



CÒMHDHAIL ALBA TRANSPORT SCOTLAND

TRANSPORT SCOTLAND FRAMEWORK DOCUMENT



THE PURPOSE OF THIS FRAMEWORK DOCUMENT

The Purpose of this Framework Document

The expanded Transport Scotland was established during 2010 as an executive agency within the Scottish Government. It is responsible for delivering the Scottish Government's national transport agenda and combines the responsibilities formerly delivered by both the previous Transport Scotland executive agency and the Scottish Government's Transport Directorate.

The delivery mechanisms for Scotland's transport systems and services are complex. Providers range across the private, public (including both central and local government), community and voluntary sectors. The purpose of the *Framework Document* is to bring together in a single place a summary of the parameters within which the new Transport Scotland is expected to operate, and how it will work to deliver the national transport agenda.

Accountable to Ministers as part of the Scottish Government, these parameters, and this framework document, will be subject to change over time in line with Ministerial priorities.

Delivery of national transport priorities is defined at a number of levels:

The **vision** - The National Transport Strategy, published in 2006, set national priorities for the Scottish Government as well as other transport providers in Scotland.

Functions - what responsibilities sit within the remit of Transport Scotland as part of the Scottish Government.

Aims, objectives and targets - what Transport Scotland will specifically deliver within its remit.

Roles and responsibilities - in addition to Transport Scotland, who does what to support delivery of the vision.

The *Framework Document* therefore sets out:

The **key functions** of Transport Scotland in delivering national priorities.

A summary of its **aims, objectives and targets, and working principles**. (These are set out in detail in the *Corporate Plan*).

The **roles and responsibilities** of the key figures involved, including Scottish Ministers, the Chief Executive of Transport Scotland, and the relevant Director General (currently DG Environment, Enterprise and Digital).

Accountabilities - to the public through Ministers and the Scottish Parliament, and detailed financial accountability mechanisms.

Management arrangements - the Chief Executive's delegated authority and performance management arrangements.

Relationships with other bodies.

How **amendments** to the Framework Document will be made and agreed.

THE VISION

The Vision

The Scottish Government's overarching purpose is:

To focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, **through increasing sustainable economic growth.**

The vision for Scotland's transport was set out in the National Transport Strategy, published in 2006, as follows:

- 'an accessible Scotland with safe, integrated and reliable transport that supports economic growth, provides opportunities for all and is easy to use;
- a transport system that meets everyone's needs, respects our environment and contributes to health;
- services recognised internationally for quality, technology and innovation, and for effective and well-maintained networks;
- a culture where fewer short journeys are made by car, where we favour public transport, walking and cycling because they are safe and sustainable; and
- where transport providers and planners respond to the changing needs of businesses, communities and users, and where one ticket will get you anywhere'.

The purpose of Transport Scotland is to help to deliver the Scottish Government's overarching purpose, contribute to the delivery of its five strategic objectives (Wealthier & Fairer, Safer & Stronger, Smarter, Healthier, and Greener) and support the national outcomes, indicators and targets set out in the National Performance Framework (NPF).

In discharging the Scottish Government's transport responsibilities it is guided by the 3 key strategic outcomes set out in the National Transport Strategy:

Improve journey times and connections, to tackle congestion and the lack of integration and connections in transport which impact on our high level objectives for economic growth, social inclusion, integration and safety.

Reduce emissions, to tackle the issues of climate change, air quality and health improvement.

Improve quality, accessibility and affordability, to give people a choice of public transport, where availability means better quality transport services and value for money or an alternative to the car.

The more detailed aims, objectives and targets required of Transport Scotland to fulfil its purpose and links to the NPF are set out in detail in the *Corporate Plan* (which will itself be refreshed from 2012-13 onwards), together with the milestones and performance indicators used to measure successful delivery. Transport Scotland reports progress on the activities in its Corporate Plan to the Cabinet Secretary for Infrastructure and Capital Investment and the Minister for Housing and Transport, and more detailed annual targets and performance indicators for each year are set out in the *Annual Business Plan*, which is updated each year and submitted to Ministers for approval.

