National Transport Strategy

Roles and Responsibilities

Assessment of Transport Governance in Scotland

Final

JACOBS®

NTS Roles and Responsibilities

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1 Overview

Jacobs was commissioned by Transport Scotland, on behalf of the National Transport Strategy (NTS) Roles and Responsibilities Working Group, to carry out an assessment of the current provision of transport functions, identify any issues and recommend a range of options with change(s) to the level at which transport function(s) are currently discharged to achieve optimal transport governance for the implementation of the emerging NTS and the delivery of transport in Scotland.

1.1 Purpose of the Assessment

The purpose of the assessment was to identify a series of possible options for change to the level at which transport functions are currently discharged and set out the benefits of each option for further consideration by the NTS Roles and Responsibilities Working Group. This is in response to changes to the context of transport in Scotland, a desire to have the transport user and potential user at the heart of the provision of services and more specifically, the aim to 'ultimately enable coordinated action between national/local government and partners to support delivery of the successor NTS currently being developed through the NTS Review'.

The brief also stated that part of this work should consider existing and emerging regional structures, to map transport onto these to suggest options and recommendations for a structure for transport. It suggests consideration of the following factors:

- ensuring resilience in providing transport;

- considering efficiencies in discharging transport functions;

- legal accountability;

- considering the effectiveness of cross boundary issues and responsibilities;

- taking account of partnerships emerging through city and regional growth deals;

- responding to infrastructure planning and delivery challenges;

- including consideration of the roads collaboration programme;

- being mindful of emerging changing legislation and regional structures, e.g. through the Transport Bill, Planning reform, enterprise and skills review, greater community empowerment; and

- considering the need for improved coherence across transport and to support the delivery of desired NTS transport outcomes which are under development.

1.2 Setting the Context

The current governance arrangements for transport in Scotland have remained fairly constant since first established around twelve years ago. Meanwhile, demand for travel and wider economic and environmental awareness and pressures have changed and greater devolution in other regions of the United Kingdom (UK) present an opportunity to refresh governance at a time when the NTS is being reviewed.

The original NTS was published in December 2006 and sets the long-term vision for transport policies to support economic growth. In 2015 it was decided to refresh the strategy and as part of this, a review of roles and responsibilities was undertaken. The subsequent refresh recommended that a full and collaborative review of the NTS should be carried out. It was agreed that the following would be included in the development of the NTS:

- Consideration of current and future trends, forecasts and drivers;

- Development of future scenarios;

- Creation of a compelling vision for transport;

- Identification of desired outcomes; and
- Confirmation of policy options.

Four thematic groups have been established to shape the NTS, including:

- Greener and healthier;
- Enabling economic growth;
- Tackling inequalities; and
- Delivering safe and resilient transport.

Furthermore, as part of the NTS review, three functional groups were convened to deliver the key building blocks of the review:

- Research and evidence;
- Strategic framework; and
- Transport roles and responsibilities.

The latter group brought together key external stakeholders, including the Society of Local Authority Chief Executives (SOLACE), the Convention of Scottish Local Authorities (COSLA), Regional Transport Partnerships (RTPs), The Society of Chief Officers in Transportation in Scotland (SCOTS), Scottish Cities Alliance (SCA), Heads of Planning Scotland (HoPS), Clydeplan, Non-Governmental Organisation (NGO) representation including Sustrans Scotland, Scottish Government and Transport Scotland officials. This group has been responsible for shaping and reviewing the scope and direction of this review and has been fully engaged in its approach, emerging options and their evaluation. Such a collaborative approach has proved essential in enabling this high-level review to be carried out objectively and relatively quickly, ensuring it is evidence based whilst taking account of the emerging legislative and policy landscape. Following this report, this group will make proposals which can deliver the outcomes that are desired for transport and its key relationships with other areas of policy.

1.3   Current Governance Model

As set out in the NTS review, prepared by Transport Scotland in January 2016, responsibility for transport provision and its governance rests with a number of organisations. Who is responsible for what is dependent on a number of factors such as:

- the mode of transport;
- the geographical location;
- the trip purpose; and
- the type of intervention.

Given this matrix and the historical arrangements in place, a complex arrangement for managing transport has emerged. This varies for different transport modes, regions and policy areas.

1.4   National Structures

1.4.1   Scottish Government

The devolved Scottish Government is responsible for the overall transport strategy for Scotland. Its purpose is stated as:

'*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 Scotland Act 1998 divided legislative responsibility between the UK Parliament in Westminster and the Scottish Parliament. Devolved powers transferred to the Scottish Parliament at this time included:

- Passenger and road transport covering the Scottish road network;

- Promotion of road safety;

- Bus policy;

- Concessionary fares;

- Cycling, taxis and mini-cabs;

- Setting the strategic direction and funding priorities for rail in Scotland;

- Air and sea powers covering ports, harbours, piers;

- Provision of freight shipping and some ferry services; and

- Highlands & Islands Airports Ltd and planning and environmental issues relating to airports.

Since 1998, further powers have been devolved such as:

- Setting of drink drive and speeding limits;

- Rail franchising and additional rail powers provided through the Scotland Act, with a commitment to using these powers to enable a public service operator to bid for future rail franchises;

- Road signs and speeds; and

- Functions of the British Transport Police.

1.4.2   Transport Scotland

The key national transport agency in Scotland is Transport Scotland which was established as an executive agency of the then Scottish Executive in 2005. In 2010, it merged with the Scottish Government's Transport Directorate. Transport Scotland is accountable to Ministers for a wide range of activities and currently includes the following areas:

- Preparation of the NTS, which is linked to the overall economic, environmental and land use planning strategies and plans as illustrated in Figure 1-1;

- Aviation, bus and freight policy;

- Strategy for ports and harbours;

- Providing advice to Scottish Ministers on transport issues;

- Preparation of the Strategic Transport Projects Review (STPR) which sets out investment priorities to support economic growth;

- Approval of Regional Transport Strategies;

- Management of the ScotRail franchise;

- Management of the Caledonian Sleeper franchise, which is separately let from ScotRail, allowing a greater focus on development of the service;

- Funding and strategic direction of Network Rail's Scottish region. Network Rail, as a public body, is effectively owned and controlled by the UK Government. The devolved arrangements in place at present give the Scottish Government the powers to set the strategic direction and funding priorities for Scotland;

- Planning and funding of railway capital projects;

- Involvement in the delivery of railway capital projects;

- Control and administration of the Bus Service Operator Grant;

- Management of the Scottish trunk road network;

- Funding and management of major trunk road capital projects;

- Road safety;

- Overarching direction for local roads policy;

- National concessionary policy;

- Management of the national concessionary fares scheme for elderly and disabled people;

- The Blue Badge Scheme (disabled persons' parking permits);

- Accessibility plans;

- Support Local Authorities, commercial and third sector transport providers in the delivery and improvement of transport services at a more local level;

- Walking and cycling plans (in liaison with Sustrans Scotland); and

- Operation of a number of ferries, ports and harbours.

Figure 1-1: Overarching National Functions

1.5   Regional Structures

The Transport (Scotland) Act 2005 also established seven RTPs (they were largely pre-existing on a voluntary basis) to strengthen the planning and delivery of regional transport for people and businesses. Whilst they do not have the legal standing of a 'local authority', they function by bringing together the constituent local authorities to fulfil a regional statutory role (local councillors make up around two-thirds of the membership of each RTP) and can have local authority functions transferred to them.

