailto:josef.coombey@dumgal.gov.uk">josef.coombey@dumgal.gov.uk</a> 01387 260372  Date of Report: 27 August 2018 File Ref: SW2/Meetings/2018	Approved by: Douglas Kirkpatrick SWestrans Lead Officer  South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
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## RISK MANAGEMENT

### 1. Reason for Report

Members of the Board are asked to consider risks to the organisation and agree a Risk Management Plan for 2018/19.

### 2. Background

During the development of the current Risk Management Plan 2017/18 which was agreed by the Board at its meeting on 22 September 2017, SWestrans identified the following as potential risks:

- Restructure
- Public Image
- Strategic Direction
- Capital Funding
- Regional Transport Strategy Delivery
- Overspend
- Revenue Funding
- Asset Acquisition
- Bus Contracts Prices
- Loss of Staff
- Procurement
- Contract Disputes
- Third Party Liabilities
- Lack of Bus Operators and Drivers
- Withdrawal of DGC Governance Support

### 3. Key Points

3.1 Risks are reviewed throughout the year and officers are constantly vigilant for the identification and management of any new or previously unidentified sources of risk to SWestrans. Therefore, a draft Risk Management Plan for 2018/19 has been prepared and is attached to this report as **Appendix 1**. Officers have considered the additional risks identified which are Cyber Crime and Data Protection and a draft Risk Register is included as **Appendix 2**.

3.2 The Risk Register is not a static document. Due to the dynamic nature of risk management it is likely that additional risks will continue to be identified and added to the Risk Register. It is intended that the Risk Register will be reviewed and updated as necessary. Officers have identified Brexit as a risk and are actively considering its implications for inclusion in the Register as further clarity, or otherwise, is forthcoming. Any change to the Risk Register will be brought to a future Board for agreement.

<b>4. Implications</b>	
<b>Financial</b>	No financial implications from this report
<b>Policy</b>	Policy implications are included within the Risk Register
<b>Equalities</b>	No equalities implications from this report
<b>Climate Change</b>	No climate change implications from this report
<b>Risk Management</b>	A current Risk Register is critical for managing risk

<b>5. Recommendation</b>
Members of the Board are asked to agree the Risk Management Plan and Risk Register for 2018/19.

Report Author: Kirsty Dunsmore Tel: 01387 260137  Date of Report: 1 September 2018 File Ref: SW2/Meetings/2018	Approved by: Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
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**Appendix 1-** SWestrans draft Risk Management Plan 2018/19

**Appendix 2-** SWestrans draft Risk Register 2018/19

**THE SOUTH WEST OF SCOTLAND  
TRANSPORT PARTNERSHIP  
RISK MANAGEMENT PLAN 2018/19**

## **CONTENTS**

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**DRAFT**

## 1. FOREWORD AND SCOPE

The SWestrans has identified potential risks to its business and this plan has been prepared to define the process for management of these risks.

As a partner organisation of Dumfries and Galloway Council, and a member of the Community Planning Partnership, there are benefits to SWestrans in aligning its performance management framework with the Council's; not least in making it easier to demonstrate the contribution SWestrans is making towards the delivery of both the Council's and Scottish Government's objectives.

The Council's Risk Management Guidance has been referred to in the preparation of this plan.

This plan is concerned only with Operational risks. Risks associated with projects undertaken by or on behalf of SWestrans are transferred and managed by a project management methodology.

Partnership risks are those arising when the corporate body acts with another body over which it has no direct control. Although SWestrans is a partnership, it has its own dedicated governance structure, and as such acts as a single corporate body.

Health and Safety at Work risks are managed under a parallel process by Dumfries and Galloway Council.

## 2. INTRODUCTION

The purpose of this Risk Management Plan is to set out the framework for Corporate Risk Management within the South West of Scotland Transport Partnership, to allow the organisation to be risk aware rather than risk averse.

In this context Risk Management requires the identification, assessment, treatment, monitoring and reporting of risk, in order to support the effective management of the organisation's operations and other responsibilities.

Failure to identify and address risks can lead to serious consequences with negative impacts in the areas of finance, regulation, operations, and reputation.

Risk Management is a key component of SWestrans' performance management framework. It is the process whereby risk is addressed in a methodical way, recorded and reported, and appropriate mitigation or contingency implemented.

Due to the recognised importance of managing risk, the purpose of this Risk Management Plan is to adopt a formalised approach to risk management. The main driver for this process is the need for Good Governance.

This Risk Management Plan will be an essential element of SWestrans' Governance and Performance Management framework, and will be focused around our key objective, to deliver the Regional Transport Strategy.

Risk Management is a dynamic process, and the mechanisms for managing this process are:

- A Risk Register (Appendix)
- The Annual Plan
- Board Reports
- Continuous Risk Management in conjunction with Performance Management

The Risk Register should not be regarded as a static document. Due to the dynamic nature of risk management it is likely that additional risks will continue to be identified and added to the Risk Register. Such changes need to be communicated through governance and performance management procedures.

### 3. OBJECTIVES

The primary objective of this Risk Management Plan is to implement and embed a robust Risk Management process for and within SWestrans.

The approach is to use good practice tools and techniques to address the risks that SWestrans faces, with the aim of ensuring the level of risk in the organisation is managed at a tolerable level and within the organisation's risk appetite. Good risk management will allow SWestrans to be risk aware rather than risk averse.

This Risk Management Plan will aim to focus on people and processes, and ensure that the awareness of risk and its importance is given due and appropriate attention, allowing risks to be managed in a controlled manner. It is also intended to make risk management an integral part of the strategic planning process through the Annual Plan.

This Risk Management Plan has the following objectives:

- To promote an awareness of risk and a responsibility for managing risk amongst Board Members, officers, members of the public and other stakeholders;
- To initiate measures that will reduce SWestrans exposure to risk and potential loss;
- To initiate measures that will enhance SWestrans ability to build on success and seize opportunities with greater confidence;
- To promote the open reporting of risk and improve the sharing of risk information to aid effective Risk Management and encourage Good Practice;
- To establish standards, principles and processes for the efficient management of risk including regular monitoring and review;
- To optimise the use of Risk Financing (spend to save) and Risk Transfer mechanisms (insurance);
- To encourage a continuous and ongoing development of the process of risk understanding, review and management.

### 4. FRAMEWORK

#### **Control and Interfaces**

Risk Management should be part of SWestrans Governance and Performance Management Framework. While the responsibility for Risk Management Policy development and co-ordination lies with the Lead Officer, there are a number of key interfaces that must be managed to ensure the effective management of risk.

#### **Dumfries and Galloway Council**

A number of services are provided or made available to SWestrans by Dumfries and Galloway Council. Relevant services for Risk Management are:

- Internal Audit
- Insurance
- Procurement and Legal Services
- Communications
- Civil Protection, Resilience and Corporate Risk
- Health and Safety at Work

## 5. IMPLEMENTATION

Implementation of this Risk Management Plan will require the following:

- Identification, assessment and management of risks by the Lead Officer;
- Liaison with Dumfries and Galloway Council in respect of Insurance, Business Relations, Policy & Performance, Internal Audit, Finance and others as required;
- Inclusion of risk management input to the Annual Plan;
- Access to appropriate training courses for SWestrans officers;
- Appropriate risk management guidance to facilitate adequate input to Board reports;

To facilitate the implementation and embedding of an effective risk management culture within SWestrans the following additional actions are recommended:

- The use of Dumfries and Galloway Council's Risk Management Guidance as part of SWestrans' risk management process;
- The inclusion in the SWestrans Board report template of an Integrated Impact Assessment as appropriate.

## 6. PROCESS

Effective risk management means having in place a systematic process for identifying, assessing, controlling and monitoring the likelihood and impact of risks.

- **Risk identification** is key. Effective risk identification requires arrangements for gathering evidence about new issues, existing issues and important changes that may pose future risks. The process should be documented with the names of the staff involved also recorded.
- **Risk assessment** involves considering the likelihood of an event occurring and its potential impact. As this involves predicting future events, it naturally carries some degree of uncertainty and is based on judgement (preferably based on available evidence).
- **Risk control** means taking action to reduce, as far as possible, the risk of occurrence or its likely impact. Four general strategies are available: transfer, tolerate, treat or terminate the risk. Risks above the "risk appetite" line will require "treatment". The purpose is not necessarily to eliminate the risk, it may be to reduce the likelihood and/or impact should it occur.