KEY ROLES AND RESPONSIBILITIES

Key roles and responsibilities

Scottish Ministers

Scottish Ministers are accountable to the Scottish Parliament. Through the Parliament, they are directly answerable to MSPs about delivery of the Scottish Government's national transport priorities. How this accountability operates in detail is set out in the *Financial and other accountabilities* section of this document. The Scottish Ministers have overall collective responsibility for transport in Scotland.

The Cabinet Secretary for Infrastructure and Capital Investment is responsible for the portfolio covering transport, supported by the Minister for Housing and Transport, and maintains day to day Ministerial oversight of the activities of Transport Scotland and determines the policy and financial framework within which it works, in particular:

- Holding the Chief Executive to account for the performance of Transport Scotland.
- Setting the National Transport Strategy for Scotland, and setting Transport Scotland's objectives and targets within that.
- Setting Transport Scotland's budget in the light of the Scottish Government's spending plans for transport overall.
- Approving this *Framework Document*.
- Approving the Transport Scotland *Corporate Plan*.
- Approving annual business performance targets and measures as part of the *Annual Business Plan*.
- Receiving Transport Scotland's *Annual Report* and audited financial accounts from the Chief Executive, and authorising laying these before the Scottish Parliament.

Director General

The relevant Director General (currently DG Environment, Enterprise and Digital), as the Portfolio Accountable Officer for the portfolio incorporating transport, exercises a leadership role through management oversight of the relationship between Scottish Ministers and the Agency, and ensures that the Agency is part of the portfolio management arrangements. The Director General provides support and constructive challenge to ensure that the Agency is exercising operational accountability properly, and is a high performing and continuously improving organisation.

The Director General's responsibilities include ensuring that:

- Specific duties as the Portfolio Accountable Officer for the portfolio incorporating transport are met, as set out in the *Financial and other accountabilities* section.
- The Agency's objectives and performance contribute to and are part of the portfolio as a whole and are aligned to the Government's purpose and national outcomes set out in the National Performance Framework;
- Appropriate arrangements are in place for effective, high level performance monitoring and review.
- There is a clear framework for strategic performance improvement and management of the Agency's work.
- The Agency is taking steps to improve its operating efficiency, including through participation in collaborative procurement and shared service arrangements, where this offers improved value for money.
- Support for Ministers in the discharge of their duties towards the Agency and ensuring the relationship between Chief Executive and Ministers is healthy and working effectively.
- Monitoring of the financial performance, operational effectiveness and risk management arrangements on the basis of information and advice from the Chief Executive and SG Finance
- The Agency Chief Executive is aware of Scottish Government strategic developments and corporate decisions impacting on its management.
- Scottish Government corporate services are available to support and facilitate the work of the Agency, and representing the interests of the Agency in the wider Scottish Government.
- Line Management for the Chief Executive, with responsibility for carrying out his/her annual appraisal, taking account of the organisational performance of Transport Scotland as well as individual performance as Chief Executive within the Scottish Government senior management team (viz the Permanent Secretary, Directors General and Director level staff).
- An appropriate Framework Document is in place and maintained, and that Ministers are content with the arrangements set out here.

This is consistent with Transport Scotland's position as part of the Scottish Government. The Chief Executive will also, for example, routinely attend the portfolio management meetings of the Cabinet Secretary with responsibility for transport.

Transport Scotland Chief Executive

The Chief Executive is a member of the Senior Civil Service and is Transport Scotland's Accountable Officer. The Chief Executive is accountable personally to Scottish Ministers and to the Scottish Parliament for the effective and efficient operation of the Agency and for effective financial management. He or she is responsible for the management of Transport Scotland as a high performing and continuously improving Best Value organisation, and is directly accountable to the relevant Director General (as Portfolio Accountable Officer), the Principal Accountable Officer and to Scottish Ministers on a day to day basis. As part of the DG's relevant portfolio and the Scottish Government Senior Management Team, the Chief Executive will ensure that the Agency works with other parts of Government in support of the achievement strategic objectives and national outcomes. The Chief Executive and Director General share a mutual responsibility for ensuring an effective relationship which allows each to discharge their responsibilities, and the Chief Executive will carry out his/her duties in a way which supports the Portfolio Accountable Officer and will routinely attend the relevant Director General's portfolio management meetings.