The RTPs vary dramatically in geographical size (see Figure 1-2), population and functions. Three 'models' of RTP are 'available' with each RTP having the option to seek conversion to their favoured model with the backing of their constituent councils. These are incremental, building on the 'do-minimum' Model 1.
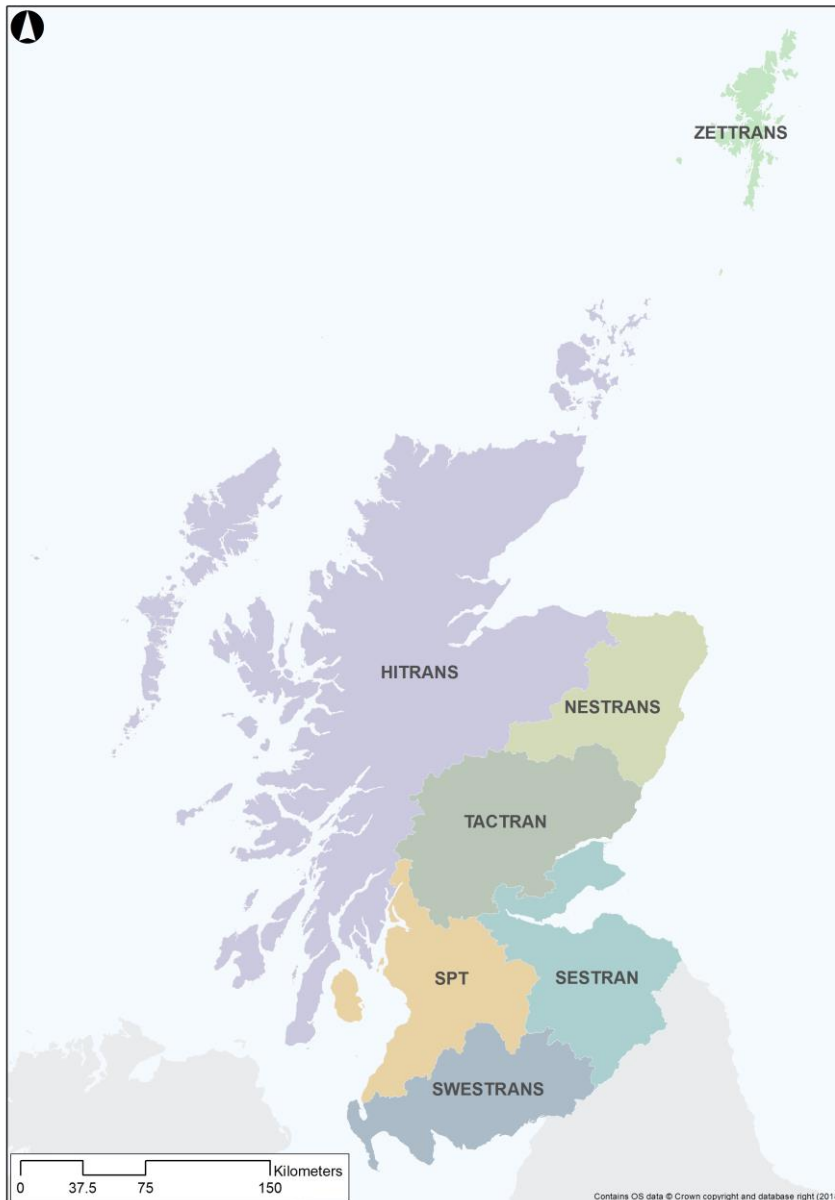
Figure 1-2: Geographical Extent of Regional Transport Partnerships

1.5.1 Model 1: Regional Transport Strategy only (no public transport functions)

The 'core' role of RTPs is to bring together local authorities and other key regional stakeholders to take a strategic approach to transport in each region of Scotland (although two of the current RTPs are single Council 'partnerships'). Key responsibilities include:

• Developing statutory Regional Transport Strategies (RTS), supported by a delivery plan for projects and proposals;

• Inputting to the Strategic Development Plans (SDP) of the Strategic Development Planning Authorities (SDPA) (which may be adjusted following Planning legislation changes); and

• Inputting to Local Development Plans (LDP) of constituent authorities.

Section 8 of the Transport (Scotland) Act 2005 places a duty on councils and other public bodies to perform any functions which relate to transport, in line with the RTS.

Current 'Model 1' RTPs include:

- Highlands and Islands Transport Partnership (HITRANS) consisting of 5 constituent councils: Argyll and Bute Council (except Helensburgh and Lomond), Comhairle nan Eilean Siar, Highland Council, Moray Council and Orkney Islands Council. It covers an area of approx. 39,000km^2 and has a population of approximately 0.4 million.

- North-East of Scotland Transport Partnership (NESTRANS) consisting of 2 constituent councils, Aberdeen City Council and Aberdeenshire Council. It covers an area of approx. 6,500km^2 and has a population of approximately 0.5 million.

- Tayside and Central Scotland Transport Partnership (TACTRAN) consisting of 4 constituent councils, Angus Council, Dundee City Council, Perth and Kinross Council and Stirling Council. It covers an area of approx. 9,700km^2 and has a population of approximately 0.5 million.

- South-East of Scotland Transport Partnership (SESTRAN) consisting of 8 constituent councils, City of Edinburgh Council, Clackmannanshire Council, East Lothian Council, Falkirk Council, Fife Council, Midlothian Council, Scottish Borders Council and West Lothian Council. It covers an area of approx. 8,250km^2 and has a population of approximately 1.5 million.

1.5.2   Model 2: RTS plus some transport powers transferred from local authorities

Along with the RTS, the RTP would identify those parts of the strategy that it was to deliver and the powers that it would require to achieve this. Following consultation and secondary legislation, functions could then be transferred from the local authorities in the partnership to the RTP itself. There are no RTPs currently complying with this model.

1.5.3   Model 3: RTS plus some significant public transport powers transferred

This model further expands model 2 such that Model 3 RTPs are also responsible for the delivery of transport services which were transferred to them or operate concurrently with the Councils. This expansion of responsibility is enabled through secondary legislation.

Current Model 3 RTPs include:

- Shetland Transport Partnership (ZETTRANS) consisting of 1 constituent council, Shetland Islands Council. It covers an area of approximately 1,500km^2 and has a population of approximately 0.02 million.

- South-West of Scotland Transport Partnership (SWESTRANS) consisting of 1 constituent council, Dumfries and Galloway Council. It covers an area of approx. 6,500km^2 and has a population of approximately 0.2 million.

- Strathclyde Partnership for Transport (SPT) consisting of 12 constituent councils; Argyll and Bute Council (Helensburgh and Lomond only), East Ayrshire Council, East Dunbartonshire Council, East Renfrewshire Council, Glasgow City Council, Inverclyde Council, North Ayrshire Council, North Lanarkshire Council, Renfrewshire Council, South Ayrshire Council, South Lanarkshire Council and West Dunbartonshire Council. It covers an area of approx. 6,700km^2 and has a population of approximately 2.1 million.

SPT took over responsibility from the former Strathclyde Passenger Transport Authority/Executive and the voluntary transport partnership which operated in the west of Scotland and, as a result, is of a much greater scale than the other RTPs. It owns and operates the Glasgow Subway, which carries around 13 million passengers each year, and also operates major bus stations across the west of Scotland (including Buchanan Street in Glasgow) and some ferry services. It directly employs circa 550 staff with an extensive capital programme. It is responsible for delivery of Glasgow subway modernisation and Fastlink bus rapid transit programmes. SPT also contracts school bus transport on behalf of the constituent local authorities

and now runs some of the social welfare fleets on behalf of member councils. It is also leading the improvement of public transport provision for health and manages much of the demand responsive transport provision in the West of Scotland via a dedicated call centre.

The Scottish Government provides the RTPs with revenue grant funding towards their running costs. The core running costs element being match funded, to varying extents, by the constituent authorities. RTPs are not provided with direct capital funding with the exception of SPT which has a separate arrangement under the local government settlement. Capital funding distributed through the local government settlement has, in many cases, failed to return to the other RTPs from constituent councils for regional projects as was anticipated.

1.6   Local Authorities

Scotland's 32 local authorities are responsible for transport arrangements at a local level. They are locally accountable to their electorate with 1,233 Councillors who are elected every four years. As with the RTPs, their geographical coverage ranges greatly from 67km^2 in Dundee to 32,211km^2 in the Highlands, while their population ranges from just over 20,000 people in the Orkney Islands Council area to almost 600,000 in the Glasgow City Council area.

Local authorities have responsibility for local transport policy, the development and implementation of Local Transport Strategies (within the wider national and regional policy context). They are designated as the roads authority for their area under the Roads (Scotland) Act 1984 with responsibility for all aspects of the non-motorway and non-trunk road network within their jurisdiction, including maintenance. The length of road (kilometres) and magnitude of travel (vehicle kilometres) in each local authority, as reported in Scottish Transport Statistics[1], No 36, 2017 Edition, are indicated in Figures 1-3 and 1-4 respectively.
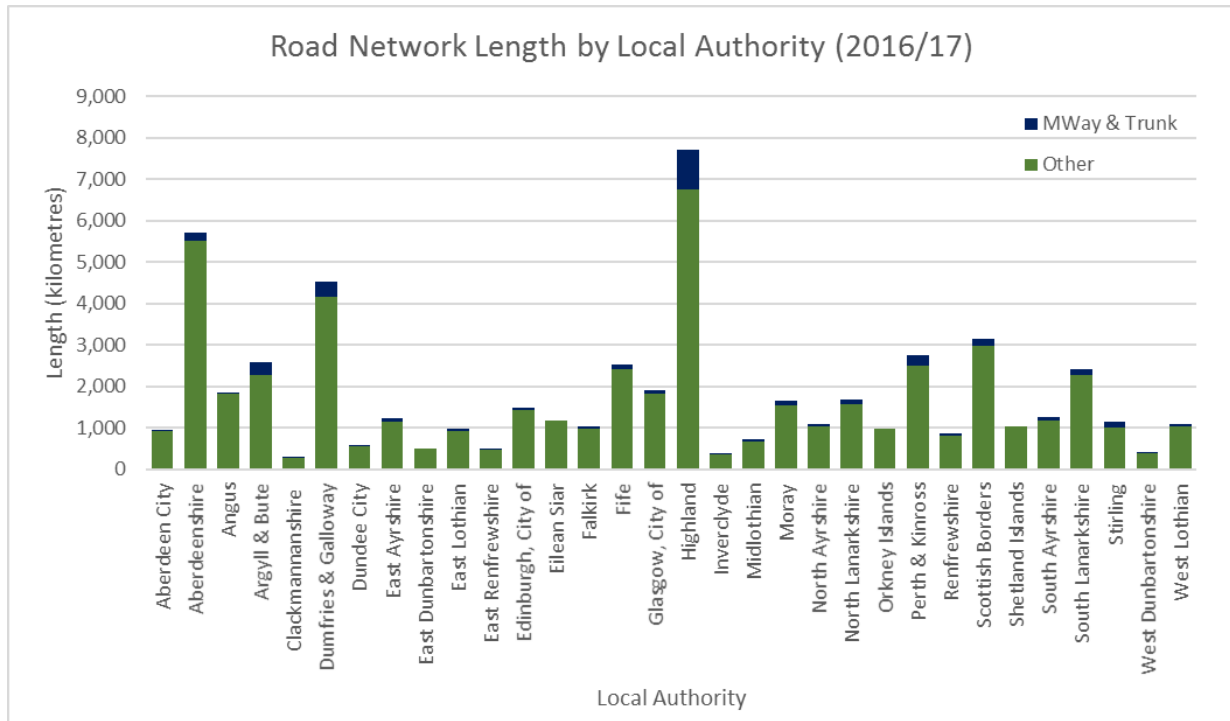
Figure 1-3: Road Length (km) by Local Authority (2016/17)