Risk ratings are based on existing control measures remaining effective.

Where action is required to reduce the risk or its likely impact this should be recorded. Risks which are rated as being above SWestrans risk appetite should be reviewed at least every 3 months, other risks at least twice a year.

SWestrans risk appetite is as follows:



Risk Matrix						
Likelihood	5 Almost Certain					
	4 Likely					
	3 Possible					
	2 Unlikely					
	1 Almost Impossible					
		1 Negligible	2 Minor	3 Moderate	4 Major	5 Severe
		Impact				

Risk Rating	Action to be taken
<b>High Risk (Priority 1)</b>	<b>Risk is above the risk appetite level. The Lead Officer must be made aware of the risk and robust action plans are to be developed to manage the risk.</b>
<b>Medium Risk (Priority 2)</b>	Risk is within <b>the</b> risk appetite but could progress above the risk appetite without further actions. Effective monitoring procedures are to be put in place and professional judgement calls are to be made on the requirement of additional actions.
<b>Low Risk (Priority 3)</b>	Risk is well within the risk appetite and therefore poses no real threat of occurrence or impact. Risk should be managed by existing processes and procedures.

**The risk matrix is based on the following definitions:**

**Likelihood** (or probability of occurrence within appropriate timescale)

Likelihood	1 Almost Impossible	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
Guidance	<ul style="list-style-type: none"> <li>Will only occur in very exceptional circumstances.</li> </ul>	<ul style="list-style-type: none"> <li>Unlikely to occur but potential exists.</li> </ul>	<ul style="list-style-type: none"> <li>Reasonable chance of occurring – or has happened before on occasions.</li> </ul>	<ul style="list-style-type: none"> <li>Likely to occur – strong possibility.</li> </ul>	<ul style="list-style-type: none"> <li>The event will occur in most circumstances.</li> </ul>

**Impact**

SWestrans uses the following format for defining the impact of a risk should it materialise. The impact is based on the achievement of the SWestrans objectives.

Area of Impact	1 Negligible	2 Minor	3 Moderate	4 Major	5 Severe
Inspection / assessment / audit	<ul style="list-style-type: none"> <li>Small number of recommendations which focus on minor quality improvement issues.</li> </ul>	<ul style="list-style-type: none"> <li>Minor recommendations made which can be addressed by low level of management action.</li> </ul>	<ul style="list-style-type: none"> <li>Challenging recommendations but can be addressed with appropriate action plan.</li> </ul>	<ul style="list-style-type: none"> <li>Enforcement Action.</li> <li>Low rating.</li> <li>Critical report.</li> </ul>	<ul style="list-style-type: none"> <li>Prosecution.</li> <li>Zero Rating.</li> <li>Severely critical report.</li> </ul>
Adverse publicity / reputation	<ul style="list-style-type: none"> <li>No media coverage, little effect on staff morale.</li> </ul>	<ul style="list-style-type: none"> <li>Local Media – short term.</li> <li>Minor effect on staff morale / public attitudes.</li> </ul>	<ul style="list-style-type: none"> <li>Local Media – long term.</li> <li>Impact on staff morale and public perception of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>National Media</li> <li>Public confidence in the organisation undermined.</li> <li>Usage of services affected.</li> </ul>	<ul style="list-style-type: none"> <li>n/a</li> </ul>
SWestrans / Personal Security, and Equipment	<ul style="list-style-type: none"> <li>Damage, claims, loss, theft (£ &lt; 1k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, claims, loss, theft (£1-10k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, claims, loss, theft (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, claims, loss, theft (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>Damage, claims, loss, theft (£ &gt; 1m).</li> </ul>

<b>Area of Impact</b>	<b>1 Negligible</b>	<b>2 Minor</b>	<b>3 Moderate</b>	<b>4 Major</b>	<b>5 Severe</b>
Budgetary impact	<ul style="list-style-type: none"> <li>▪ Negligible organisational financial cost (£&lt;10k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Minor organisational financial cost (£10-100k).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Significant organisational financial cost (£100k-1m).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Major organisational financial cost (£&gt;1m).</li> </ul>	n/a
Staffing and competence	<ul style="list-style-type: none"> <li>▪ Short term low staffing level (&lt; 1 day), where there is no disruption to service.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ongoing low staffing level results in minor reduction in quality of client care</li> <li>▪ Minor error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Late delivery of key objective / service due to lack of staff.</li> <li>▪ Moderate error due to ineffective training / implementation of training.</li> <li>▪ Ongoing problems with staffing levels.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Uncertain delivery of key objective / service due to lack of staff.</li> <li>▪ Major error due to ineffective training / implementation of training.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Non delivery of key objective/ service due to lack of staff.</li> <li>▪ Loss of key staff.</li> <li>▪ Critical error due to insufficient training/ implementation of training.</li> </ul>
Service / business interruption	<ul style="list-style-type: none"> <li>▪ Interruption to service which does not impact on the delivery of client care or the ability to continue to provide service.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Short term disruption to service with minor impact on client care.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Some disruption in service with unacceptable impact on client care.</li> <li>▪ Temporary loss of ability to provide service.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sustained loss of service which has serious impact on delivery of client care resulting in major contingency plans being invoked.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Permanent loss of core service or facility.</li> <li>▪ Disruption to facility leading to significant “knock on” effect.</li> </ul>
Client experience / outcome	<ul style="list-style-type: none"> <li>▪ Reduced quality of client experience / outcome not directly related to service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unsatisfactory client experience / outcome directly related to service provision – readily resolvable.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unsatisfactory client experience / outcome, short term effects – expected recovery &lt; 1Wk.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unsatisfactory client experience / outcome, long term effects - expected recovery &gt; 1Wk.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unsatisfactory client experience / outcome, continued ongoing long term effects.</li> </ul>

Area of Impact	1 Negligible	2 Minor	3 Moderate	4 Major	5 Severe
Complaints / claims	<ul style="list-style-type: none"> <li>▪ Locally resolved complaint.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Justified complaint peripheral to direct service provision.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Below excess claim.</li> <li>▪ Justified complaint involving inappropriate service.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Claim above excess level.</li> <li>▪ Multiple justified complaints.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Multiple claims or single major claim.</li> <li>▪ Severely critical report by the Ombudsman</li> </ul>

## 7. OWNERSHIP AND RESPONSIBILITY

Risk ownership is fundamental to the risk process as it identifies the person best placed to manage and influence the risk.

It is the responsibility of the Lead Officer to manage risks on behalf of the Board. It is essential that the Board are properly informed about risks which are specific to the partnership in order that their decision making is properly informed

It is the role of Members of the Board to demonstrate consideration of risk, and Members have a responsibility to:

- Identify and manage corporate level risks; and
- Take reasonable steps to consider the risks involved in the decisions taken by them.

## 8. AWARENESS, COMMUNICATION AND TRAINING

A key element of successful risk management is ensuring that all stakeholders in the organisation are aware of the Risk Management Plan and of their own responsibilities in relation to it. It is therefore imperative that steps are taken to ensure widespread awareness of the Risk Management Plan.

Awareness raising begins with the reporting of the Risk Management Plan to the SWestrans Board, which will ensure that it is familiar to both members and officers. As part of broader awareness the Risk Management Plan will be available on the SWestrans website.

The formal process for recording the risk management process is through the following mechanisms:

- A Risk Register (Appendix);
- The Annual Plan;
- Board Reports;
- Continuous Risk Management with Performance Management.

Risk management needs to be undertaken as a dynamic and ongoing activity. Communication is a vital element of dynamic risk management to ensure that the organisation is adapting effectively to the changing situation. This will be managed through the mechanisms identified above, and within the SWestrans team through staff meetings and the Staff Development Review process and relevant training.

