



TRANSPORT SCOTLAND FRAMEWORK DOCUMENT



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FOREWORD

FROM THE MINISTER FOR TRANSPORT

Delivering better transport sits at the heart of the Scottish Executive's intention to build a smart, successful Scotland. An efficient, joined-up transport system is critical to achieving all our goals for this country – in particular, promoting economic growth and creating opportunity for all.

However, transport is not an end in itself, but a means to an end: to make a real difference to people and businesses using Scotland's transport systems. Establishing a national transport agency, Transport Scotland, in January 2006 marks a fundamental change in how Scotland's transport is planned and delivered at a national level. It forms part of a new national landscape for transport, together with regional transport partnerships which will bring local authorities and others together to plan and deliver transport more effectively at the regional level.

Transport Scotland has been created to drive delivery of the Scottish Executive's £3 billion capital investment programme for transport. It oversees a huge programme of national public transport projects to strengthen and expand Scotland's public transport infrastructure. It plans and manages the trunk road network. And it oversees the ScotRail franchise now that the Scottish Executive directly procures, funds and manages ScotRail train services, leading on Scotland's rail strategy and investment programme.

Transport Scotland is an executive agency of the Scottish Executive, for which I am responsible as Minister for Transport. Scottish Ministers decide on Scotland's transport policy objectives, and Transport Scotland is charged with delivering them on Ministers' behalf. That delivery responsibility, and the operational decisions which go with it, are delegated to the Chief Executive of Transport Scotland.

This *Framework Document* sets out the different roles and responsibilities of Scottish Ministers, Transport Scotland and the Scottish Executive Enterprise, Transport & Lifelong Learning Department in delivering the Executive's transport policy objectives.

Beyond the Executive there are many different transport providers in Scotland ranged across the private, public and community sector. I look to all these bodies to work in partnership and deliver Scotland's transport future. And I will expect Transport Scotland to lead the way in setting standards of excellence and expertise in transport delivery – standards for which Scotland can be truly envied.

A handwritten signature in black ink, appearing to read 'Tavish Scott', written over a horizontal line.

Tavish Scott
Minister for Transport

THE PURPOSE OF THIS FRAMEWORK DOCUMENT

Transport Scotland was established on 1 January 2006 as an executive agency of the Scottish Executive. It is jointly responsible, with the Scottish Executive Enterprise, Transport & Lifelong Learning Department (ETLLD), for delivering the Scottish Executive's national transport agenda.

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 set out the parameters within which Transport Scotland operates, and how it will work to deliver the national transport agenda.

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

- The **vision** – set out in the 2004 Transport White Paper, *Scotland's Transport Future*. The National Transport Strategy, to be published in 2006, sets national priorities for the Scottish Executive as well as other transport providers in Scotland.
- **Functions** – what responsibilities sit within the remit of Transport Scotland.
- **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 Head of ETLLD.
- **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**, in addition to ETLLD.
- How **amendments** to the Framework Document will be made and agreed.

THE VISION

In the 2004 Transport White Paper, *Scotland's Transport Future*, Scottish Ministers set out the Scottish Executive's vision for transport:

'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, 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 deliver this vision, as follows:

Our purpose is to support delivery of the Scottish Executive's vision for sustainable transport in Scotland, making a real difference for people and businesses using the national rail and road systems.

The aims, objectives and targets required of Transport Scotland to fulfil its purpose are set out in detail in the *Corporate Plan*, together with the milestones and performance indicators used to measure successful delivery. Transport Scotland is subject to regular *Business Reviews* with the Minister for 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.

KEY ROLES AND RESPONSIBILITIES

THE MINISTER FOR TRANSPORT

The Minister for Transport is accountable to the Scottish Parliament. Through the Parliament, he or she is directly answerable to MSPs about delivery of the Scottish Executive's national transport priorities. How this accountability operates in detail is set out in *Financial and other accountabilities* (page 13).

The Scottish Ministers determine the policy and financial framework within which Transport Scotland works. Under the provisions of the Scotland Act 1998, they have overall responsibility for Transport Scotland.

Key responsibilities of the Minister for Transport are:

- 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 Executive'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 laying these before the Scottish Parliament.

TRANSPORT SCOTLAND CHIEF EXECUTIVE

The Chief Executive is Transport Scotland's Accountable Officer. He or she has direct responsibility for the operational management of Transport Scotland, for which he or she is directly accountable to the Minister for Transport. The Chief Executive therefore has a responsibility to keep the Minister for Transport updated on Transport Scotland's performance, through regular and effective dialogue. He or she includes the Head of ETLTD in this dialogue where necessary or appropriate.