Key responsibilities and accountabilities of the Chief Executive are:

- Delivery of Transport Scotland's functions, as determined by Scottish Ministers.
- Providing advice directly to and working closely with Scottish Ministers on all matters relating to Transport Scotland's functions and transport policy.
- Acting as Accountable Officer for the efficient and effective management of Transport Scotland's resources, as appointed by the Principal Accountable Officer.
- Ensuring Best Value in all aspects of the Agency's operations, including, in particular, that it is contributing to the 'Serving Government Better' business strategy.
- Ensuring that all relevant financial considerations and Scottish Government guidance, including issues of propriety, regularity or value for money, are taken into account throughout Transport Scotland's business.
- Providing support to the Director General, including assurance about the financial performance and operational effectiveness of the Agency and risk management arrangements in place at the Agency.
- Presenting annual audited accounts for Transport Scotland as directed by Scottish Ministers. In signing these accounts, the Chief Executive takes personal responsibility for their proper presentation.
- Management and development of staff, ensuring they have the tools, expertise and resources required for Transport Scotland and the rest of the Scottish Government to deliver successfully.
- Setting in place appropriate operational structures, business systems and procedures, including systems for financial management and control, internal audit and risk management arrangements.
- Ensuring Best Value in both front line delivery and corporate support functions of the Agency, including use of collaborative procurement and shared service arrangements where participation offers value for money for the Agency and the wider public purse;

- Replying to correspondence from MSPs (or other elected representatives where appropriate) on operational and contractual matters within Transport Scotland's responsibilities; and otherwise supporting Scottish Ministers by preparing Ministerial briefing, responses to Ministerial correspondence and written or oral Questions from MSPs in the Scottish Parliament.
- Responding to Parliamentary Committees on matters within Transport Scotland's responsibilities, whether in day to day support of Scottish Ministers or directly as Accountable Officer.
- Overseeing the sponsorship of any transport public bodies within its responsibilities ensuring a productive relationship between the body/ies and the Scottish Government and that they perform well against their objectives, undertaking the specific responsibilities as set out in the management statement/financial memorandum for each body.
- Keeping this Framework Document under review, discussing changes with the Director General as appropriate.

Transport Scotland Management

The Chief Executive is accountable for the performance of the Transport Scotland and is supported in the day-to-day management by his or her senior management team, and by the Audit and Risk Committee (see [Financial and other accountabilities section](#)).

WORKING PRINCIPLES OF TRANSPORT SCOTLAND

Working Principles of Transport Scotland

As part of the Scottish Government, Transport Scotland and its staff will deliver its functions on the basis of 5 core working principles. It will:

1. Provide excellent service and support to Scottish Ministers, the Scottish Parliament and the Scottish people, developing and delivering Scotland's transport policies and strategies and projects.
2. Promote transport integration.
3. Maintain a clear outward focus on the needs of transport users.
4. Work in partnership with other transport providers and wider government in its planning and delivery.
5. Make the most efficient use of public resources, and equip its staff to do the best possible job.

ACCOUNTABILITY TO THE SCOTTISH PARLIAMENT

Accountability to the Scottish Parliament

Scottish Ministers are accountable to the Scottish Parliament for the functions of the /Scottish Government, including Transport Scotland.

Day-to-day operational responsibilities are delegated to the Chief Executive who is in turn accountable to Scottish Ministers and the Scottish Parliament, the Principal and the Portfolio Accountable Officers and supports the Scottish Government's Strategic Board as part of the senior management team in this role.

Appearance at Parliamentary Committees

Scottish Ministers will decide who should represent them at Parliamentary Committee hearings. In practice, the Chief Executive may well be asked to represent Scottish Ministers on matters relating to Transport Scotland's operational responsibilities. The Chief Executive and his or her staff will also often be asked to support Scottish Ministers at Parliamentary Committee hearings

The Chief Executive, as an Accountable Officer, is liable to be required to appear before the Public Audit Committee of the Scottish Parliament to account for the discharge of his or her responsibilities as set out in the Memorandum to Accountable Officers for Parts of the Scottish Administration and in this *Framework Document*, or before other Committees in the capacity of Chief Executive.

The Scottish Parliament has the power to request a particular individual to attend a Parliamentary Committee.