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[1] https://www.transport.gov.scot/publication/scottish-transport-statistics-no-36-2017-edition/
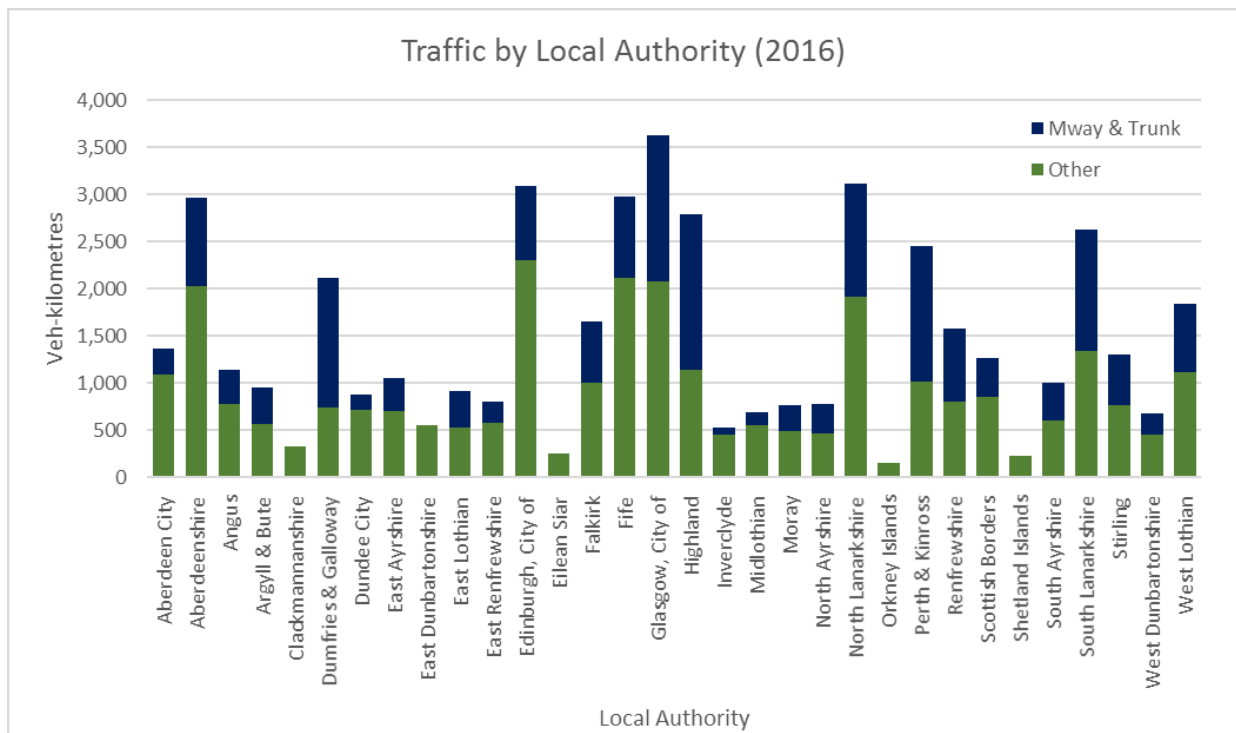
Figure 1-4: Traffic (veh-km) by Local Authority (2016)

Local authorities are also responsible for footpaths, cycle paths, bus infrastructure, taxi licensing and car parks. They support socially desirable non-commercial bus services through competitive tender and are responsible for the operation of some bus and ferry services across the country and some harbours and airports.

In some cases, local authorities work together to provide a service across more than one local authority area through a Joint Board or Joint Committee. Sometimes collaborations can be with a number of other public bodies, for instance to develop multi-authority bus partnerships, franchising and ticketing schemes. In other cases, local authorities are required by law to work with other public bodies to deliver an integrated approach. Since 2003, local authorities have been required to work in Community Planning partnerships with other agencies (such as health boards, enterprise, police and fire & rescue service bodies) responsible for public service delivery in an area.

Community planning requires these public-sector bodies to work together and with appropriate community bodies, to improve outcomes and reduce outcome inequalities on locally identified priorities. These arrangements, in turn, feed into wider socio-economic factors such as growth, healthcare and education. Local authorities are responsible for spatial planning in their area and therefore also have an opportunity to greatly influence transport need and, subsequently, the provision of transport itself.

The local authorities themselves provide significant funding to ensure that the transport needs of those with disabilities, or who live in remote areas, are met. In some instance, this involves voluntary collaboration between areas. While there are some significant and good examples of cross-boundary co-operation and joint working on these, and other aspects of transport provision, this has not been widely taken up by authorities as a more general approach to transportation delivery, operations and/or maintenance.

The Transport (Scotland) Act 2001 allowed local authorities to establish statutory bus quality partnership and quality contract schemes, introduce local road user charging schemes and other more minor transport related matters.

The geographical locations of Scotland's 32 local authorities are indicated in Figures 1-5 and 1-6.