## SWestrans Risk Register 2018-19

Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R01	Restructure	Restructure or dissolution of RTPs by Scottish Ministers	Compromises continuity of delivery of transport functions and Regional Transport Strategy (RTS)	Use of performance management to demonstrate the effectiveness of the existing structure	Unlikely/ Major (Medium)	Tolerate		Unlikely/ Major (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R02	Public Image	Poor public perception of SWestrans	The credibility and authority of the organisation is undermined	Use of Council Communications Unit to manage press relations and to present a positive message  Use of appropriate media channels to proactively deliver information on SWestrans activities	Possible/ Moderate (Medium)	Tolerate		Possible/ Moderate (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick

Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R03	Strategic Direction	Change in Dumfries and Galloway Council (DGC) strategic priorities	RTS is put out of alignment	Strategies Mapping and Alignment Exercise  Annual monitoring and review of RTS  RTS is realigned with revised DGC strategic objectives if appropriate	Unlikely/ Minor (Low)	Tolerate		Unlikely/ Minor (Low)	Douglas Kirkpatrick	Douglas Kirkpatrick
R04	Capital Funding	Loss or reduction of capital funding	Projects within the Capital Programme are compromised  The 2018/19 Programme includes purchase of buses, bus infrastructure, Scottish Stations Fund, Rail Improvements and Active Travel projects	Use of Business Plan to project future years requirements  Close working with DGC  Adjustment of Business Plan to revised funding profiles	Possible/ Moderate (Medium)	Tolerate		Possible/ Moderate (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick

Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R05	RTS Delivery	Failure to progress the RTS Delivery Plan	Delivery of the RTS is not progressed as anticipated	Performance Management Framework	Unlikely/ Minor (Low)	Tolerate		Unlikely/ Minor (Low)	Douglas Kirkpatrick	Douglas Kirkpatrick
R06	Overspend	Expenditure commitment exceeds available budget	Funding is not available to meet obligations  Third party action could ensue	Financial management processes are provided by DGC	Almost Impossible/ Severe (Medium)	Tolerate		Almost Impossible/ Severe (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R07	Revenue Funding	Loss of revenue funding due to public sector funding pressures	Procurement of socially necessary local bus services is compromised	Policy and Root and Branch Review	Likely/ Severe (High)	Treat	Spend to Save initiative	Likely/ Minor (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R08	Bus Contracts Prices	Contract prices increase	Existing bus network is unsustainable within current budgets  Multiplier effect of reducing network	Policy and Root and Branch Review	Likely/ Severe (High)	Treat	Regular liaison meetings with local bus operators  Review industry costs to determine future trends	Likely/ Minor (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick

Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R09	Loss of Staff	Loss of Lead Officer	Operational management of SWestrans is compromised	Interim arrangements would be put in place pending appointment of replacement	Possible/ Severe (High)	Treat	Identify where interim responsibility lies in partnership with DGC  Succession planning	Possible/ Moderate (Medium)	SWestrans Board	Claire Rogerson
		Loss of Policy and Projects Officers	Lack of resource to fulfil SWestrans functions	Initiate recruitment to replace	Possible/ Moderate (Medium)	Tolerate	Lead Officer will assume interim responsibility	Possible/ Moderate (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R10	Procurement	Failure to comply with procurement regulations	SWestrans is exposed to potentially costly litigation	Procurement advice and support is provided by DGC	Almost Impossible/ Severe (Medium)	Tolerate		Almost Impossible/ Severe (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R11	Contract Disputes	Contracts are poorly drafted	Disputes with contractors and potentially costly litigation	Contract law advice and support is provided by DGC	Almost Impossible/ Severe (Medium)	Tolerate		Almost Impossible/ Severe (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R12	Third Party Liabilities	Legal action is brought against SWestrans by third parties for any reason	Potentially costly litigation	Potential liabilities are transferred to other bodies wherever possible  Legal advice and support is provided by DGC	Almost Impossible/ Major (Medium)	Treat	Ensure insurance cover is adequate	Almost Impossible/ Minor (Low)	Douglas Kirkpatrick	Douglas Kirkpatrick



Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R13	Lack of bus operators and Drivers	Can lead to monopoly of the market and operators prices high due to lack of competition and bus drivers	Contract not sustainable as too costly	Ensure good relations with all local bus companies	Likely/ Severe (High)	Treat	Regular liaison meetings with local bus operators to Identify of areas of concern  Annual review of local market conditions	Likely/ Minor (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick
R14	Withdrawal of DGC governance support	DGC no longer supports the work of SWestrans so have to procure services from other sources	Risk in interim period from withdrawal to appointment of staff or new providers  Potential high cost of this	Ensure continued good relations with DGC by informing of the work of SWestrans	Unlikely/ Minor (Low)	Tolerate		Unlikely/ Minor (Low)	Douglas Kirkpatrick	Douglas Kirkpatrick
R15	Cyber Crime	Cyber-attack on digital systems which results in compromised security, reduced business resilience and increased opportunity for fraud	Risk of system failure and impaired organisational function  Potential data breach	SWestrans digital systems are owned and managed by DGC  SWestrans receive regular communication/ advice from the Scottish Government's Cyber Resilience Unit	Possible/ Severe (High)	Treat	Regular liaison with DGC's Business and Technology Solutions team operators to identify areas of concern, risk and raise staff awareness of possible threats	Possible / Moderate (Medium)	Douglas Kirkpatrick	Douglas Kirkpatrick

Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R16	Data Protection	Failure to comply with data protection regulations	SWestrans is exposed to potentially costly litigation  Reputational risk	Data protection advice and support is provided by DGC	Possible/ Moderate (Medium)	Treat	Staff training and awareness  Full review of business procedures  Full regulation compliance	Almost Impossible/ Moderate (Low)	Douglas Kirkpatrick	Douglas Kirkpatrick

## CAPITAL EXPENDITURE PROGRAMME 2018/19 – UPDATE

### 1. Reason for Report

To provide an update to the Board on the Capital Programme for 2018/19.

### 2. Background

2.1 At its meeting on 9 March 2018, the Board agreed the Capital Programme for 2018/19 to 2020/21 as shown in Table 1.

<b><u>SWestrans Capital Programme 2018/19</u></b>	<b>Total Budget Allocated 2018/19</b>
Purchase of Accessible Buses	230,000
Bus Infrastructure	50,000
Rail Station Parking	300,000
STAG Studies re. potential rail station openings	20,000
Active Travel Projects	200,000
<b>TOTAL</b>	<b>800,000</b>

Table 1 – SWestrans agreed Capital Programme 2018/19

2.2 Spend on the Capital Programme up to 31 August 2018 is shown in **Appendix 1**.

2.3 At its meeting on 29 June 2018, the Board agreed to request that a further report providing fuller detail on the priority list for bus shelter renewal / replacement 2018/19 programme, highlighting those that were difficult to achieve, new or existing bus shelters; and noted the initial work being undertaken to develop short paths between communities to enable and support functional walking/cycling noting that a further report would be provided at the October 2018 meeting.

### 3. Key Points

3.1 Each of the elements of the Capital Programme for 2018/19 is discussed briefly in paragraphs 3.2 to 3.9.

3.2 **Purchase of Accessible Buses** – the Board agreed the provision of a grant of £230,000 to purchase two low floor accessible buses at its meeting on 17 April 2018. These buses are fully operational.

3.3 **Bus Infrastructure** – A small level of expenditure has been progressed under this element of the programme. As indicated in paragraph 2.3, the Board requested fuller detail on the priority list for bus shelter renewal / replacement programme 2018/19. This detail for each of the current 47 sites is shown in **Appendix 2** and includes a RAG (Red, Amber, Green) assessment on the likelihood of deliverability for each site.

3.4 **Appendix 3** provides an amended bus shelter renewal / replacement programme for 2018/19 with the 11 sites identified as Red in the RAG assessment removed. The Board is asked to consider and agree this amended programme for bus shelter renewal / replacement being aware that the £50K budget will enable the delivery of

approximately four to six shelters.

3.5 **Rail Station Parking** – the Board at its May 2018 meeting received a detailed report on the position of parking options within Lockerbie. The Board agreed in principle to develop option B of Phase 3 which would provide a draft layout of 125 spaces at Sydney Place / Bridge Street, noting that the progression of Phase 3 first would alleviate the impact of any progression of Phase 2 in the future.