Key responsibilities and accountabilities of the Chief Executive are:

- Delivery of Transport Scotland's functions, as determined by Scottish Ministers.
- Acting as Accountable Officer for the efficient and effective management of Transport Scotland's resources.
- Ensuring that, in advising on or delivering policy relating to Transport Scotland's resources, all relevant financial considerations and Scottish Executive guidance, including issues of propriety, regularity or value for money, are taken into account. Where necessary the Chief Executive should bring any such issues to the attention of Scottish Ministers or Scottish Executive officials.
- Presenting annual audited accounts for Transport Scotland as prescribed by the Scottish Executive Principal Accountable Officer for the Scottish Administration. 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 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.
- Replying to correspondence from MSPs on operational and contractual matters within Transport Scotland's delegated responsibilities; and providing the Minister for Transport with the information needed for the Minister to reply to written or oral Questions in the Scottish Parliament.
- Provision of advice to Scottish Ministers on transport functions which are the responsibility of Transport Scotland for the following purposes, in consultation with ETLLD where necessary or appropriate:
 - Informing development of the Executive's transport policies.
 - Preparing responses to all Parliamentary Questions, and to Ministerial Correspondence where an MSP is dissatisfied with a reply from the Chief Executive, or where the subject in whole or in part does not fall within the delegated responsibility of Transport Scotland.
 - Preparing material for Ministerial briefings.
 - Responding to Parliamentary Committees on matters within the delegated responsibility of Transport Scotland, working jointly with ETLLD and others where required – see *Financial and other accountabilities* (page 13).

TRANSPORT SCOTLAND MANAGEMENT

The Chief Executive is supported in the day-to-day management of Transport Scotland by his or her senior team. In addition, there will be at least two non-Executive Directors appointed in line with public appointment policies and procedures.

THE HEAD OF ENTERPRISE, TRANSPORT & LIFELONG LEARNING DEPARTMENT

The Head of ETLLD is the Departmental Accountable Officer, responsible for advising Ministers on the performance of Transport Scotland and the Chief Executive, and for advising Ministers on Transport Scotland's corporate and business planning, its performance against targets, and the overall budget.

The Head of ETLLD also carries out the annual appraisal of the Chief Executive in accordance with current arrangements for members of the Senior Civil Service. He or she will not normally intervene in the day-to-day running of Transport Scotland unless there are exceptional circumstances. He or she will also represent the interests of Transport Scotland within the wider Scottish Executive, and ensure that the Chief Executive is briefed on those issues which may affect Transport Scotland's operations.

FUNCTIONS OF TRANSPORT SCOTLAND

Transport Scotland's remit is to implement the National Transport Strategy set by Ministers, by carrying out functions relating to:

- The **rail network and trunk road networks** where the Scottish Executive is directly responsible for determining service provision.
- Supporting delivery of **projects to enhance public transport infrastructure** in Scotland.
- **Directly monitoring and supporting delivery of projects and services** related to the trunk road and rail networks by third parties.

It is also responsible for:

- **Improving integration** through the delivery of the national concessionary travel schemes; promoting integrated ticketing; and supporting the provision of impartial national travel information services.
- **Promoting excellence in Scotland's transport**, by developing and leading in delivery expertise.

AGENCY FUNCTIONS

Public transport enhancements

- Support the delivery of national public transport projects, including supporting and guiding third parties involved in planning, procurement and management of those projects.

Rail

- Advise on rail priorities within Ministers' National Transport Strategy for Scotland.
- Provide policy advice to Ministers on all matters relating to rail transport in Scotland.
- Plan rail investment accordingly.
- Procure, fund and performance manage delivery of the ScotRail rail passenger franchise.
- Specify and fund rail infrastructure outputs required in Scotland from Network Rail.

Trunk roads

- Advise on trunk road priorities within Ministers' National Transport Strategy for Scotland.
- Provide policy advice to Ministers on all matters relating to trunk road transport in Scotland.
- Plan trunk road investment accordingly.
- Plan, procure and manage the delivery of new trunk roads and enhancements to the trunk road system.
- Manage the trunk road network, including procurement of maintenance contracts.

Integrated transport

- Establish and run the national concessionary travel schemes in Scotland for older people, disabled people and young people.
- Plan and oversee the provision of integrated travel information in Scotland, and of integrated ticketing.

A national centre of transport excellence

- Act as a centre of excellence in Scotland in delivering its transport functions.
- Provide advice and delivery expertise to ETLLD on the National Transport Strategy, transport policy and financial allocations to transport by the Executive.
- Provide advice to the Scottish Ministers on matters relating to its key functions.