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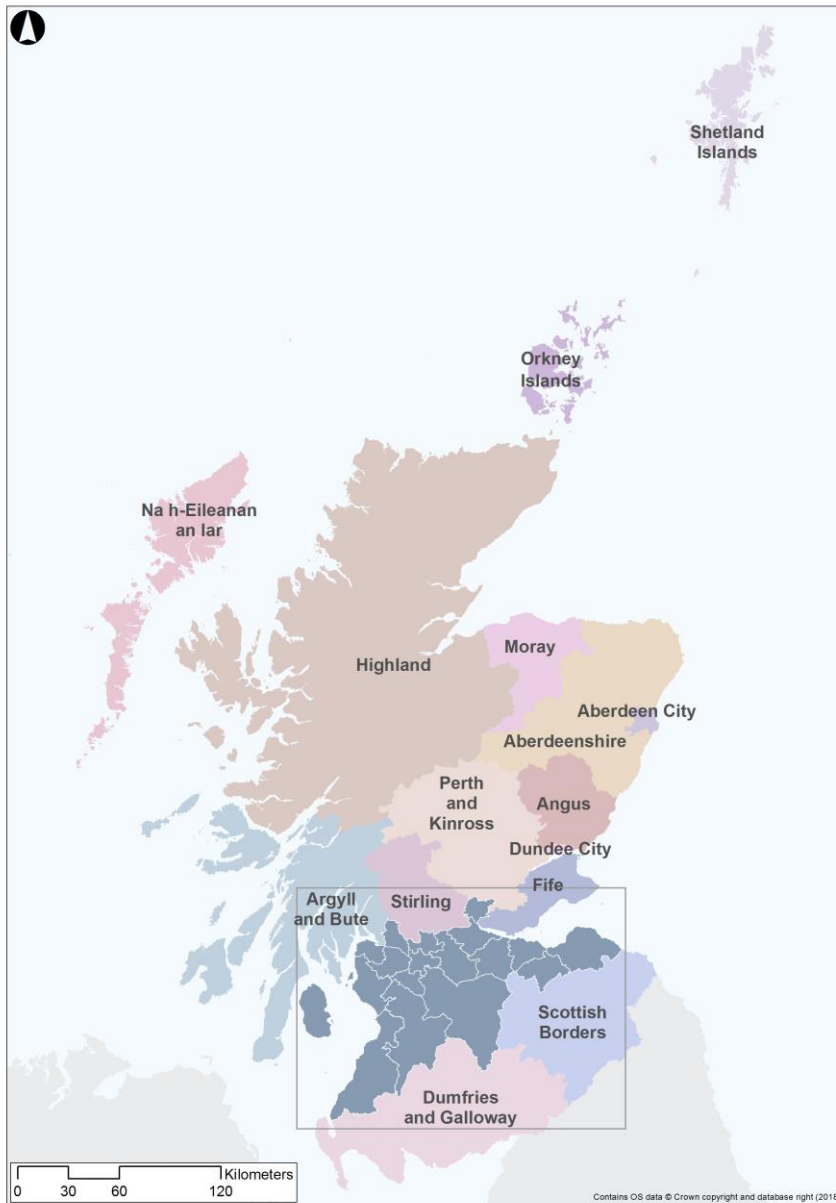
Figure 1-5**: Geographical Extent of Local Authorities (excluding Central Belt)**
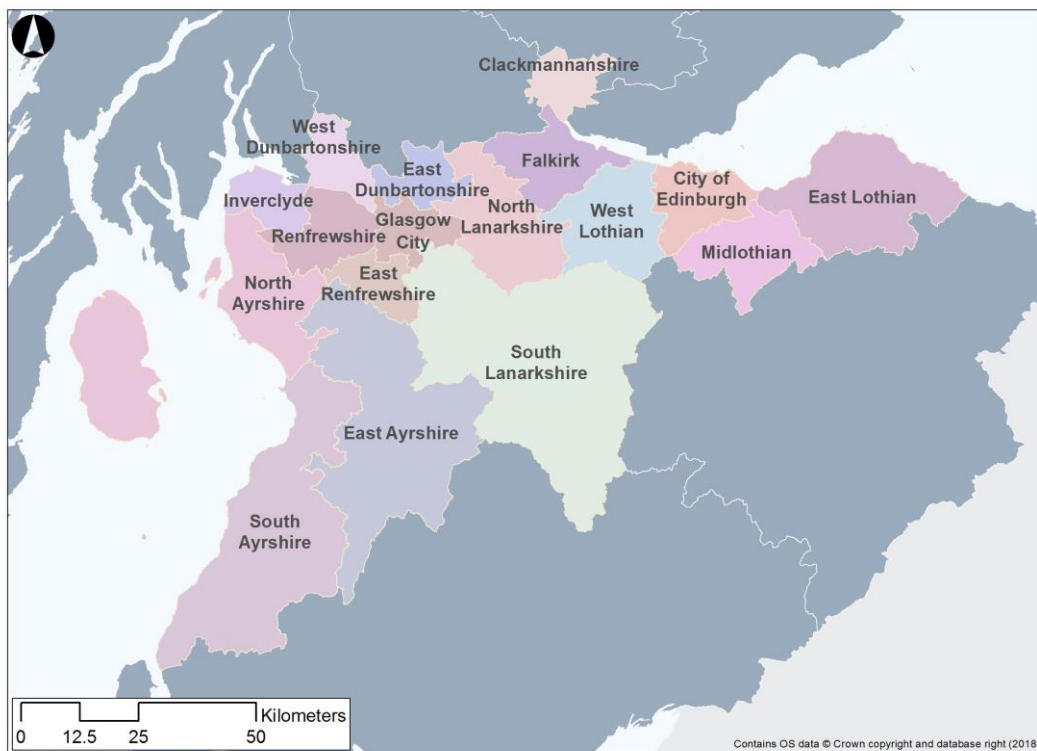
Figure 1-6: Geographical Extent of Local Authorities (Central Belt)

1.7 Non-Governmental and Third Sector Organisations

A number of Non-Governmental and third-party organisations have a key role to play in providing transport in Scotland. A key organisation for the provision of active travel infrastructure and support is Sustrans Scotland. This provides expertise and best practice in this increasingly important area which is not always available in local authorities. Additional funding (Transport Scotland funding plus 50% match) is currently used for active travel projects through grant funding and terms attached that enable tracking/monitoring and reporting on projects delivered by the funding.

Sustrans Scotland has also developed partnership agreements with a number of the RTPs (HITRANS, NESTRANS, SESTRAN, SPT and TACTRAN). This provides for the provision of a regional active travel officer post in the RTP. Grants are then managed by the respective regional active travel officer and spent on the development of active travel infrastructure across the region.

Other organisations include transport promoters, community transport groups, charities, voluntary organisations, academic sectors, social enterprises and campaign groups. The roles these organisations play in transport includes, but is not limited to, the following:

- Provision of infrastructure and behaviour change initiatives;

- Distribution of grant funding for sustainable and active travel initiatives;

- Building local delivery partnerships;

- Provision of community transport;

- Advocacy for service users and communities;

- Supporting positive and sustainable lifestyle and travel choices; and

- Research activities.

1.8 Other Public-Sector Bodies

A number of other public-sector bodies have roles to play in shaping transport in Scotland, such as emergency services (Police Scotland, the Scottish Ambulance Service and the Scottish Fire and Rescue Service), the Mobility and Access Committee for Scotland and National Park Authorities.

1.9 Private Sector

The private sector is a key provider of transport services across Scotland covering all modes of transport operations and services, ranging from ferry services to consultancy advisory and professional services. It is involved in significant capital programmes across all authorities as well as in the operations of bus services, rail, freight and ferry operations and road maintenance.

The majority of bus operations are provided by the private sector with over 200 companies operating local bus and express coach services in Scotland. Around three quarters of all public transport journeys are made by bus. Central Government provides the framework of options for local or regional authorities to improve provision for example through funding additional services. Bus usage has seen a significant decline in usage over recent years and a recent report for the Confederation of Passenger Transport in Scotland (CPT Scotland)[2], the trade association representing the bus and coach industry, has estimated that 75% of this decline is due to factors outside of their direct control (e.g. congestion, changing retail patterns). CPT would, therefore, like to see stronger collaboration and partnerships covering investment in strategies for city regions, in particular to improve performance. Additional options for delivering improved local provision are proposed with the passing of the recently published Transport Bill.

Similarly, most rail services in Scotland are provided by the private sector. In this case, just one operator provides the majority of rail services service Scotland. Abellio is the current operator of Scotrail and this is let as a single franchise agreement with Transport Scotland. It currently operates around 2,300 train services each day and provides around 93 million passenger journeys each year. This covers all of the services in Scotland apart from cross border services (provided by London North Eastern Railway (LNER) East Coast mainline services, TransPennine and CrossCountry) and the Caledonian Sleeper service, which is also a Transport Scotland franchised service.

Further, on the road network, maintenance schemes are carried out through three main Transport Scotland contracted operating companies - BEAR Scotland, Amey and Scotland Transerv. The work of these private sector companies includes trunk road, motorway and bridge maintenance, incident management and support, clearing litter, providing lighting, minimising landslide risks and undertaking annual road condition surveys.

1.10 City Region Deals, Growth Deals and Regional Economic Partnerships

Over recent years, a number of City Region Deals have been established in Scotland. There are plans to ensure that all areas of Scotland have a City Region or Growth Deal in place. These deals typically cover 10-15 years of investment by the Scottish and UK governments, with additional investment from local authorities and investment levered in from the private sector. Partners involved in creating and delivering deals include local authorities, economic development agencies, academia, the third sector and the private sector.

It is anticipated that, by the end of 2019, there will be Heads of Terms, or deals in place, for all of Scotland. This includes a growth deal which sees the three Ayrshire authorities come together and deals for the Borderlands (a cross border deal with the Scottish and English local authority areas involved), Moray, Falkirk, Argyll & Bute and the Islands.

Current City Region Deals include:

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[2]https://getonboardwithbus.scot/wp-content/themes/minimum/doc/Trends_in_Scottish_Bus_Patronage.pdf

- **Glasgow and Clyde Valley Region City.** This deal, agreed in 2014, covers a 20-year period with a £1.13 billion investment plan across a partnership of eight local authorities. An overall increase of around 29,000 jobs in the city region is estimated, with leverage of an estimated £3.3 billion of private sector investment.

- **Edinburgh and South-East Scotland City.** This deal, agreed in 2017 covers a 15-year period with a £1.1 billion investment plan with local authority partners in City of Edinburgh, Fife, West Lothian, East Lothian, Midlothian and Scottish Borders, and universities in the region. It is estimated that it will deliver 21,000 new jobs for the area.

- **Aberdeen City Region Deal.** Agreed in 2016, the Aberdeen City Region Deal covers a 10-year period with a £294 million investment plan across Aberdeen City and Aberdeenshire, plus an additional £245 million from Scottish Government for transport, broadband and housing. The plan focuses on encouraging investment in innovation, internationalism, digital connectivity and infrastructure.

- **Inverness and Highlands City Region Deal.** The Inverness and Highlands deal, agreed in 2016, covers a 10-year period with a £135 million investment plan from Scottish Government, £53 million from UK Government and £127 million from Highland Council and regional partners. This is predicted to leverage a further £800 million investment from the private sector, and is focused on improving digital connectivity, healthcare, skills, and innovation.

- **Stirling and Clackmannanshire City Region Deal.** Heads of terms on this deal were agreed in 2018 cover a 10-year period with both Scottish and UK Governments investing £45.1 million each.

- **Tay Cities Deal.** This deal – yet to be formally agreed - brings together Dundee, Perth & Kinross, Angus and Fife, and seeks to establish a significant investment programme over 10 years, primarily funded by the Scottish and UK Governments, with further funding being provided by the local authority partners, education sector, and private sector.