3.6 Progress is being made, in partnership with Dumfries and Galloway Council, and a brief description of the stages of the process we are currently undertaking to move forward with the Phase 3 sites is shown below:

- Information relating to all the sites we are exploring in the same area of Lockerbie from Ground Investigation, Planning and the District Valuer has been made available to the Council's Engineering Design team.
- This information has been assessed and summarised with a report prepared for the Council's Strategic Asset Board(SAB). Land negotiation cannot start until SAB has agreed, in principle, to the purchase and set the purchase parameters.
- SAB should consider the report during September 2018.
- If SAB agree, in principle, to any purchase then negotiations will commence. If they do not agree to progress, then the Board will be informed.
- Following the conclusion of any negotiation the purchase must be agreed by the SWestrans Board and a Council Committee most likely to be the Economy, Environment and Infrastructure Committee in November 2018.

3.7 **STAG Studies** – an update is provided in a parallel report to this meeting.

3.8 **Active Travel Projects** – work continues in partnership with Dumfries and Galloway Council to deliver local walking and cycling infrastructure improvements, particularly for short trips, to meet the aims of the agreed Dumfries and Galloway Active Travel Strategy.

3.9 The development of our short paths work stream continues. Officers have met with Council colleagues to develop a scoring framework for all active travel infrastructure which will be used by both SWestrans and Dumfries and Galloway Council.

3.10 This is a critical step in moving forward and the draft criteria is attached as **Appendix 4** for the Board's agreement. It is intended to bring a fuller report on this matter to the October 2018 meeting of the Board.

<b>4. Implications</b>	
<b>Financial</b>	Financial information is included within the report at paragraph 2.1.
<b>Policy</b>	No change in policy. This work fulfils SWestrans policy objectives.
<b>Equalities</b>	Provision of good quality infrastructure will enhance travel choice and experience for those with protected characteristics.
<b>Climate Change</b>	Provision of good quality infrastructure that enhances opportunity for increased uptake of active and sustainable travel will have a positive impact on climate change objectives.
<b>Risk Management</b>	Progression of the Capital Programme relates to two known risks: R02 – Public image. R04 – Capital Funding.

#### **5. Recommendations**

Members of the Board are asked to:

- 5.1 consider and agree the amended bus shelter renewal / replacement programme 2018/19 as shown in **Appendix 3**; and
- 5.2 agree the draft Active Travel Infrastructure criteria as shown in **Appendix 4**.

Report Author: Douglas Kirkpatrick Tel: 01387 260136	Approved by: Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Tower Garroch Business Park Dumfries DG2 8PN
Date of Report: 13 September 2018 File Ref: SW2/Meetings/2018	

**Appendix 1** – Capital Programme spend to 31 August 2018.

**Appendix 2** - Bus Shelter Programme - Detailed information.

**Appendix 3** – Draft Bus Shelter Renewal/Replacement Programme 2018/19.

**Appendix 4** – Draft Active Travel Infrastructure criteria.

	Total Revised Budget Allocated 2018/19	Actual Net Spend 31/08/18	Forecast Net Spend 31/03/19	Variance 2018/19	Slippage to / (Acceleration) from 2019/20
<b><u>SWestrans Monitoring Capital Programme 2018/19</u></b>					
Purchase of Accessible Buses	220,000	230,000	230,000	10,000	-10,000
Bus Infrastructure (including shelters, PUDOs and RTI)	50,000	7,376	50,000	0	0
Cyclepath Development (Lochmaben - Lockerbie / Portpatrick - Stranraer)	0	0	0	0	0
Rail Station Parking	300,000	24,816	300,000	0	0
Rail Station Improvements (Lockerbie phase 3)	0	0	0	0	0
STAG Studies re. potential rail station openings	20,000	0	20,000	0	0
Active Travel Projects	210,000	26,937	200,000	-10,000	10,000
<b>TOTAL</b>	<b>800,000</b>	<b>289,129</b>	<b>800,000</b>	<b>0</b>	<b>0</b>
<b><u>2018/19 Funding Summary</u></b>					
Swestrans Allocation as per Full Council 27 February 2018	800,000				
Add Slippage 2017/18	246,155				
Less Reprofiting of Budget to 2019/20	-246,155				
<b>Total Allocation 2018/19</b>	<b>800,000</b>				

Bus shelter renewal/replacement programme - Detailed Information							
Location	Road	Address	Score	Position	New/ Replace	RAG	Comment / Position
Dumfries	Blackley Park Road	Nursing Home	In Progress		New		Awaiting formal land agreements
Lochanhead	Cairnyard Cottages		57	1	New		Location/design issues to be resolved
Kirkton			54	2	New		Community survey undertaken, no agreement
Auchencairn	Balliol Court		54	2	New		Location/design issues to be resolved
Springholm	Main Street	(wb)	53	4	New		Location not suitable for shelter provision
Lochmaben	A709	Sailing Club	52	5	New		Location/design issues to be resolved
Dumfries	Stewartry Road	at Abbey Gardens	52	5	New		Location/design issues to be resolved
Kelton	B725		52	5	New		Location to be identified with Community
Rockcliffe	C23s	to be identified	52	5	New		Location to be identified with Community
Dumfries	Lochfield Road	at Health Centre	51	9	New		DGC project planned
Ae Road End	A76	Ettrick/Ae junction	50	10	New		Location/design issues to be resolved
Penpont	Main Street	at Moorhouse	50	10	Replace		Design issues to be resolved
Carronbridge	A76	(nb)	50	10	New		Location not suitable for shelter provision
Port William	Main Street		50	10	Replace		Discussion with Community Council required
Ardwell	A716	(nb)	49	14	New		No community agreement on location
Sanquhar	Station Road	at Health Centre	49	14	New		Location/design issues to be resolved
Middlebie		Community Centre	49	14	New		Location to be identified with Community
Lockerbie	A709	Cemetery	48	17	New		Location not suitable for shelter provision
Nethermill	Serrick Road		47	18	New		Location not suitable for shelter provision
Shawhead	Village	to be identified	47	18	New		Location not suitable for shelter provision
Dumfries	Lincluden Road	outside No 162	47	18	Replace		Neighbour concerns to be addressed
Springfield	opp Westgill Road		46	21	Replace		
Clarencefield	B724	McFarlan's Hall	46	21	Replace		Community agreement required
Dumfries	Georgetown	Mosspark	46	21	New		Location/design issues to be resolved
Newton Stewart	Cumloden Road	Nursing Home	45	24	New		Location not suitable for shelter provision
Kirkconnel	A76 Main Street	at toilets and opp	45	24	New		Location/design issues to be resolved
Dalbeattie	Haugh Rd/Balliol View		44	26	New		
Gretna	Annan Road	Solway Lodge	44	26	New		
Rigg	B721 Annan Road	opp existing shelter	43	28	New		Location not suitable for shelter provision
Shawhead	A75	Opposite Deanside	43	28	New		Location not suitable for shelter provision
Glencaple	Shore Road	opp Nith hotel	43	28	Replace		
Stranraer	A77	Ryan Bay Park	42	31	New		No suitable location available
Dumfries	Stewartry Road	at No 9	42	31	New		Location/design issues to be resolved
Sandhead	Main Street	opp Piggeries Lane	42	31	New		Location/design issues to be resolved
Annan	Back o the Hill		41	34	New		Location to be identified with Community
Dalbeattie	High St/ Port St		41	34	Replace		
Lockerbie	Alexandria Drive	Broomhouse	41	34	Replace		
Haugh of Urr		crossroads	40	37	New		Location not suitable for shelter provision
Ae	Low Road	Existing shelter	40	37	Replace		
Annan	Silverlaw		39	39	New		Location/design issues to be resolved
Stranraer	Whitehouse Road		39	39	New		Location/design issues to be resolved
Greenlea	B724	eastbound to Annan	38	41	New		Location/design issues to be resolved
Kirkcudbright	Tongland Road	opp Burnside	37	42	New		
Wanlockhead			36	43	Replace		
Ardwell	A716	Kirkmadrine RE	36	43	Replace		
Dumfries	Kingholm Loaning		34	45	New		Location/design issues to be resolved
Terregles	Terregles Road	opp Manse Road	34	45	Replace		
Newton Stewart	Ghyll Crescent	(nb)	31	47	Replace		