The Chief Executive, as Accountable Officer, is responsible for putting into effect any relevant recommendations of the Public Audit Committee or other Committees of the Scottish Parliament which are accepted by Scottish Ministers.

Ombudsman

The Transport Scotland agency, like the rest of the Scottish Government, is subject to investigation by the Scottish Public Services Ombudsman and is required to have in place a complaints handling procedure which complies with the statement of principles published by the Ombudsman.

Complaints

The Chief Executive is responsible for ensuring that effective procedures for handling complaints about Transport Scotland are established, published, and adhered to.

Parliamentary Questions

The Chief Executive will ensure that Transport Scotland provides the information required for Scottish Ministers to reply to written or oral Questions in the Scottish Parliament.

Correspondence

Operational Matters delegated to Transport Scotland

In line with current guidance, the Scottish Ministers will encourage Members of the Scottish Parliament (and MPs and MEPs) to communicate directly with the Chief Executive on the operational responsibilities of Transport Scotland.

The Chief Executive will therefore reply in many circumstances to MSPs' correspondence on operational and contractual matters relating to Transport Scotland. All replies will be copied for information to the relevant Minister.

The Chief Executive will ensure that matters on which it is appropriate for Ministers to communicate with MSPs or members of the public are referred to Ministers without delay. Where a correspondent is dissatisfied with a reply received from the Chief Executive on operational matters, he or she may request a reply from the relevant Minister.

Other transport matters

The Chief Executive will ensure that matters on which it is appropriate for Ministers to reply are referred to them without delay.

The Scottish Ministers will continue to reply to MSPs' correspondence relating to transport policy matters as well as significant operational matters.

Deadlines for replying to Parliamentary Questions and correspondence

Replies to correspondence with MSPs and members of the public, and answers to Parliamentary Questions, will conform with the timetable set for the Scottish Government as a whole.

FINANCIAL AND OTHER ACCOUNTABILITIES

Financial and other accountabilities

General

Transport Scotland is funded from the Scottish Government's Infrastructure and Capital Investment portfolio Budget, which is determined by the Scottish Ministers as part of the Budget setting process, including spending reviews.

Accountable Officer Roles

The Permanent Secretary of the Scottish Government has Principal Accountable Officer responsibility for the organisation and management of the Scottish Government. He is the Scottish Ministers' principal adviser on expenditure and for ensuring a high standard of financial management in the Scottish Government, including its Agencies.

The Principal Accountable Officer designates the Chief Executive of Transport Scotland as its Accountable Officer under section 15 of the Public Finance and Accountability (Scotland) Act 2000.

The Director General is the Portfolio Accountable Officer for the budget from which Transport Scotland is funded.

The Director General as Portfolio Accountable Officer is responsible for monitoring the financial and operational performance of the Agency, seeking clarification on any matter as and when required, in order to ensure that operational accountability is being exercised properly.

The roles and responsibilities of Accountable Officers for parts of the Scottish Administration, as designated by the Principal Accountable Officer, are set out in the Memorandum to Accountable Officers for parts of the Scottish Administration.

The Chief Executive, as Accountable Officer is responsible for providing assurance about the financial and operational performance of the Agency.

The Chief Executive is responsible for ensuring that financial procedures comply with financial guidance issued by Scottish Government Finance Directorate and the Scottish Procurement Directorate. Transport Scotland must comply with the requirements of the *Scottish Public Finance Manual* and all other relevant guidance, including appropriate engagement with the relevant Scottish Government Finance Directorate Business Partners (or equivalent).

In particular, as Agency Accountable Officer, the Chief Executive has a personal responsibility for the propriety and regularity of public expenditure by the Agency and for ensuring that all related resources are used economically, efficiently and effectively. As Agency Accountable Officer the Chief Executive has a duty to secure Best Value, which includes the concepts of good corporate governance, performance management and continuous improvement. Guidance to Accountable

Officers on what their organisations should be able to demonstrate in fulfilment of the duties which make up a Best Value regime is included in the Best Value section of the *Scottish Public Finance Manual*.

Financial Delegations to Transport Scotland

The financial delegations for Transport Scotland are set out in *Annex 1*.

Transport Scotland must involve the Scottish Government Finance Directorate in financial decisions and other financial matters in accordance with relevant guidance and delegations.