The geographical extent of the City Region Deals are presented in Figure 1-7,

Figure 1-7: Geographical Extent of City Region Deals

As part of the Enterprise and Skills Review, a report concerning 'Regional Economic Partnerships' was published in June 2017. These Regional Economic Partnerships would ensure the delivery of growth deals but also consider wider economic development opportunities for the region outwith the deal. Regional Economic Partnerships are non-statutory groupings tasked to build on the governance established by City Region Deals and Growth Deals, and thus far match the existing growth deal geographies. Regional partnerships are expected to create regional economic plans, and enhance partnership working between local and national government, economic development agencies, academia, the third and private sectors in order to align priorities and resources to best drive regional inclusive growth.

These new Regional Economic Partnership initiatives have taken a variety of shapes and approaches. Their geographical coverage varies and not all areas of Scotland are covered by a partnership at present, although it is envisaged that, in time, all areas of Scotland will have a Regional Economic Partnership. The Regional Economic Partnerships do not align with RTPs and, whilst local authorities are key partners, the partnerships are not directly accountable at a local level. They are, however, focused on effecting change through a targeted approach with clear goals.

1.11   Emerging Arrangements - Other Major Factors Affecting Transport

A number of other key factors, including changes to national legislation, will influence the approach to deploying transport services and will shape policy in the future, including relationships to other key policy areas. These include:

(i) The Planning (Scotland) Bill

This proposes repealing Strategic Development Plans (SDPs) and replacing them with a more flexible approach to regional scale planning. The Bill advocates a focused evidence led and 'infrastructure first' approach, with infrastructure audits and gate checks, and the employment of a 10-year plan cycle with interim reviews and delivery focused action plans. Stronger, inclusive community engagement is also highlighted. A recent statement from the Minister (29th May 2018) during the parliamentary debate on the Bill stated that the government will 'seek to amend the Bill at stage 2 to introduce a clearer duty for local authorities to work together in strategic transport planning whilst retaining flexibility about how they wish to do so and about which other authorities they collaborate with'.

At a time when it is vital to ensure that transport is well integrated with land use planning, as well as economic development and other key policy areas, there could be a potential risk that some of the structures could become less aligned than before.

(ii) Transport Bill

The recently published Transport Bill which includes provision for:

- Promotion of smart ticketing;

- Improvement to the role of the road works commissioner and the wider regulation of road works;

- Tackling of double parking and parking on pavements;

- Introduction of more flexibility in bus operations for local authorities (and RTPs) to intervene in the bus services market; and

- Introduction of Low Emission Zones to tackle air quality exceedances.

 (iii) Community Empowerment

The Scottish Government has confirmed its commitment to empowering communities and regional decision making through the Community Empowerment (Scotland) Act 2015, The Islands (Scotland) Bill and plans for education governance reform. This supports local democracy and protection, tailoring how public services are delivered around the distinctive needs of different communities. The Scottish Government and COSLA have also jointly launched a Local Governance Review, which will make sure local communities have more say about how public services in their area are run and consider ways in which devolving powers and functions to more local levels, including to communities, can improve outcomes for people.

(iv) Road Collaboration Programme

Established in December 2013, the Roads Collaboration Progarmme sets out the way forward for 'Option 30'[3]. The programme is overseen by a Board comprising Transport Scotland, SCOTS, SOLACE and COSLA to establish governance to enable the delivery of shared services on a regional basis. Five cluster groups were established to support option appraisal to confirm the most appropriate governance models, visioning and design to define areas of existing sharing and future potential collaboration. For some (e.g. the Northern Group), a full joint committee is now in place.

This followed on from the National Roads Maintenance review which was undertaken in 2012. This considered the fact that the 32 local roads authorities across Scotland (reporting directly to their specific Local Authority leadership) and Transport Scotland (the trunk road authority managing the trunk road network on behalf of Scottish Ministers), all manage their roads differently and to differing standards. This looked at the potential for sharing services and possible structural change in the longer term.

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[3] http://www.improvementservice.org.uk/documents/roads_collaboration_programme/Option-30-Report.pdf

The January 2018 Road Maintenance Strategic Action Group report[4], in response to Audit Scotland's report 'Maintaining Roads: A follow up report', confirms that spending on all roads has decreased by 26% across five years due to local prioritisation of education and care, which now accounts for 60% of all local spending. It is also estimated that there is a backlog of around £1.2 billion and so further action is clearly needed, some of which relates to improved governance arrangements related to shared services, allocation of funds, agreement of standards and other factors.

1.12   Priorities for Attention

Given the structures and changes described above, there are many complex arrangements and relationships in place and emerging. Prior to commencing this piece of work, the NTS Roles and Responsibilities Working Group undertook a review to determine priorities for this review. The emerging priorities, listed below, were used to shape the engagement and the scope of this work, to ensure that the priorities were appropriately considered.

- Regional Responsibilities & Structures

    - Strategy
    - Delivery
    - Coherence Across Regional Structures
    - Fit with City Region Deals
    - Regional Transport Partnerships (RTPs) – Utilisation/ Importance/Statutory of Regional Transport Strategies (RTSs)

    - Cross Boundary Issues – Local Authorities and Regional
    - Links with Community Planning

- Public & Active Travel

    - Bus
    - Rail
    - Active Travel
    - Ferry
    - Aviation
    - Subway

    - Tram
    - Interchange/Integration
    - Inoperability
    - Fares
    - School and Community Transport

- Road Network and Hierarchy

    - Extent of Trunk Road Network
    - Extent of Principal Road Network
    - Operation

    - Maintenance
    - Improvement
    - Road Design Standards

1.13   Adopted Approach

A structured approach to assessing transport governance options was discussed and agreed with the Working Group. The assessment process is summarised in Figure 1-8.

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[4] https://www.transport.gov.scot/media/41505/sag-response-to-audit-scotland-jan-2017.pdf
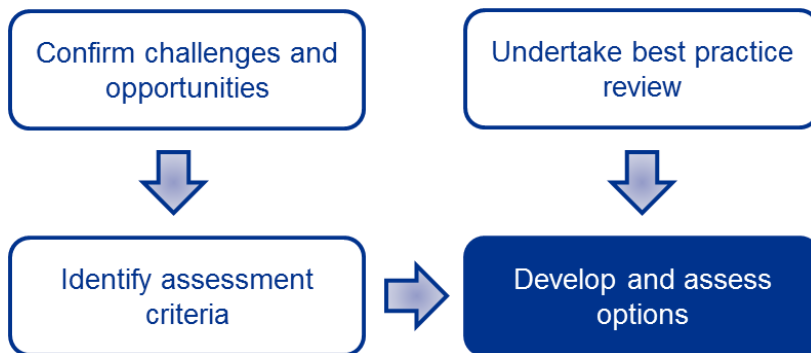
Figure 1-8: Assessment Process

The approach followed the four key steps below.

Step 1: Confirm challenges and opportunities

A series of stakeholder engagement exercises were undertaken to draw out the key challenges surrounding the current governance arrangements and the opportunities for improvement. This comprised workshops with the NTS Role and Responsibilities Working Group and SCOTS and was supplemented with meetings with key personnel form the Regional Transport Partnerships, Transport Scotland / Scottish Government policy leads and public transport operators.

Step 2: Undertake best practice review

This step involved carrying out a desktop review of readily available information on transport governance and best practice across the UK, and internationally focusing on Scandinavia and New Zealand. The review took in the findings of a wider rapid review of best practice carried out on behalf of Transport Scotland.

Step 3: Identify assessment criteria

Assessment criteria to measure the success of possible transport governance options was established from analysis of problems, causes, constraints and opportunities drawn from engagements with stakeholders and consideration of Government priorities and policies.

Step 4: Develop and assess options

The final step was to assess possible transport governance options, setting out the value of each option for further consideration by the Working Group.

Each of the above steps are described in more detail in the following sections.

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2 Key Challenges and Opportunities

2.1 Introduction

A series of workshops, 1-2-1's and follow up meetings were arranged with stakeholders to discuss the current transport governance structure. The main purpose of these discussions was to gain a clear understanding of the challenges that exist under the current arrangements and identify opportunities for improving the future governance of transport in Scotland. Further, an NTS 'Call for Evidence' facilitated a collation of views expressed relating to governance which gave a useful insight into the provision of transport by the various groups involved.

2.2 Collaboration and Stakeholder Engagement

A comprehensive stakeholder engagement exercise was undertaken, which comprised discussions with the following stakeholders:

- The National Transport Strategy Role and Responsibilities Working Group (NTS WG);

- The Society of Chief Officers in Transportation in Scotland (SCOTS);

- Regional Transport Partnership (RTP) leads;

- Transport Scotland / Scottish Government policy leads; and

- Public transport operators.

The key findings from the discussions are noted as high level points in Table 2.1 below.