Draft Bus shelter renewal/replacement programme 2018/19						
Location	Road	Address	Score	Position	New/ Replace	Comment / Position
Dumfries	Blackley Park Road	Nursing Home	In Progress		New	Awaiting formal land agreements
Lochanhead	Cairnyard Cottages		57	1	New	Location/design issues to be resolved
Kirkton			54	2	New	Community survey undertaken, no agreement
Auchencairn	Balliol Court		54	2	New	Location/design issues to be resolved
Lochmaben	A709	Sailing Club	52	4	New	Location/design issues to be resolved
Dumfries	Stewartry Road	at Abbey Gardens	52	4	New	Location/design issues to be resolved
Kelton	B725		52	4	New	Location to be identified with Community
Rockcliffe	C23s	to be identified	52	4	New	Location to be identified with Community
Dumfries	Lochfield Road	at Health Centre	51	8	New	DGC project planned
Ae Road End	A76	Ettrick/Ae junction	50	9	New	Location/design issues to be resolved
Penpont	Main Street	at Moorhouse	50	9	Replace	Design issues to be resolved
Port William	Main Street		50	9	Replace	Discussion with Community Council required
Sanquhar	Station Road	at Health Centre	49	12	New	Location/design issues to be resolved
Middlebie		Community Centre	49	12	New	Location to be identified with Community
Dumfries	Lincluden Road	outside No 162	47	14	Replace	Neighbour concerns to be addressed
Springfield	opp Westgill Road		46	15	Replace	
Clarencefield	B724	McFarlan's Hall	46	15	Replace	Community agreement required
Dumfries	Georgetown	Mosspark	46	15	New	Location/design issues to be resolved
Kirkconnel	A76 Main Street	at toilets and opp	45	18	New	Location/design issues to be resolved
Dalbeattie	Haugh Rd/Balliol View		44	19	New	
Gretna	Annan Road	Solway Lodge	44	19	New	
Glencaple	Shore Road	opp Nith hotel	43	21	Replace	
Dumfries	Stewartry Road	at No 9	42	22	New	Location/design issues to be resolved
Sandhead	Main Street	opp Piggeries Lane	42	22	New	Location/design issues to be resolved
Annan	Back o the Hill		41	24	New	Location to be identified with Community
Dalbeattie	High St/ Port St		41	24	Replace	
Lockerbie	Alexandria Drive	Broomhouse	41	24	Replace	
Ae	Low Road	Existing shelter	40	27	Replace	
Annan	Silverlaw		39	28	New	Location/design issues to be resolved
Stranraer	Whitehouse Road		39	28	New	Location/design issues to be resolved
Greenlea	B724	eastbound to Annan	38	30	New	Location/design issues to be resolved
Kirkcudbright	Tongland Road	opp Burnside	37	31	New	
Wanlockhead			36	32	Replace	
Ardwell	A716	Kirkmadrine RE	36	32	Replace	
Dumfries	Kingholm Loaning		34	34	New	Location/design issues to be resolved
Terregles	Terregles Road	opp Manse Road	34	34	Replace	
Newton Stewart	Ghyll Crescent	(nb)	31	36	Replace	



## ACTIVE TRAVEL PROGRAMME PRIORITISATION FRAMEWORK

	Factor	
1.	<b>Need – Functional Trip Generators:</b> Work – defined as a location with 50+ employees Education – Primary/Secondary/Tertiary education establishment Health – GP/Health Centre/Primary Care establishment Retail – defined as a location with 5+ mixed choice retail offer Transport Hub – Rail Station/Ferry/Bus Stance (3+ individual services) Tourism – Attractions of local/regional/national significance	
2.	<b>Demand - each of the Trip Generators scored against walking time(distance):</b> 0 to 2 minutes (up to 200m) 5 3 to 10 minutes (200 - 800m or 0.5 miles) 4 11 to 20 minutes (800 - 1600m or 1 mile) 3 21 to 40 minutes (1600 – 3200m to 2 miles) 2 40 minutes + (3200m+ or 2 miles+) 1	
3.	<b>Benefit:</b> Fills gap in existing walking network only 2 Fills gap in existing cycling network only 2 Fills gap in existing walking/cycling network 5  Improves accessibility walking network only 2 Improves accessibility cycling network only 2 Improves accessibility walking/cycling network 5  Improves road safety* walking network only 2 Improves road safety* cycling network only 2 Improves road safety* walking/cycling network 5  Improves behaviour change opportunity 5  *1 or more reported injury accidents in a 3 year period	
4.	<b>Usage - number of Trip Generator locations within 1600m or 1 mile :</b> Very High (5 Trip Generators) 5 High (4 Trip Generators) 4 Medium (3 Trip Generators) 3 Low (2 Trip Generators) 2 Very Low (1 Trip Generators) 1	
5.	<b>Deliverability:</b> Very High (Fully in authority control, standard design) 5 High (Fully in authority control, design complexities) 4 Medium (Multiple control, standard design) 3 Low (Multiple control, design complexities) 2 Very Low (Multiple control, design issues unresolvable) 1	
6.	<b>Cost:</b> Low (£10,000 or less) 5 Medium (£11,000 to £40,000) 3 High (£40,000+) 1	

## TRANSPORT (SCOTLAND) BILL – CALL FOR EVIDENCE

### 1. Reason for Report

To agree a response to the Rural Economy and Connectivity Committee invite for all interested individuals and organisations to submit written views on the Transport (Scotland) Bill.

### 2. Background

2.1 The Transport (Scotland) Bill was introduced to the Scottish Parliament on Friday 8 June 2018.

2.2 The aim of the Transport Bill is to make Scotland's transportation network cleaner, smarter and more accessible. The Bill aims to empower local authorities and establish consistent standards in order to tackle current and future challenges, while delivering a more responsive and sustainable transport system for all.

2.3 The Transport Bill is available to view online at:

<http://www.parliament.scot/parliamentarybusiness/Bills/108683.aspx>

2.4 At its meeting on 29 June 2018, the Board received an update on the key measures within the Transport (Scotland) Bill.

### 3. Key Points

3.1 The call for written views closes on Friday 28 September 2018.

3.2 The Regional Transport Partnership (RTP) Chairs, at their meeting on 5 September 2018, agreed a joint response to this Call for Evidence.

3.3 Officers have developed a draft SWestrans response which is included in full as **Appendix 1**. SWestrans welcomes the Bill and believes that the proposals as they stand go some way to providing a more flexible toolkit for transport authorities and operators to address the current and future challenges for our transport system.

3.4 The draft response states that there are areas of the Bill that, without amendment, will fail to bring about the step-change necessary to reverse the current decline in bus usage and will not provide SWestrans or our constituent Council with the ability to intervene effectively to meet the changing transport needs of our citizens or communities.

3.5 As a rural RTP with full bus powers, our response has focussed on the bus elements of the Bill that will impact on the future delivery of bus transport in our region. The key points from the response are noted below:

- SWestrans welcomes the Bill, in principle, but would argue that amendments are necessary to the bus elements to provide the required conditions for SWestrans to protect and deliver any improvements to our transport network.
- Bus, the most popular travel mode within Scotland, can only succeed going forward if the Scottish Government commits significant additional capital and

revenue funding. Annual bus funding should, at the very least, be comparable to the Government's spend on rail. Without such investment the key bus provisions of the Bill are likely to prove ineffective or unworkable.

- SWestrans is clear that a vibrant and sustainable commercial bus sector is vital to the future of bus in our rural region. Good partnership working already exists with the small number of commercial operators providing services in our area. However, we are concerned that the provisions within the Bill are not robust enough to deter the commercial sector from vetoing necessary partnership proposals which are intended to meet the social need to travel of our residents.
- We believe that the restrictions proposed within the Bill on local authorities providing services as a municipally owned operator are not necessary and may lead to a failure of local bus provision in rural areas of Scotland.