Within these delegations, Transport Scotland may contract with others for materials, land and buildings or functions and services. The Chief Executive is responsible for securing best value for money for Scottish Ministers' resources in making all procurement arrangements.

Internal Audit

The Chief Executive is responsible for arranging internal audit mechanisms, in accordance with the objectives and standards laid down in the *Government Internal Audit Manual* and in a way which demonstrates best value for money. The Portfolio Accountable Officer may ask the Scottish Government Internal Audit Unit undertake any work required to provide independent assurance about Transport Scotland's financial management and control, if he or she considers it necessary.

Audit and Risk Committee

The Management Team will establish and maintain an Audit and Risk Committee which will be constituted and operate in conformity with the terms of the Scottish Government's Audit Committee Handbook. It will be chaired by a Non Executive member. The Chief Executive and the Agency's Finance Director will routinely attend the Committee as will representatives of Internal and External Audit. The Committee may, however, sit privately as and when it may so decide and it will determine its own meeting cycle.

The remit of the Audit and Risk Committee will include supporting the Chief Executive with regard to the efficient and effective use of programme expenditure and the associated responsibilities for risk management, control, governance and associated assurance. The Audit and Risk Committee will be responsible for drawing any significant matters arising in this respect to the attention of the Scottish Government Audit Committee, for example in instances where issues may depend upon factors which are out with the control of Transport Scotland or have implications for the operation of the Scottish Government and its public bodies more generally.

External Audit

Transport Scotland will be subject to external audit by the Auditor General for Scotland (AGS), or by auditors appointed by the AGS.

Annual Report and Accounts

The Chief Executive is required to sign and present annually an *Annual Report and Accounts* to Scottish Ministers, and to arrange for laying before the Scottish Parliament. This document will include a report on Transport Scotland's performance against the objectives and targets set by Ministers for the relevant year.

Transport Scotland will keep proper accounts and records as defined in the *Government Financial Reporting Manual* and *Scottish Public Finance Manual*. The Public Finance and Accountability (Scotland) Act 2000 stipulates that the *Annual Report and Accounts* will be laid before the Scottish Parliament and published after the accounts have been audited and certified by the Auditor General for Scotland. Transport Scotland is within the Scottish Government accounting boundary and therefore will be required to complete its accounts in accordance with the timetable for the production of the Scottish Government consolidated accounts. The Chief Executive, as accountable officer, will provide a statement on Internal Control alongside the Agency's annual accounts.

Management Accounting and Purchasing Systems

Transport Scotland will operate financial and other systems which provide the Transport Scotland Accountable Officer (the Chief Executive) and the Portfolio Accountable Officer (DG Environment, Enterprise and Digital) with sufficient information to assure them that Transport Scotland's responsibilities are being discharged and expenditure incurred and accounted for appropriately, and that Transport Scotland is achieving efficiency and value for money from its resources in delivering its functions. Transport Scotland will provide robust financial and other information for internal management and Scottish Government reporting requirements, making use of Scottish Government systems available, where appropriate. This includes appropriate counter fraud arrangements, control systems and procedures, with details set out in a fraud policy statement and fraud response plan.

Arrangements for risk management

The Chief Executive is responsible for implementing and monitoring appropriate risk management arrangements as part of a robust corporate governance framework in accordance with the relevant guidance in the *Scottish Public Finance Manual*. This involves the active monitoring and reporting of risk and risk profile changes, to gain assurance that risk management is effective, and to identify when further action is necessary as part of a comprehensive and coordinated approach to managing risk and the successful delivery of agency functions and projects.

Transport Scotland's risks, including public and employer liability, are carried in line with the Scottish Government's policy on insurance. The Chief Executive will keep

the Scottish Government Finance Directorate informed of the nature and potential level of any contingent liabilities arising, including where possible an assessment of their values. Where appropriate he or she will report contingent liabilities to the Scottish Parliament, seeking prior approval to enter into arrangements that will incur additional ones where appropriate in line with the relevant guidance in the Scottish Public Finance Manual.

CORPORATE AND BUSINESS PLANNING

Corporate and Business Planning

Corporate Planning

Approval of the *Corporate Plan* by the Scottish Ministers constitutes the high level authority for the Chief Executive to conduct the operations of Transport Scotland during the Plan period, while taking account of Scottish Ministers' day to day oversight of Transport Scotland's work. It forms the basis against which Transport Scotland's performance will be judged during that period.