Table 2.1: Key Points from Discussions

Date Workshop / Meeting Theme	Key Points
15th December 2017 NTS WG Workshop Regional responsibilities and structures	- The current structure of transport governance in Scotland is complex. - The current structure isn't sustainable nor desirable (although it was recognised that some things do work well, e.g. strategy development). - There's no 'one size fits all solution' (due to differing transport needs across the country). - Need for change to ensure delivery of more outcome focused/change agenda to support improved sustainability. - The statutory nature of the Regional Transport Strategies (RTSs) helps ensure spatial and regional interpretation of the NTS. - There is significant variation on how these strategies are applied and deployed – with differences in how they are funded and delivered. - Additional new complexities need to be considered, including how the RTSs relate to emerging City Region Deals and to community planning. - Need further investigation of examples of what works well and evidence of achieved outcomes.
10th January 2018 RTP Meeting	- Lengthy history around current RTPs boundaries and responsibilities, consultation and legislative context, i.e. Statutory remit for strategies. - Important role for RTPs in bringing all 32 local authorities together in RTPs – giving efficiencies for them and for Transport Scotland.

Date Workshop / Meeting Theme	Key Points
	• Address regionally significant issues and working together to deliver NTS priorities and statutory RTSs. • Transport is not a protected service in relation to other areas. It is hindered by funding which by-passes RTPs and is very limited in what is available via local authorities. • City/Regional Deals present an opportunity for great delivery focus but are not aligned spatially and vary in scope and governance, which is still being determined (in some cases adding to the confusion about transport accountability).
24th January 2018 NTS WG Meeting Public and active travel	• Marked decline in bus patronage, large variations across the country (e.g. rising in Edinburgh) with strong dependencies particularly in rural areas and smaller towns. • Bus network over-complicated in some areas with different operators/fares/information – need for better integration. • Rail patronage increasing and collaboration with Scotrail/Network Rail improving. • Inconsistent approach to ferry operation and funding. • Glasgow subway is key to the urban redevelopment of areas it serves but further integration, commercial income and marketing potential. • Active travel being recognised as increasingly important given aging population and health, complements urban space and air quality related policies but needs road space reallocation and investment. Important role of Non-Governmental Organisations (NGOs) e.g. Sustrans in effecting change.
30th Jan 2018 SCOTS meeting	• Current model is not sustainable from either a financial resource perspective or a human resources perspective. Ageing workforce, particularly in maintenance, together with recruiting difficulties are a major concern. • Need regional bodies delivering maintenance functions across all roads, with direct or ring-fenced funding. • Recognise that a 'from scratch' design would be unlikely to result in 32 local roads authorities, Transport Scotland , 7 RTPs and Operating Companies (and-so-on). • Active Travel delivery is compromised by (a) non-statutory function, (b) lack of resource focus, (c) bidding process is cumbersome and 50% match funding is unrealistic, and (d) focus on new provision with little recognition of maintenance needs. • Responsibilities around rail stations for park and ride need more clarity. • Bus franchising option within Transport Bill could have opportunities but significant resource implications for local authorities. • City Deals have shown up a lack of Transport Planning capability at both local and regional levels. • Historical system plus local government changes have created a confusing situation for the public in terms of who is responsible for which roads. Review of trunk roads is long overdue and needs to define the actual function of the 'national network'.

Date Workshop / Meeting Theme	Key Points
27th Feb 2018 NTS WG Workshop Road hierarchy / best practice	• Limited in funding (local authority finances are extremely tight and cannot be ring-fenced for transport). Need for regional approach to road maintenance. • Review of trunk roads is long overdue. • Need to consider the actual function of the 'national network'.
20th March 2018 NTS WG Workshop Emerging evaluation criteria and options	The key aspects of discussions are captured in Sections 4 and 5.
24th April 2018 NTS WG Workshop Refinement and evaluation of options	The key aspects of discussions are captured in Section 5.
16th May 2018 NTS WG Workshop Review and refinement of evaluation of options	The key aspects of discussions are captured in Section 5.

2.3 Call for Evidence

The NTS Research and Evidence Group conducted a 'call for evidence' between April and July 2017 on seven themed question areas and invited submissions of evidence from a broad range of stakeholders to inform the NTS Review process. In relation to governance and roles and responsibilities, some of the key points raised include:

- 66 responses to the call for evidence were received from a wide variety of organisations and sectors. Transport governance was referred to in 35 of these.

- The text which follows details the themes in the evidence received in this area; the uncertainties (e.g. where the evidence was contested, or arguments were presented without evidence); and selected gaps (areas where evidence was not received).

- This has been prepared following a review of each submission (and the underlying evidence cited in each submission) by Transport Scotland Analytical Services, with the identification and analysis of the themes, uncertainties and gaps conducted by external academic members of the NTS Review Research and Evidence Working Group.

2.3.1 Themes

- Overall submissions received on the topic of **transport governance tended to be partial with few examples supported by strong evidence**, leading to no obvious consensus. It is also important to note that it can be difficult to disentangle comment by respondents on the effects of legislation or funding from those of governance structures since they frequently occur as one package.

- Respondents addressing the themes of **strategic planning, investments and alignment from a governance perspective** noted that different types of infrastructure (economic, residential, digital and

social) are becoming more interconnected and have increasing interdependence; a situation which it was argued the reviewed NTS needs to acknowledge. Respondents noted that 'future-proofing' society will require greater attention and coordination as to how, as a country, we organise and use land; use transport; live and work in communities; and generate and distribute energy – all of which must be coherent at the national, regional and local levels.

- There was **little consensus or evidence provided on the best mechanism to deliver a more coherent, and joined up approach to national, regional and local transport delivery**.

- **On transport regulation, integration and performance**, respondents raised issues around the degree to which governance arrangements in Scotland affect the ease with which multi-modal journeys can be made and also the degree to which regulatory structures (chiefly in relation to bus) affect performance. Some cited evidence showing that a higher level and quality of public transport services (in terms of ridership, integration, etc.) is secured in other countries, but typically at higher cost to the public sector.

2.3.2 Uncertainties

- Submissions received during the call have highlighted considerable uncertainty as to how governance arrangements can contribute to transport outcomes.

- There was more evidence apparent from submissions received in the call that a given set of governance, legislation or funding arrangements will deliver a set of desired *outputs* more effectively or efficiently than another, but uncertainty exists over whether the same set of conditions will generate the desired *outcomes* in different contexts.

- As discussed in relation to other question areas, uncertainties over the degree of regulation applied to public transport (chiefly bus) which best supports desired transport outcomes was disputed between responses; evidence provided in response to this area during the call was limited to case studies or examples selected by respondents to support their argument.

2.3.3 Gaps

What governance and institutional arrangement do/do not work well in achieving transport outcomes? Some evidence was received that shows that cities and regions that deliver certain outputs effectively (for example, integrated multimodal public transport). Those that do tend to have a common package of governance with a resourced public-sector body that has legal powers to plan, procure, or directly provide that transport.

Whilst only a limited response was received related to governance, with few examples given which were supported by evidence, some interesting relevant (to this review) conclusions can be drawn from the Call for Evidence:

- with increasing interconnections needed between different types of infrastructure (including transport), there is a need for greater future proofing which is coherent at national, regional and local levels;

- there is a need for systems to improve performance across networks, akin to other advanced countries;

- there is considerable uncertainty as to how governance can contribute to transport outcomes; and

- cities and regions that deliver certain outputs effectively usually have governance supported by legal framework to plan, procure or provide integrated multi-modal transport.

2.4 Challenges and Corresponding Opportunities

Many aspects of transport provision have improved and continue to work well. As discussed with the Working Group on 24th April 2018, these include:

- Some key linkages to national policy;

- Transport Strategy development – evidence-based, outcome-focussed and collaborative;

- Direction of rail strategy;

- Commitment to improvement; and
- Technical expertise.

In summary, the opportunities surrounding the existing transport governance arrangements that mirror the challenges, which emerged from discussions, are shown in Table 2.2. These were reviewed by the Working Group during the 24th April 2018 workshop and revised to reflect comments received.

Table 2.2: Challenges and Corresponding Opportunities

Challenges	Opportunities
RTPs are limited in their ability to deliver (mainly due to funding constraints) and local authorities are financially constrained due to increased need and allocation of spend to care and education.	Development of sustainable financing structures which are clear at national, regional and local levels.
A lack of support for all transport modes, e.g. active travel delivery is compromised due to its non-statutory nature and little recognition of maintenance needs.	Target change in areas of perceived weakness to ensure all modes are fit for purpose.
Existing governance structures pre-dates many changes to Government legislation and do not take account of the wider (e.g. health, environment, social) role of transport.	Improve support for wider government policies (e.g. environment, health).
Even when investments are made, ongoing maintenance requirements not always clear, measured consistently or deployed effectively.	Address revenue as well as capital investment requirements and deployment.
There are significant differences in how Scotland's transport modes are managed and governed. There is a need to improve clarity across all modes.	Fit for purpose for all modes (incl. freight).
The current structure isn't supporting wider government objectives and there is a disconnect from planning, economic and health agendas.	Improve connection and respond effectively to the Planning, Economic and Health Agenda.
There is a lack of clarity of roles and responsibilities.	Clarify responsibilities and be clearly legible to the wider public.
Existing structures do not always keep pace with local economic changes or investment opportunities. They do not always involve enough close working with business and the private sector.	Be responsive to changing agendas and priorities.
Resource capability and skills to plan / deliver / operate is limited and likely to be further constrained unless action is taken.	Maximise / optimise the use of skills and resources.