3.6 The Board is asked to discuss and agree a response to the Rural Economy and Connectivity Committee's invite to submit written views on the Transport (Scotland) Bill

<b>4. Implications</b>	
<b>Financial</b>	The proposals within the Bill may have both positive and negative financial implications
<b>Policy</b>	There will be policy implications from the proposals within the Bill and these are set out within the draft response
<b>Equalities</b>	Any policy or financial change may have equalities implications which will be monitored as the Bill progresses
<b>Climate Change</b>	Any policy or financial change may have climate change implications which will be monitored as the Bill progresses
<b>Risk Management</b>	The Risk Register will be updated as required to mitigate any risk to SWestrans as the Bill progresses

#### **5. Recommendation**

Members of the Board are asked to discuss and agree a response to the Rural Economy and Connectivity Committee's invite to submit written views on the Transport (Scotland) Bill.

<p>Report Author: Douglas Kirkpatrick Lead Officer Tel: 01387 260136</p> <p>Date of Report: 7 September 2018 File Ref: SW2/Meetings/2018</p>	<p>Approved by: Douglas Kirkpatrick Lead Officer South West of Scotland Transport Partnership Cargen Towers, Garroch Business Park Garroch Loaning, Dumfries DG2 8PN</p>
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**Appendix 1:** SWestrans draft response.

## Scottish Parliament - Rural Economy and Connectivity Committee

### Transport (Scotland) Bill – Call for Evidence

#### Response by the South West of Scotland Transport Partnership (SWestrans)

##### About SWestrans ([www.swestrans.org.uk](http://www.swestrans.org.uk))

SWestrans is the Regional Transport Partnership (RTP) for the south west of Scotland, covering the same geographical area as Dumfries and Galloway Council and NHS Dumfries and Galloway. SWestrans was established by the Transport (Scotland) Act 2005 and has a range of responsibilities including the statutory Regional Transport Strategy and, as a model 3 RTP, determining the policy and provision of socially necessary bus services.

##### General Comments and Key Points

SWestrans welcomes the Bill and believes that the proposals as they stand go some way to providing a more flexible toolkit for transport authorities and operators to address the current and future challenges for our transport system.

However, there are areas of the Bill that, without amendment, will fail to bring about the step-change necessary to reverse the current decline in bus usage and will not provide SWestrans or our constituent Council with the ability to intervene effectively to meet the changing transport needs of our citizens or communities.

As a rural RTP with full bus powers, our response has focussed on the bus elements of the Bill that will impact on the future delivery of bus transport in our region. The key points from the response are noted below:

- SWestrans welcomes the Bill, in principle, but would argue that amendments are necessary to the bus elements to provide the required conditions for SWestrans to protect and deliver any improvements to our transport network.
- Bus, the most popular travel mode within Scotland, can only succeed going forward if the Scottish Government commits significant additional capital and revenue funding. Annual bus funding should, at the very least, be comparable to the Government's spend on rail. Without such investment the key bus provisions of the Bill are likely to prove ineffective or unworkable.
- SWestrans is clear that a vibrant and sustainable commercial bus sector is vital to the future of bus in our rural region. Good partnership working already exists with the small number of commercial operators providing services in our area. However, we are concerned that the provisions within the Bill are not robust enough to deter the commercial sector from vetoing necessary partnership proposals which are intended to meet the social need to travel of our residents.
- We believe that the restrictions proposed within the Bill on local authorities providing services as a municipally owned operator are not necessary and may lead to a failure of local bus provision in rural areas of Scotland.

## **Detailed Comments**

### *Part 1 – Low Emission Zones (LEZ)*

SWestrans has no detailed comments to make on LEZ and would point the committee to the joint RTP Chairs response.

### *Part 2 – Bus Services - Bus Service Improvement Partnerships (BSIPs)*

SWestrans believes that a vibrant and sustainable commercial bus sector is vital to the future of bus in our region and good partnership arrangements already exist with the small number of commercial operators providing services in our area.

We welcome, in principle, the ability to create BSIPs and believe that they have the potential to provide the required flexibility to address challenges for our bus network.

However, the development and practicable application of BSIPs would require a significant staff/finance resource commitment from SWestrans with a clear expectation of success. SWestrans would only consider and develop a BSIP if it was the required mechanism to meet the social need to travel of our residents in a defined area.

BSIPs are intended to replace and be more simple and flexible than the little used Statutory Quality Partnerships from the 2001 Act. However, any successful use of BSIPs will only be possible if the transport authority can be assured that it is a feasible option that is good use of public monies. We are concerned that the proposals within the Bill provide the opportunity for commercial operators to veto or pull out of a BSIP proposal without recourse.

Therefore, we believe that the provisions currently within the Bill are not robust enough to enable us as the transport authority to commit to the creation of a BSIP due to the lack of any deterrent or accountability on the commercial sector. The inherent risk this poses to authorities may result in BSIPs being an unused tool.

### *Franchising*

SWestrans welcomes the Bill's proposals to enable franchising as an option for transport authorities to utilise if they believe this is necessary. The majority of the process involved is logical and takes account of the significant market intervention a franchise would deliver.

Similar to the development of BSIPs, we are concerned that the proposals as they are presented in the Bill, include an inherent risk of failure for any transport authority wishing to develop a franchise solution.

Our concerns relate to two areas within the proposals. The first being a general concern that the process is overly rigid and does not take account of the bus operating conditions in rural/deep rural areas which differ markedly from those in both high and low density urban areas. We are aware that such issues may be addressed through Guidance. However, any transport authority seeking to implement franchising will face

significant cost risks and the differing operation of our rural network should not be a barrier to consideration.

Secondly, given the costs involved in progressing with a possible franchise, a transport authority would only undertake this if it was in the public's interest and there are numerous checks/balances throughout the process to confirm adherence to this principle. Therefore, we would argue that the introduction of an unelected panel with no democratic accountability to make the final decision on whether a franchise should proceed is not needed, is not in the public interest and adds a level of risk that will deter transport authorities from attempting to use the franchising option.

#### *Municipally-Owned Bus Companies*

SWestrans and our constituent Council (Dumfries and Galloway Council) have long advocated the need to clarify legislation in relation to a transport authority owning its own buses and holding a PSV operator's licence. Therefore, we welcome the provisions that relate to this within the Bill.

As stated in our response to the consultation on "Local Bus Services in Scotland – Improving the Framework For Delivery" in November 2017, the number of PSV operators in our region able to undertake this work (socially-necessary local bus contracts) has significantly reduced and is unlikely to increase. A large proportion of our tenders for local bus services receive only 1 submission and on occasion none. Therefore, the added flexibility and security of a public sector run bus operator would ensure that the travel needs of our residents could be met.

The economic, social and demographic factors within our region require bus to be a viable choice to meet our residents' social needs and therefore we fully support the ability for transport authorities (including 'model III' RTPs) to be able to directly run bus services. This will provide added flexibility and resilience to what is a very fragile network at this time and we believe such services could be delivered more effectively and efficiently and at less cost than the commercial sector.

However, the restrictions proposed within the Bill to allow municipal bus companies to operate services is overly restrictive, unnecessary and risks the failure of local bus provision in rural areas of Scotland. We have been clear throughout our advocacy on this subject that the ability for transport authorities to directly operate local bus services should not be a vehicle to undermine or restrict commercial provision.

The set-up of a full PSV operation for any transport authority will be costly and resource intensive process. The restrictions, as proposed in the Bill, will significantly deter any authority from considering taking forward such an option. There is a current and substantial risk to rural bus network due to the small number of commercial sector companies available to undertake any contracted work and the challenging profit opportunities for any commercial services.

Transport authorities cannot afford to wait for “market failure” of any size before they consider the set-up of a bus operation which will take a considerable time to establish. SWestrans believes that if a transport authority consider it appropriate to meet their needs and to negate some of this current risk to networks they should be enabled to proactively prepare the establishment of a full PSV operation which can operate any service.

To initiate the establishment of a “bus company”, each authority will require to present a business case through its own governance structure to ensure it is the preferred option to address the needs in its area. This business case must have a clear and transparent rationale that is fully auditable to ensure that the preferred option is value for money, meets the various legislative requirements and importantly does not undermine the commercial sector.