The complementary functions of the Enterprise, Transport & Lifelong Learning Department are set out in *Annex 2* (page 22).

WORKING PRINCIPLES OF TRANSPORT SCOTLAND

Working within the Civil Service Code, Transport Scotland and its staff will deliver its functions on the basis of 5 core working principles. It will:

1. Strive to become a centre of excellence in transport delivery, both nationally and internationally.
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 our planning and delivery.
5. Make the most efficient use of public resources, and equip our staff to do the best possible job.

ACCOUNTABILITY TO THE SCOTTISH PARLIAMENT

Through the Minister for Transport, the Scottish Ministers are accountable to the Scottish Parliament for the functions of Transport Scotland.

Day-to-day operational responsibilities are delegated to the Chief Executive who is in turn directly accountable to the Minister for Transport.

APPEARANCE AT PARLIAMENTARY COMMITTEES

Scottish Ministers will decide who should represent them at Parliamentary Committee hearings. In practice, the Chief Executive will normally be asked to represent Scottish Ministers on matters relating to Transport Scotland's delegated responsibilities. In some circumstances it may be appropriate also for the Head of ETLTD to attend with the Chief Executive.

The Chief Executive is liable to be required to appear before Committees of the Scottish Parliament, including the Audit Committee, to account for the discharge of his or her responsibilities under the terms of this *Framework Document*.

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

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

SCOTTISH PARLIAMENTARY COMMISSIONER FOR ADMINISTRATION

Transport Scotland is subject to investigation by the Scottish Parliamentary Commissioner for Administration (the "Ombudsman").

PARLIAMENTARY QUESTIONS

The Chief Executive will ensure that Transport Scotland provides the Minister for Transport with the information required for the Minister 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 operational responsibilities delegated to Transport Scotland.

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

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 Minister for Transport.

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 matters which are not delegated to Transport Scotland.

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 Executive as a whole.

FINANCIAL AND OTHER ACCOUNTABILITIES

GENERAL

Transport Scotland is funded from the Scottish Executive Transport Budget, and the Scottish Ministers determine Transport Scotland's allocation within this.

The end-year flexibility arrangements which apply to the rest of the Scottish Executive, subject to the overall position on the Scottish Executive Budget, will also apply to Transport Scotland.

ACCOUNTABLE OFFICER ROLES

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

The Head of the Scottish Executive Enterprise, Transport & Lifelong Learning Department is the Departmental Accountable Officer for the Budget from which Transport Scotland is funded. 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.

As Agency Accountable Officer, the Chief Executive has a personal responsibility for the propriety and regularity of public finances for the part of the Scottish Administration for which he or she is accountable, and for ensuring that the resources for which he or she is accountable 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 Finances Manual*.

The Chief Executive is also responsible for putting into effect any recommendations of the Scottish Parliament accepted by the Scottish Executive.

FINANCIAL DELEGATIONS TO TRANSPORT SCOTLAND

The Head of the Scottish Executive Enterprise, Transport & Lifelong Learning Department is the Departmental Accountable Officer for the budget from which Transport Scotland is funded. The financial delegations for Transport Scotland are set out in *Annex 1* (page 21).

The Chief Executive is responsible for ensuring that financial procedures comply with financial guidance issued by Scottish Executive Finance Group and the Scottish Procurement Directorate. Transport Scotland must comply with the requirements of the *Scottish Public Finance Manual*, including appropriate consultation with Finance officials on in-year changes to Budgets set by Parliament.

Under certain circumstances, Transport Scotland must involve the Scottish Executive Finance and Central Services Department (Finance Group) in financial decisions. These circumstances are set out in Roles and Involvement of Finance in the *Scottish Public Finance Manual*.

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 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 Departmental Accountable Officer reserves the right to have the Scottish Executive 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.

Transport Scotland will have an Audit Committee, with membership and operating procedures as determined by the relevant Guidance. The Audit Committee is responsible for determining the meeting cycle of the Committee.

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, to be laid 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. The Act also requires that such accounts shall be sent to the Auditor-General for Scotland not later than 6 months after the end of the financial year to which the accounts relate. Therefore Transport Scotland will be required to complete its accounts in sufficient time to be incorporated into the consolidated Scottish Executive accounts to meet the deadlines stipulated in the Act.

An accounts direction will be issued to Transport Scotland by the Scottish Ministers stating that the first published accounts will be prepared for the financial year 1 April 2006 to 31 March 2007.