The Chief Executive will prepare and submit for approval to the Scottish Ministers a *Corporate Plan*. Plans will normally cover a period of 3 years. The *Corporate Plan* will set out Transport Scotland's strategic aims, objectives and targets; high level performance indicators; and give an overview of how it will deliver these over the Plan period in line with the Scottish Government's purpose, strategic objectives and national outcomes set out in the National Performance Framework. It will also contain Transport Scotland's policy statements on resource management (including Efficient Government) and other corporate issues such as equalities and information management.

Annual Business Planning

Approval of the *Annual Business Plan* by the Scottish Ministers constitutes the authority for the Chief Executive to conduct the operations of Transport Scotland during that year. It forms the basis against which Transport Scotland's performance will be judged for the Plan period but does not constrain Scottish Ministers' day to day oversight of the work of Transport Scotland.

Exceptionally, if policy or circumstances change significantly in the course of the year, the Scottish Ministers or the Chief Executive may propose revisions to the *Annual Business Plan*, including changes to key targets and financial resources. Any revisions will be decided by the Scottish Ministers after consultation with the Chief Executive.

By 1 April (normally) each year the Chief Executive will prepare and submit for approval to the Scottish Ministers an *Annual Business Plan*. It will set out:

- The year's business targets, milestones and performance indicators required for Transport Scotland to deliver the objectives set out in the *Corporate Plan*.
- Any additional activity agreed by the Scottish Ministers which Transport Scotland must deliver during the *Business Plan* period, subsequent to publication of the *Corporate Plan*; or other changes which influence Transport Scotland's ability to deliver.
- Proposed administration costs requirement for Transport Scotland.
- Proposed current expenditure requirements.
- Proposed capital investment programmes.
- Any additional information which Scottish Ministers require.

The *Corporate Plan* and *Annual Business Plan* may be combined.

Publication

The *Corporate Plan* and *Annual Business Plan* will be published and copies placed in the Scottish Parliament Information Centre.

OTHER MANAGEMENT ARRANGEMENTS

Other Management Arrangements

Human Resources

The Chief Executive is responsible for the management and development of Agency staff, and for all aspects (except pensions) of Human Resource management for Transport Scotland staff, in line with the Scottish Government's Human Resources policies and procedures..

Terms and Conditions of Service

The staff of Transport Scotland are civil servants and employees of Scottish Ministers and subject to the Civil Service Code¹ (Scottish version), which sets out the framework within which all civil servants work, and the core values and standards of behaviour they are expected to uphold. The staff of Transport Scotland are subject to Scottish Government Main terms and conditions of employment. They are members of, or are eligible to join, the Civil Service pension arrangements.

Recruitment

The post of Agency Chief Executive may be filled by managed move within the Senior Civil Service, in the same way as any other senior management position

¹ The Civil Service Code is part of the Civil Service Management Code, which sets out the central framework for the management of the Civil Service.

within the Scottish Government, or appointed by open recruitment overseen by the Civil Service Commissioners.

Transport Scotland is responsible for the recruitment of its staff and in accordance with the Scottish Government's human resources policies and procedures. Recruitment for Senior Civil Service posts below Chief Executive level will be the overall responsibility of the Scottish Government's Strategic Board, and carried out by the Chief Executive in consultation with the Scottish Government's Director for Human Resources and Organisational Development. All recruitment, including that for Senior Civil Service posts, will adhere to the Scottish Government's recruitment policies and procedures.

Staff relations

The Chief Executive is responsible for promoting and supporting effective employee relations, consulting with trade union representatives in line with the Partnership Agreement that exists between the Council of Scottish Government Unions and the Permanent Secretary.

Training and staff development

The Chief Executive is responsible for the learning and development of staff to ensure that all staff has the knowledge, skills and experience required for Transport Scotland to deliver successfully.

Professional staff will have access to their Head of Profession (where one exists), wherever located within the Scottish Government. Professional Staff career development will be managed by their Head of Profession and will/may include managed moves across the Scottish Government and wider civil service.