#### *Information*

SWestrans welcomes the provisions in the Bill which require the provision of information by an operator to the transport authority should they vary or withdraw a bus service.

SWestrans would also argue that the Bill could go further and request operators to provide more information on passenger data they hold as all services are to some degree sustained by public funding through Bus Service Operators Grant, Concessionary Fares reimbursement and/or direct subsidy.

#### *Part 3 – Smart Ticketing*

SWestrans has no detailed comments to make on Smart Ticketing and would point the committee to the joint RTP Chairs response.

#### *Part 4 – Responsible Parking*

SWestrans supports the provisions in relation to responsible parking. However, we are concerned on the potential unintended impacts enforcement may have on the road space available for bus service access to already constrained housing areas.

#### *Part 5 – Road Works*

SWestrans supports the provisions in relation to Road Works.

#### *Part 6 – Regional Transport Partnerships Finance*

SWestrans welcomes and fully supports the provisions in relation to RTP finance.

## STAG APPRAISALS UPDATE

### 1. Reason for Report

To update the Board on the work towards developing potential rail station re-opening bids.

### 2. Background

2.1 SWestrans and Dumfries and Galloway Council have aspirations for the re-opening of the following stations:

- Thornhill
- Eastriggs
- Dunragit/Glenluce
- Beattock

2.2 At its meeting on 22 September 2017, the Board agreed to progress with STAG Part 2 studies for the Thornhill, Eastriggs and Beattock areas. Peter Brett Associates (PBA) were commissioned to undertake this work.

2.3 At its meeting on 10 November 2017, the Board agreed to receive updates on the STAG 2 progress at each Board meeting.

2.4 On 6 April 2018, the SWestrans Board were informed of the decision of the Lead Officer to pause work on the three STAG 2 Appraisals. This pause was to allow time to gain greater clarity of the new process for funding rail projects and to consider and assess advice regarding the STAG work submitted up to that point.

2.5 On 8 May 2018, the SWestrans Board were advised of officers' intentions to continue with the STAG 2 studies once written feedback from Transport Scotland was received.

2.6 On 29 June 2018, the SWestrans Board agreed that the Lead Officer was to meet Transport Scotland to discuss the matter and, if unsuccessful, write to the CEO of Transport Scotland.

### 3. Key Points

#### STAG Progress

3.1 On 3 July 2018, the SWestrans Lead Officer met with Transport Scotland where indication was provided that written feedback would be staggered and sent from mid-July 2018. At the time of writing this report, no written feedback has been received.

3.2 Following a meeting with PBA on 16 August 2018, a tripartite meeting is being arranged during October 2018 between SWestrans, PBA and Transport Scotland. It is expected that following this meeting PBA will resume work on the STAG studies.

3.3 Community engagement makes up a large proportion of the remaining work required for STAG 2 completion.

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### South West Scotland: Case for Change

3.4 The South West of Scotland: Case for Change study, undertaken as part of the process to inform the upcoming Strategic Transport Projects Review (STPR2), is due to enter consultation stage as part of its extensive stakeholder engagement.

3.5 This study is a significant piece of work covering the whole region and presents an opportunity for a fresh look at the region's transport challenges and opportunities. The review will identify projects across the strategic road and rail networks, active travel, island connectivity and the bus sector.

3.6 It would not be in the interests of either studies to consult at a similar time. This decision is in line with best practice on consultation.

3.7 STPR2 will align with the next National Planning Framework (NPF4) and inform a 20-year Infrastructure Investment plan for Scottish Ministers. Any transport interventions/projects for Dumfries and Galloway that require Governmental funding within this timespan will need to emerge as an option for consideration for STPR2 inclusion. Therefore, it is advised that the Station Action Groups make the most of this opportunity to engage with the consultation process.

3.8 Dates for the consultation work on STAG Part 2 studies have yet to be arranged with PBA and Station Action Groups.

<b>4. Implications</b>	
<b>Financial</b>	At its meeting on 9 March 2018, the Board agreed the £20,000 within its Capital Programme for 2018/19 for the progression of STAG Studies for potential rail station openings. There is no indication at this point that any additional finance is required.
<b>Policy</b>	No change in policy. This work fulfils SWestrans and Dumfries and Galloway Council policy objectives.
<b>Equalities</b>	Opportunities to enhance travel choice and experience for those with protected characteristics will emerge from the study findings.
<b>Climate Change</b>	Opportunities for modal shift will emerge from study findings.
<b>Risk Management</b>	Continuation and completion of STAG 2 studies relates to two known risks: R02 – Public image R05 – Failure to progress RTS Delivery Plan

### 5. Recommendation

Members of the Board are asked to note the update on the work towards developing potential rail station re-opening bids and the need to align with the consultation for South West Scotland: Case for Change.

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File Ref: SW2/Meetings/2018

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## STATION TRAVEL PLANS

### 1. Reason for Report

This report is to notify Members about the Station Travel Plan being undertaken for Dumfries rail station, and to seek agreement for a similar plan to be developed for Lockerbie rail station.

### 2. Background

2.1 ScotRail has a franchise obligation to create a Station Travel Plan for 30 stations across the ScotRail network.

2.2 SWestrans vision within its Regional Transport Strategy (RTS) is for “a transport system for the South West of Scotland that delivers the internal and external connectivity required to sustain and enhance the region’s economy and communities whilst minimising the impact of transport on the environment”.

2.3 The RTS contains a number of objectives relating to enhancing connectivity and promoting sustainable methods of transport.

### 3. Key Points

3.1 Station Travel Plans (STPs) are a tool designed to establish a package of measures to improve access arrangements and promote sustainable forms of travel to and from a railway station. They are intended to complement and inform local plan making processes, whilst delivering objectives to support sustainable growth in rail patronage and increased passenger satisfaction.

3.2 A STP helps with understanding local circumstances and wider strategic issues that impact on local peoples’ transport choices. Some key triggers are:

- Problems with station access that act as a barrier to growth
- Potential opportunities to increase local customer demand for sustainable forms of travel
- Links to housing, employment and proposed developments in the area
- Opportunities for small but significant changes to walking and cycling routes near to the station
- Stimulating stakeholder interest and support for improvements, especially from local authorities, station groups and community representatives

3.3 Dumfries rail station has been selected by ScotRail as one of the 30 stations in Scotland that they will produce a STP for. To date, 10 out of the 30 stations selected have been completed.

3.4 Given the links between Dumfries rail station and Lockerbie rail station and many of the STP triggers applying to Lockerbie, SWestrans officers are minded to simultaneously undertake a STP for Lockerbie station.

3.5 Key elements of a STP document can include:

- Solutions to help specific journey types involving an interchange i.e. bus to rail

- Identification of sustainable alternatives that can reduce single occupancy car use
- Mechanisms for ongoing partnership working, from informal coordination through to legally binding Service Level Agreements (SLAs)
- An Action Plan to promote sustainable travel, improve the passenger experience and increase rail patronage, including quick wins that are easy and deliverable
- Help and guidance so that funders can easily identify and commit future resources towards improvements
- A framework for coordinating specific elements of local transport and development plans

3.6 On 27 June 2018, Arcadis (the consultant appointed by ScotRail) held an inception meeting in Dumfries with some key stakeholders. A further data gathering exercise will take place in Autumn 2018 and this will include a session with wider stakeholders and public consultation. Dates have yet to be confirmed.

3.7 SWestrans and Dumfries and Galloway Council officers have started collating data and evidence for the Lockerbie STP, and it is intended that it will follow the same timescales as the Dumfries STP.

3.8 A small level of spend will be necessary for survey work and a workshop event in Lockerbie (under £1K) which can be accommodated within the Rail Station Parking element of the Capital Programme.

<b>4. Implications</b>	
<b>Financial</b>	Financial implications are highlighted in paragraph 3.8
<b>Policy</b>	Station Travel Plans fulfil a number of objectives relating to enhancing connectivity and promoting sustainable methods of transport
<b>Equalities</b>	Provision of quality travel planning and targeted interventions will enhance travel accessibility and experience for those with protected characteristics.
<b>Climate Change</b>	Increased opportunities for uptake of active and sustainable travel may have a positive impact on climate change objectives
<b>Risk Management</b>	No risk management implications from this report

#### **5. Recommendations**

Members of the Board are asked to:

- 5.1 note the commencement of Station Travel Plan work for Dumfries rail station; and
- 5.2 agree SWestrans officers undertake similar work on a Station Travel Plan for Lockerbie rail station.