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 Departmental Accountable Officer (the Head of ETLLED) with sufficient information to assure them that Transport Scotland's expenditure is being handled in a proper and prudent manner, and that Transport Scotland is achieving value for money from its resources in delivering its functions. Transport Scotland will provide such financial or other information to the Head of ETLLED as he or she may require, using the Scottish Executive corporate finance system. The nature and timing of information required by the Head of ETLLED will be agreed in advance whenever possible.

ARRANGEMENTS FOR RISK MANAGEMENT

The Chief Executive is responsible for implementing and monitoring appropriate risk management arrangements in accordance with the relevant guidance in the *Scottish Public Finance Manual* for the successful delivery of agency functions and projects.

Transport Scotland's risks, including public and employer liability, are carried in line with the Scottish Executive's policy on insurance. The Chief Executive will keep the Departmental Finance Team informed of the level of any contingent liabilities, including where possible an assessment of their values. Where appropriate he or she will report contingent liabilities to the Scottish Parliament, seeking prior approval where appropriate in line with Scottish Executive Finance Guidance.

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. 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*. The first such plan will cover the 2-year period 2006–2008 to fall in line with budgetary and spending review cycles. Subsequent plans will 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. 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.

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 2006 and each year thereafter 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.

After 2006–07 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

HUMAN RESOURCES

The Chief Executive is responsible for all aspects (except pensions) of Human Resource management for Transport Scotland staff, in line with the Scottish Executive's Human Resources policies and procedures. Details of Human Resource management and policy are set out in the *Corporate Plan*.

Terms and Conditions of Service

The staff of Transport Scotland are civil servants and subject to the terms and conditions of service for Scottish Executive Main employees. They are members of, or eligible to join, the Principal Civil Service Pension Scheme.

Recruitment

The Chief Executive of Transport Scotland is appointed by open competition overseen by the Civil Service Commissioners. The Chief Executive is a civil servant and subject to the Civil Service Code of Conduct. Transport Scotland is responsible for the recruitment of its staff. Recruitment for Senior Civil Service posts will be the responsibility of the Chief Executive in consultation with the Scottish Executive's Director of Human Resources. All recruitment, including that for Senior Civil Service posts, will adhere to the Scottish Executive's recruitment policies and procedures.

Staff relations

The Chief Executive is responsible for promoting and supporting effective staff relations, consulting with trade union representatives where appropriate in line with the Partnership Agreement between the Council of Scottish Executive Unions and the Executive.

Training and staff development

The Chief Executive is responsible for the training and development of staff to ensure that all staff have 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 Executive.

Promotion

Transport Scotland staff remain eligible for promotion opportunities in the Scottish Executive, and vice versa. Transport Scotland will agree with the Scottish Executive each year the arrangements that are needed to ensure common promotion standards between it and the rest of the Scottish Executive.

Health and Safety

The Chief Executive is responsible for ensuring compliance with the Health and Safety at Work Act 1974.

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, in discussion with the Head of ETLTD, and set out proposals for review of specific services in the *Corporate Plan*.

Transport Scotland will be responsible for procuring the following services directly, ensuring that opportunities to share services with other executive agencies or Scottish Executive Departments, in line with Efficient Government requirements, are considered where appropriate:

- Financial management and accounting arrangements, using SEAS.
- Any additional Press and PR support, in liaison with the Scottish Executive Media and Communications Group.
- Human Resources, excluding payroll.
- Internal audit.
- Accommodation.
- Legal services.
- Procurement expertise.

The Scottish Executive will provide the following support services:

- Ministerial press support.
- Information systems, including SCOTS, SEAS, ERDM and telecoms.
- IT systems support.
- Payroll.
- Analytical services.

A Service Level Agreement will be agreed between Transport Scotland and any Scottish Executive Department responsible for the provision of shared services.

EQUALITIES

The Chief Executive is responsible for ensuring adherence to Scottish Executive equalities policies, and relevant equalities 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. 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 Executive 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*.

COMPLAINTS

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

RELATIONSHIPS WITH OTHER BODIES

Transport Scotland will, in respect of those responsibilities which are delegated to it, deal with any negotiations, agreements or other contacts with all bodies involved in the development or delivery of transport in Scotland. The Chief Executive will keep the Minister for Transport appropriately updated on these communications.

These bodies include:

- Department for Transport, and any other UK Government Departments, in line with agreed concordats.
- Other devolved Governments in Great Britain.
- 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, or Non-Departmental Public Bodies as appropriate.
- The Council of Scottish Executive Unions, in line with the Scottish Executive Framework Agreement with CSEU.