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Challenges	Opportunities
Difficulties in delivering transport investment across local authority and regional boundaries, taking account of the specific needs of the area and working with emerging opportunities (e.g. growth deals, etc).	Provide a structure that addresses cross boundary issues and which respond flexibly to different regional/local contexts.
Whilst long term goals can be defined it is not always clear on what steps will be taken to achieve this.	Be capable of staged implementation – potentially short, medium and longer term.
There is often limited local accountability for decisions and lack of leadership and influence in how decisions are taken forward.	Improve local accountability proving clarity for wider public.

3 Review of Best Practice

3.1 Introduction

A desktop review of governance and best practice across the UK, and internationally focusing on Norway and New Zealand, has been undertaken. The review looked at current governance processes across a number of organisations, exploring the similarities and differences between them. This was felt to be a valuable exercise though it needs to be caveated by the different fiscal and legislative constraints in place in different countries both within and outside of the UK.

Whilst there are a number of examples of good practice in the provision of transport within Scotland, there are a number of areas within the existing governance system that could be enhanced. The aim of these enhancements would be to improve the transport system, both for day to day users (through improvements to journey time reliability and reduced delays) as well as the governance processes employed within the system itself (such as decision making, accountability and collaboration).

Varying governance approaches that could be employed in Scotland to help fuel best practice governance behaviours have been set out below. These are backed by working case studies which highlight the best practice methodologies, the changes which have been made to previous systems to implement these methodologies and the benefits which have been borne as a result.

3.2 Alignment to Transport Aspirations

One way to measure the success of a governance structure and subsequently identify best practice governance protocol is to assess how organisations have delivered against their planned delivery targets. Simply put, the more that has been delivered against planned, the more efficient or 'better' the governance process.

As well as being able to measure how successful governance is operating, there is also a need to have effective governance procedures in place if it is decided that success is not being achieved. This includes who should be held to account as well as strategies that could be implemented and where in the governance process their implementation would give the quickest and most effective results. The answers to these questions should be based on inputs from both independent bodies and those directly employing the governance structure themselves.

How this cyclical process works is illustrated in Figure 3-1.

The majority of areas investigated set out their transport aspirations in a public document. This covers a specific time period and can be either mode specific or shaped to include a range of modes. In most cases, this is followed by a set of plans that specify transport measures to be provided at a regional level. These regional plans will support the overall national plan, supporting a joined up national transport strategy.

Figure 3-1: Cyclical Process for Effective Governance

Proposed schemes and transport interventions are often taken through a framework where they are assessed against a set of criteria to ensure that they are conducive with national transport aims.

3.2.1   Case Studies – Alignment to Transport Aspirations

Norway

The Norwegian approach is a good example of a system which is aligned to government's transport aspirations. The country produces a National Transport Plan (NTP) every four years which describes the National Government's prioritised projects for the coming 10 years.

At a more local level, counties are legally obligated to develop a Regional Land Use and Transportation Plan. This plan helps to deliver the overall NTP and, as it is prepared by the counties themselves, provides an opportunity to link land use and transportation planning going forward. Counties can back the NTP and then, in turn, employ a land use policy which benefits from the national upgrades.

All schemes in Norway which have a value of more than 750 million NOK (equivalent to £70m) are subject to a 'choice of concept' appraisal. During this appraisal process, schemes are taken through a series of assessment criteria, based on aims set out in the NTP. The scheme which scores best is recommended as the best option to take forward to the planning stage.

The 'choice of concept' appraisal is part of a governance process which ensures that schemes which are taken forward are aligned with national aims. The success of this process can easily be measured by how much of the NTP is delivered and subsequently changed if it is felt that it is not delivering. This ensures that a best practice approach is maintained.

Transport for London (TfL)

TfL is a statutory body whose chairman is the Mayor of London. It has a general duty to develop and apply policies set out in the Mayor's Transport Strategy (MTS). Delivery in relation to what was set out in the MTS is, as with the other examples in this section, one way of measuring the success of its governance structure.

As part of its existing governance structure, TfL takes responsibility for running the majority of transport within London. The regulation of bus services allows TfL to have final say of which services are running where and the level of service in operation. With operators having a set income, dependent on performance, it encourages investment in vehicle quality and service. As TfL operates the London Underground and London Overground networks, it can also ensure that customer needs are being met.

The amount of control that TfL has over various transport modes within London benefits them when it comes to delivering the objectives set out in the MTS. Changes which directly result in the delivery of the MTS can be made quickly, with results on the ground being seen relatively rapidly as a result.

In addition, the role of TfL offers it a unique insight into travel behaviour within London. This allows it the ability to somewhat contribute to the setting of objectives included within the MTS themselves, as it is best placed to set out the coordinated plan in support of the future of the transport network. In an operational sense, this helps with the business case and delivery of major infrastructure schemes such as Crossrail and Crossrail 2.

London Boroughs

Each London Borough is required to develop a Local Implementation Plan (LIP) which sets out how the Borough will deliver the Mayor's Transport Strategy (MTS) at a local level. All 32 London Boroughs and the City of London must then submit a LIP annual spending submission which contains specific details of individual schemes they wish to take forward. This is similar to the governance procedure discussed in the Norway case study above.

Where the London Borough approach differs is the obligation put upon each Borough. The Boroughs must submit a report at the end of each financial year that sets out how they have delivered against the objectives set out in the LIP. This is a specific piece of governance which assesses the performance of the Borough and, by proxy, the performance of the governance structure in place. It provides clear lines of accountability which means if change is deemed necessary, it can be targeted quickly and in the correct location.

Groups of London Borough's also work together to prepare 'Sub-Regional Transport Plans'. While not statutory, these plans aim to set out a joined-up approach for north, south, east, west and central London, across the respective Boroughs. This undertaking is facilitated by TfL and helps to demonstrate a coalition of aspirations as well as ensuring that land use planning complements transport investments. The outcome of this is the delivery of broader, sub-regional objectives. It also helps to support funding while demonstrating a more regional approach to delivery.

New Zealand

New Zealand's Ministry for Transport release a 'Statement of Intent' on an annual basis, setting out the work programme for transport over the coming three years. This is backed by the 'Strategic Policy Programme' which was set up in 2014 and links the areas of transport performance, the regulatory framework under which transport will be delivered and how changes will be funded.

This approach involves a number of areas at an early stage, ensuring that they are aligned in what they will deliver and how this will be undertaken. The fact that the Statement of Intent is released annually also serves as an informal annual review process, with continuous thought being given to what has been achieved previously and what can be achieved going forward.

3.3   Collaborative Working and Consistency

Collaborative working between transport bodies is key to providing an integrated transport system. This collaboration is most essential between neighbouring authorities at a local level however it is also required at a state / local level. It is also important to have collaboration across modes.

Collaboration is made easier by a consistency in the 'type' of transport authority model in any given location as well as the responsibilities they have, which modes they represent and how they are held to account.

Unclear governance can make collaboration difficult. Previous academic work into this area highlights that this governance is extremely important in allowing (and driving) the occurrence of collaboration. When this is lacking, it can lead to inadequate strategic thinking and limited buy-in to strategic goals or outcomes.

If a lack of collaboration is paired with an inconsistency regarding the 'type' of transport authority responsible for transport provision (whether it be a Regional Transport Partnership or Local Transport Authority, for example) and the governance structures which they employ, then this again can lead to a lack of strategic planning.

When assessing how a transport network operates, a system which involves the above can lead to inefficiencies, lack of integration and poor interconnectivity across the transport network.

The relationship between state and local level can be improved through greater collaboration and consistency as illustrated in Figure 3-2.
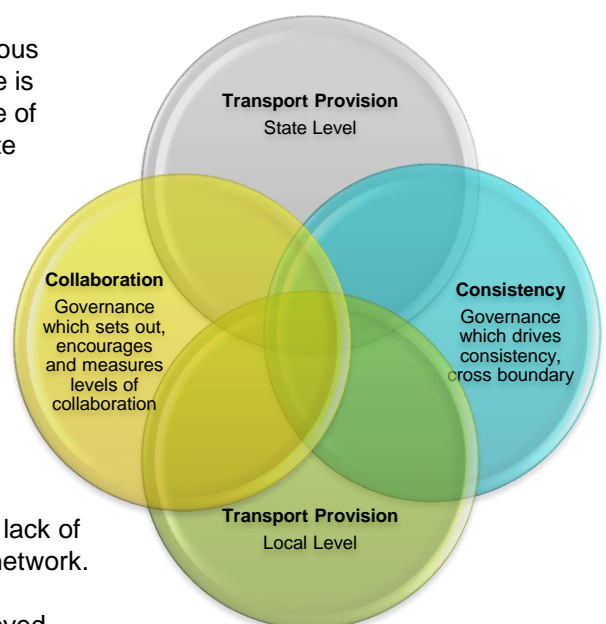
Figure 3-2: Best Practice Governance Procedure (Collaboration and Consistency)

3.3.1 Case Studies – Collaboration and Governance

Highways England and English Local Councils

As mentioned previously, Highways England is driven largely by the delivery of the Route Investment Strategy (RIS) and the operation of the Strategic Road Network (SRN). This potentially comes at the expense of work undertaken with UK Local Authorities, which has limited alignment with the RIS. It has been argued that there is a lack of collaboration with local authorities which is compounded by a lack of governance in place to ensure that this collaboration occurs. However, there are notable exceptions with some local authorities having very close working relationships with Highways England. Collaboration is voluntary and on a case by case basis.