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## LOCAL BUS SERVICES – UPDATE

### 1. Reason for Report

To update the Board on local bus network issues.

### 2. Background

2.1 SWestrans contributes annual funding towards the cross-boundary local bus service X95 Galashiels/Hawick to Carlisle for the provision of Monday to Friday evening and Sunday journeys.

2.2 At its meeting on 30 June 2017, the Board agreed the award of contract for the provision of local bus service 111 Dumfries Town Centre to DGRI.

2.3 At its meeting on 10 November 2017, the Board agreed a response to the consultation on Free Bus Travel for Older and Disabled People.

2.4 At its meetings on 9 March 2018, 17 April 2018 and 8 May 2018, the Board received confidential reports on the current fragile position of the local bus network and its future sustainability. The reports were considered in private as they contained confidential or exempt information.

### 3. Key Points – X95 Funding

3.1 The current annual contribution to the cross-boundary local bus service X95 Galashiels/Hawick to Carlisle is £37,837.80 per annum.

3.2 This contribution covers 2 journeys Monday to Friday from Hawick to Carlisle at 1705 and 1805; a Friday only journey from Hawick to Carlisle at 2105; 2 journeys from Carlisle to Galashiels at 1925 and 2025; a Friday only journey from Carlisle to Galashiels at 2255; 4 Sunday returns from Galashiels to Carlisle leaving Galashiels at 0915, 1215, 1515, 1815 and leaving Carlisle at 1138, 1438, 1738 and 2038.

3.3 Scottish Borders Council has retendered the service and has requested agreement to an amended annual contribution of £36,278.55. As this is below the existing rate, the Board are asked to agree this request.

### 4. Key Points – 111 Dumfries Town Centre to DGRI

4.1 The contract for the 111 Dumfries Town Centre to DGRI was awarded on an option that reduces the subsidy required if the service exceeds certain trigger levels relating to annual passenger usage.

4.2 The contract was awarded on an anticipated annual minimum passenger usage of 122,000 passengers with the following trigger levels and subsidy reduction percentage:

- Trigger Level 1 – plus 30% (158,600 passengers), subsidy reduction 25%
- Trigger Level 2 – plus 60% (195,200 passengers), subsidy reduction 50%
- Trigger Level 3 – plus 90% (231,800 passengers), subsidy reduction 75%

- Trigger Level 4 – plus 120% (268,400 passengers), subsidy reduction 100%

4.3 The service commenced in September 2017 with DGRI opening in December 2017. Passenger data from January 2018 to July 2018 indicates a total usage of approximately 40,000 passengers which equates to an estimated annual usage of some 68,000 passengers. This is significantly below the expected usage with numbers travelling on Saturday and Sunday particularly low.

4.4 Discussion with NHS Dumfries and Galloway has been undertaken to determine if any level of flexibility could be available on the terms of the current Section 69 Agreement. Initial indications are that such flexibility would be considered to ensure retention of the overall service particularly around the weekend operation where passenger usage is low. However, as the new Hospital has only been open since early December 2017 any proposals to amend service level provision at this time would be premature and should await the planned 12 month review of the service.

## 5. Key Points – National Concessionary Travel Scheme

5.1 On 2 August 2018, the Cabinet Secretary for Transport, Infrastructure and Connectivity, Michael Matheson MSP, announced there would be no change to age of eligibility of the National Concessionary Travel Scheme. He also announced that the Scheme will be extended to companions of eligible disabled children aged under five, which could result in over 3000 families and children additionally benefitting from the bus pass. Additionally, Mr Matheson announced that the options to provide free bus travel for Modern Apprentices will continue to be considered.

5.2 These decisions by the Cabinet Secretary align with the SWestrans response submitted to the consultation in November 2017.

## 6. Key Points – Local Bus Network

6.1 As indicated in paragraph 2.4, the Board received confidential reports on sustainability issues faced by operators at its meetings on 9 March, 17 April and 8 May 2018. The Board was informed of critical issues facing operators and of an immediate risk to Stagecoach's network of services operated from the Dumfries depot, including the depot itself and the large number of jobs it supports.

6.2 The Board agreed changes to services 4 (Lochvale), 5 (Crichton), 6 (Kingholm Quay), 7 (Troqueer), 8 (Cargenbridge), 12 (Lincluden), 221 (Wanlockhead to Kirkconnel) and 500 (Dumfries to Stranraer) which operate under contract to SWestrans. The changes were implemented in July 2018.

6.3 Stagecoach indicated that they would also be making changes to the frequency of their commercial service 10 (Lochside) and incorporating the service 12 (Lincluden) into this route on evenings/Sunday and would be removing all evening journeys after 6pm on commercial service 246 (Dumfries to Cumnock). These were commercial decisions and therefore out with the Board's control.

6.4 The Board requested that Stagecoach review its commercial proposals on service 246 to mitigate against the significant level of reduction and impact a service cessation

after 6pm would incur. Stagecoach confirmed that there was no commercial case to provide any of these journeys.

6.5 However, Stagecoach did decide to continue provision of a 2030 ex DGRI to Sanquhar on service 246 Monday to Sunday with a connection available at Sanquhar for onward travel to Kirkconnel (Monday to Saturday only). The connection requires an 18 minute wait at Sanquhar and therefore a price has been sought to extend the commercial journey from Dumfries through to Kirkconnel, on a de-minimus basis.

6.6 The price provided is £67 per day which equates to some £20,904 per year. The Board is advised that the budget for local bus service provision is fully committed and should a decision be taken to support this extension, savings would require to be identified from elsewhere within the supported local bus network or a request for additional funding submitted to Dumfries and Galloway Council.

6.7 There has been a level of concern on the changes implemented in July 2018. Particularly on the removal of the two late, SWestrans funded, journeys at 2215 ex Dumfries and 2230 ex Stranraer journeys on service 500 (Dumfries to Stranraer) and the commercial journey reductions on service 246 (Dumfries to Cumnock). There is a meeting following today's Board meeting with representatives of the A76 Action Group, Stagecoach, MSPs and SWestrans to discuss service 246.

6.8 The budget available to SWestrans for the provision of local bus services is fully committed and there is no flexibility for the Board to provide any replacement of commercial journeys being removed from the network. Any replacement would require savings to be identified from elsewhere within the supported local bus network or a request for additional funding submitted to Dumfries and Galloway Council.

<b>7. Implications</b>	
<b>Financial</b>	As indicated in the report, the Board is advised that the budget for local bus service provision is fully committed. Should any decision(s) be taken to support additional services, savings would require to be identified from elsewhere within the supported local bus network or a request for additional funding submitted to Dumfries and Galloway Council
<b>Policy</b>	SWestrans has a statutory duty to determine the policy and provision of socially necessary bus services within the budget it has available. Bus service provision is a key priority within the RTS.
<b>Equalities</b>	Local bus service reduction(s) disproportionately disadvantages bus users with protected characteristics
<b>Climate Change</b>	Bus service provision can have a positive impact on climate change objectives
<b>Risk Management</b>	Local bus provision relates to a number of known risks: R02 – Public Image R05 – RTS Delivery



	R07 – Revenue Funding R08 – Bus Contracts Prices R13 – Lack of Bus Operators and Drivers
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## 8. Recommendations

Members of the Board are asked to:

- 8.1 agree the request from Scottish Borders Council to provide an annual contribution of £36,278.55 to the cross-boundary local bus service X95 Galashiels/Hawick to Carlisle;
- 8.2 note the estimated annual usage of service 111 Dumfries Town Centre to DGRI;
- 8.3 note the announcement on the future of the National Concessionary Travel Scheme by the Cabinet Secretary for Transport, Infrastructure and Connectivity; and
- 8.4 agree not to implement the extension of the service 246 journey at 2030 from DGRI to Sanquhar to serve Kirkconnel.

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