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 manages directly the contractual relationship with ScotRail on behalf of Scottish Ministers.
- Transport Scotland funds Network Rail's activity in Scotland, and on behalf of Scottish Ministers will agree and give effect to the Binding Arrangement with Network Rail for its activity in Scotland. Scottish Ministers specify the outputs to be delivered by Network Rail in Scotland, with Transport Scotland discharging this role on behalf of Scottish Ministers.
- 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.

CHANGES TO THIS FRAMEWORK DOCUMENT

REVIEW ARRANGEMENTS

This *Framework Document* will be reviewed jointly by the Scottish Ministers, the Chief Executive and the Head of ETLLD every 3 years. Changes may be proposed earlier, should circumstances require that.

Relevant Scottish Executive Departments will be consulted on any proposed changes prior to submission to the Scottish Ministers for approval.

ENQUIRIES

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

ANNEX I

FINANCIAL DELEGATIONS

Transport Scotland Chief Executive has full authority to discharge his or her financial responsibilities in accordance with the relevant legislative provisions and the *Scottish Public Finance Manual*. These responsibilities are detailed in the Personal Financial Responsibility Statement.

The Chief Executive has a specific responsibility to:

- Manage the administrative budget of Transport Scotland.
- Account for expenditure against approved programme budgets.
- Organise the work of Transport Scotland to deliver the required results as economically, efficiently and effectively as possible.

The approved budgets referred to above are:

Delegation to Transport Scotland Chief Executive

Level 2 Categories

Rail Services in Scotland
 Concessionary Fares
 Motorways and Trunk Roads
 Motorways and Trunk Roads depreciation
 Motorways and Trunk Roads cost of capital

Level 3 categories

Major Public Transport Infrastructure Projects
 Transport Scotland Administration costs
 Rail Development
 Transport Information
 Track Access Grants
 Strategic Project Review

Transport Scotland Directorates will have appropriate delegated purchasing authority to ensure that procurement of goods and services is undertaken in accordance with relevant Scottish Executive guidance.

The Chief Executive will ensure that all staff involved in the procurement of goods, works or services for which they have responsibility are aware of these guidelines and relevant guidance on purchasing policy and practice matters including the Scottish Executive's *Procurement Policy Manual* and *Scottish Procurement Directorate Toolkit* issued by the Scottish Procurement Directorate and guidance on Public Private Partnerships issued by the Scottish Executive Finance Partnerships Unit. Local procurement procedures should reflect current guidance and practice of Transport Scotland.

ANNEX 2

FUNCTIONS OF THE ENTERPRISE, TRANSPORT & LIFELONG LEARNING DEPARTMENT

ETLLD co-ordinates **national transport strategy, and financial and legislative matters related to transport**, for the Scottish Executive as a whole, on behalf of the Minister for Transport. It works in partnership with providers of **air, freight and bus** services in Scotland. (These services are variously provided by commercial transport operators and local authorities.) It also oversees the procurement and management of **ferry, port and harbour services**. Jointly with Transport Scotland and because of its strategic role, ETLLD is also responsible for **improving integration** and the **promotion of excellence**. Finally, it manages transport casework, for example offering advice to Scottish Ministers where they must determine proposed changes or additions to the road network.

Promoting excellence

- Co-ordination of the National Transport Strategy as set by Scottish Ministers, on which Transport Scotland will provide professional advice and delivery expertise.
- Monitoring of regional transport partnerships, including the delivery of Regional Transport Strategies.
- Preparation of transport legislation within the devolved competence of the Scottish Parliament; and responsibility for European Union matters, including relevant EU legislation.

Finance

- Advice, in consultation with Transport Scotland and the Scottish Executive Finance and Central Services Department, to Scottish Ministers on the Transport Budget including Spending Reviews. Transport Scotland provides advice to Scottish Ministers and ETLLD on financial matters relating to its functions.
- Grants for transport initiatives and projects delivered by third parties, principally the regional transport partnerships.

Air, freight, buses and roads

- Policy and operational advice to Scottish Ministers on air, freight, bus and local road provision in Scotland, working in liaison with relevant transport providers.

Ferries, ports and harbours

- Policy advice to Scottish Ministers on ferry services, ports and harbours provision.
- Procurement of ferry services for Scotland.

Further copies of this document are available, on request, in audio and large print formats and in community languages, please contact:

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

এই ডকুমেন্ট-এর (দলিল) অতিরিক্ত কপি, অডিও এবং বড়ো ছাপার আকার আকার এবং সম্প্রদায়ভাষায় 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:

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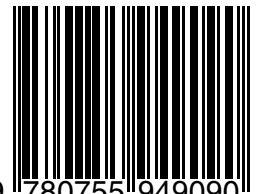
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