Promotion

Transport Scotland staff remain eligible for promotion opportunities within Scottish Government Main. Transport Scotland will review and agree each year with Scottish Government Human Resources these arrangements to ensure Agency promotion standards are consistent with those that apply for Scottish Government Main.

Health and Safety

The responsibility for health and safety management lies with the Chief Executive in line with current health and safety legislation, guidance and/or best practice, supported by the Occupational Health and Safety Branch of the Scottish Government.

Support Services

The Chief Executive is responsible for securing and monitoring delivery of the support services required by Transport Scotland, with regard to the requirements of Efficient Government and value for money. The Chief Executive will keep the

provision of support services under review and set out proposals for review of specific services in the *Corporate Plan*.

There will be a strong presumption in favour of Transport Scotland sharing corporate services with the rest of the Scottish Government and/or other Scottish Government Agencies. A Service Level Agreement will be agreed where appropriate between Transport Scotland and any Scottish Government Directorates responsible for the provision of shared services.

Where there is a compelling business case Transport Scotland may procure services directly, ensuring that opportunities to share services with other executive agencies or Scottish Government Directorates, in line with Efficient Government requirements, are considered.

Equalities

The Chief Executive is responsible for ensuring adherence to Scottish Government equalities and diversity policies, and relevant legislation, as they apply to Transport Scotland employees, third parties acting on behalf of Transport Scotland, and in Transport Scotland's role as a public body in the promotion of equality and diversity. Policy statements are set out in the *Corporate Plan*.

Freedom of Information and Data Protection

The Chief Executive is responsible for ensuring adherence to Scottish Government policies and procedures, and relevant legislation, on Freedom of Information and Data Protection are adhered to. Policy statements are set out in the *Corporate Plan*.

RELATIONSHIPS WITH OTHER BODIES

Relationships with Other Bodies

Transport Scotland will, as part of the Scottish Government, engage with all bodies with an interest in the development or delivery of transport in Scotland.

These bodies include:

- Department for Transport, and any other UK Government Departments, in line with agreed concordats.
- Other devolved Governments in the UK.
- Regional transport partnerships in Scotland.
- Scottish local authorities, directly or through the Convention of Local Authorities in Scotland, in line with agreed concordats.
- Commercial transport operators and service providers.
- The wider public, private, voluntary and community sector as appropriate.
- Other executive agencies, public corporations or Central Government Bodies as appropriate.

- The Council of Scottish Government Unions, in line with the Scottish Government Framework Agreement with CSGU.

Relationships with rail bodies

Following the UK Railways Act 2005 and the formal transfer of rail powers to Scottish Ministers in October 2005, Transport Scotland has the following specific relationships with train operating companies and other rail bodies:

- The Scottish Ministers are signatories to the ScotRail franchise, and Transport Scotland therefore manages directly the contractual relationship with ScotRail.
- Scottish Ministers specify the outputs to be delivered by Network Rail in Scotland. To this effect Transport Scotland funds Network Rail's activity in Scotland and will agree and give effect to the Binding Arrangement with Network Rail for its activity in Scotland.
- Transport Scotland will liaise with the Office of Rail Regulation (ORR) which is the independent economic and safety regulatory body for rail in Great Britain. ORR is responsible for monitoring Network Rail's delivery of the outputs specified by Scottish Ministers, and carrying out any enforcement action required.

Relationships with Subsidiaries

Scottish Ministers, represented by Transport Scotland, are the sole shareholder in Caledonian Maritime Assets Limited, David MacBrayne Limited and Highlands and Islands Airports Limited. Transport Scotland holds investments on behalf of Scottish Ministers. These public corporations are operated and managed independently of the Transport Scotland and do not fall within its Accounting boundary. The companies publish their own annual report and accounts.

Sponsorship Role

Transport Scotland exercises a sponsorship role on behalf of Scottish Ministers for two advisory public bodies, Passenger View Scotland (PVS), and the Mobility and Access Committee Scotland (MACS).

Transport Scotland sponsors the Scottish functions of British Waterways (BW), a cross-border organisation. This promotes the use of canals for leisure, recreation, tourism, regeneration and transport. Legislation is currently before the UK and Scottish Parliaments which will transfer the canals in England and Wales to a new waterways charity, leaving British Waterways as a self-standing Scottish public corporation to be known as Scottish Canals.

CHANGES TO THIS FRAMEWORK DOCUMENT

Changes to this Framework Document

Review Arrangements

This *Framework Document* should be updated as and when necessary. At a minimum, the need for any changes should be considered each time a new corporate plan is prepared. Any changes should be agreed by Scottish Ministers, and approved by the Portfolio Accountable Officer with advice from the Scottish Government Portfolio Finance Team / Finance Directorate and Public Bodies Policy Division.

Enquiries

Copies of this *Framework Document*, and of any subsequent changes, will be placed in the library of the Scottish Parliament.

ANNEX 1 – FINANCIAL AND PURCHASING DELEGATIONS

Within agreed overall budgetary provision, and subject to the Scottish Public Finance Manual and Scottish Procurement Policy Handbook, Transport Scotland has delegated authority as set out below.

(1.) Commit expenditure, authorise payments;	Within the Agency's agreed overall budget provision.
(2.) Accept receipts;	Receipts in excess of those authorised by Budget Act must be surrendered to the Scottish Consolidated Fund.
(3.) Let contracts;	In accordance with EU legal requirements and the Scottish Procurement Directorate's Policy Manual and subject to approval by Scottish Ministers of any significant new infrastructure or changes to existing services.
(4.) Commission external consultants;	For individual contracts let by competitive procedures, up to a limit of £10,000 excluding VAT. (Contracts worth from £10,000 to £50,000 will have to be approved by Director General Enterprise and Environment. Contracts above £50,000 require approval by the Cabinet Secretary for Infrastructure and Capital Investment).
(5.) Authorise losses, special payments and gifts;	Unlimited, apart from the categories listed below which are subject to a limit of: a) £50,000 for claims waived or abandoned; b) £5,000 for special or ex-gratia payments; c) £1,000 for gifts.
(6.) Authorise Capital Expenditure;	Within the Agency's agreed overall budget provision.

The Scottish Government Finance Directorate portfolio finance team should be consulted about any cases irrespective of the amount of money concerned, which are novel or involve important questions of principle.

Further copies of this document are available, on request, in audio and large print formats and in community languages (Urdu; Bengali; Gaelic; Hindi; Punjabi; Cantonese; Arabic; Polish).

اس دستاویز کی مزید کاپیاں آڈیو کیسیٹ پر اور بڑے حروف کی چھپائی میں اور کیوئی کی زبانوں میں طلب کیے جانے پر دستیاب ہیں، برائے مہربانی اس پتے پر رابطہ کریں:

এই ডকুমেন্ট-এর (দলিল) অতিরিক্ত কপি, অডিও এবং বড়ো ছাপার আকারে এবং সম্প্রদায়ের ভাষায় অনুরোধের মাধ্যমে পাওয়া যাবে, অনুগ্রহ করে যোগাযোগ করুন:

Gheibhear lethbhreacan a bharrachd ann an cruth ris an èistear, ann an clò mòr agus ann an cànan coimhearsnachd. Cuir fios gu:

इस दस्तावेज़/कागज़ात की और प्रतियाँ, माँगे जाने पर, ऑडियो टैप पर और बड़े अक्षरों में तथा कम्प्यूनिटी भाषाओं में मिल सकती हैं, कृपया संपर्क करें:

ਇਸ ਦਸਤਾਵੇਜ਼/ਕਾਗਜ਼ਾਤ ਦੀਆਂ ਹੋਰ ਕਾਪੀਆਂ, ਮੰਗੇ ਜਾਣ 'ਤੇ, ਆੱਡਿਓ ਟੇਪ ਉੱਪਰ ਅਤੇ ਵੱਡੇ ਅੱਖਰਾਂ ਵਿਚ ਅਤੇ ਕੰਮਿਊਨਿਟੀ ਭਾਸ਼ਾਵਾਂ ਦੇ ਵਿਚ ਮਿਲ ਸਕਦੀਆਂ ਹਨ, ਕ੍ਰਿਪਾ ਕਰਕੇ ਸੰਪਰਕ ਕਰੋ:

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Transport Scotland, Buchanan House,
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0141 272 7100
info@transportscotland.gsi.gov.uk
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