One instance where collaboration is crucial for Highways England is the Lower Thames Crossing (LTC) – an ongoing multi-billion pound scheme comprising a new road and tunnel linking Kent and Essex. The project requires collaboration to take place at all levels, from the UK Treasury right down to the involvement of local communities.

LTC is controversial as it requires the movement of people and loss of protected land. This means that when announced, the scheme was met with a lot of resistance from local communities and other stakeholders. The public consultation for the scheme received over 47,000 responses, the largest ever public consultation response for a UK road project.

Appropriate governance procedures were put in place to both manage and mitigate stakeholder concerns. This included the formation of a dedicated stakeholder engagement team which began engagement with local communities from day 1. The team worked with those affected in order to ensure route options for the scheme took local knowledge, and the concerns of those most affected, into account. The team is still tasked with managing the relationships and communications with local communities, as well as local councils and others affected by the scheme, to ensure that they remain informed and have an opportunity to voice their opinion as the project continues.

LTC is on track to be granted a Development Consent Order (DCO) which will allocate it formal planning permission and allow construction to begin. A major factor in the success of stakeholder engagement on the LTC project is attributable to the full integration of the team in the overall project's governance structure, ensuring that collaborative working is taking place. At the start of the project, this allowed the stakeholder engagement team to receive up to date information on the scheme which they could pass on to stakeholders as early as possible. The view of stakeholders was then assessed and fed back to the designers of the scheme who could alter the design accordingly. This approach is supported by recent work untaken on behalf of Transport Scotland[5], which found that 'transport governance requires a holistic approach that gets all of the stakeholders on board and brings together the process of designing, planning, delivering and managing'.

Transport for London (TfL) and London Boroughs

TfL employs a 'Boroughs Engagement Team'. This team is in charge of maintaining and developing the relationship between TfL and the London Borough Councils, ensuring that there is collaboration between the two organisations. The team provides a recognised point of contact for any issues which may arise as well as acting as a communication channel to notify the Borough Councils of major project and transport scheme funding which may become available. It also assists in collaboration regarding the operation of transport 'at ground level'.

The strong leadership provided by the Mayor and the Commissioner for TfL is important in setting the direction for transport in London but there is regular liaison between the Mayor and the Council Leaders, and the Mayor's budget (and as a result TfL's business plan and budget) is scrutinised by the elected members of the London Assembly. The Commissioner of TfL also meets regularly with Borough Chief Executives –

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[5] Transport Governance Rapid Evidence Review – Konrad Heimpold

either individually or collectively through the 'London Councils' which is cross-party organisation to support its members, the 32 London Boroughs and the City of London. This engagement is illustrated in Figure 3.3.
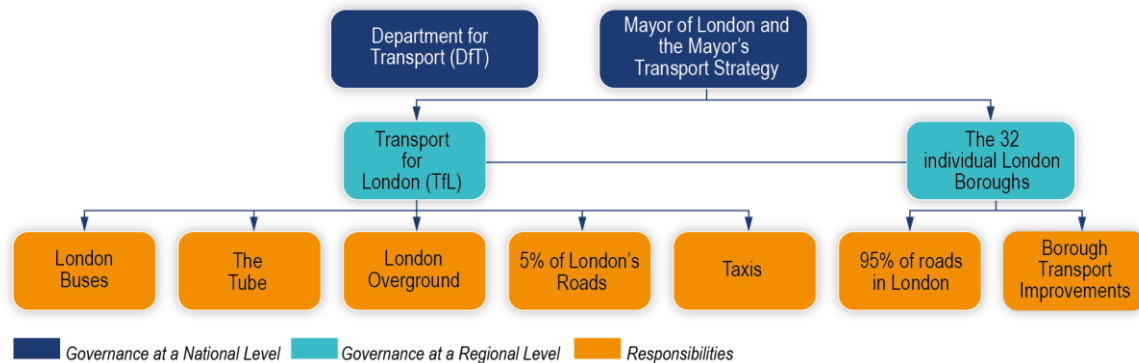
Figure 3-3: TfL Governance Arrangements

North Wales and North-West England

The Welsh Government has set up the North-East Wales Integrated Transport Taskforce (ITT) to create an integrated, cross border transport network for North East Wales and North-West England. The Taskforce comprises members from local authorities in both North-East Wales and North-West England.

As part of its work, the ITT identified that differing governance arrangements either side of the Welsh border (namely between Wales and West Cheshire) have a negative impact on the delivery of transport interventions. It was recognised that these differences need to be reduced to deliver the targeted cross border integrated transport system.

The ITT plan to use physical schemes, transport service improvements and marketing initiatives to create a 'total-journey concept'. This will focus on the journey being made, irrespective of which side of the border it is taking place on, in order to drive integration and collaboration.

As part of the ITT's task, a suitable governance structure which works effectively across the artificial boundaries which borders create is to be set up. This will focus on collaboration and shared dialogue between the Welsh and English governments with the outcome being to develop a set of structures / formalised partnerships which enable greater cross-border collaboration.

Ideas for the new collaborative partnerships which are currently being investigated include the pooling of resource, joint identification and bidding for funding streams, joint identification and promotion of strategic transport projects and integrated local transport networks.

Transport for the North (TfN)

TfN is the first Sub-National Transport Body in England. It has been tasked with setting out the requirements of the pan-Northern transport network, which will be outlined in the Strategic Transport Plan for the North.

Statutory status was granted to TfN in April 2018. This will allow TfN, with the support of the 19 different transport authorities across the North, to legally make recommendations on behalf of a unified North to national bodies such as the Department for Transport, Network Rail, Highways England etc. The governance arrangements are illustrated in Figure 3-4 below.
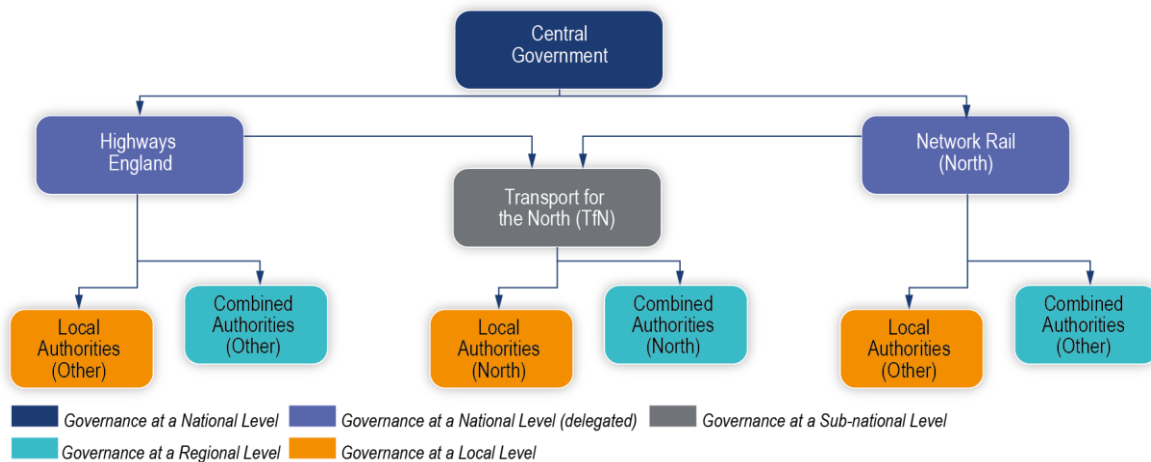
Figure 3-4: TfN Governance Arrangements

TfN supports both local and national government, as well as private sector and transport operators, to ensure that there is an alignment between local investment and strategic, pan-Northern investment. This, in turn, aims to bring a coherent, integrated, long term investment programme for national infrastructure projects.

The position of TfN in the decision-making process ensures a collaborative approach to future transport throughout the north. This collaboration means future work (as well as bids for funding of schemes) will be presented to decision makers in a cohesive manor, backed by all who are / will be involved. The structure also allows a direct link to national government (and delegated bodies).

TfN has already identified a number of strategic development corridors. These corridors will provide a link between the capabilities and assets which the various area of the north have, ensuring good transport connections between them and subsequently better collaboration.

Rail North, an existing company, will also merge with TfN, becoming their franchising arm. This enables cross-mode collaborative working as well as the ability to undertake cross-mode strategic planning.

New Zealand

Transport in New Zealand is split into four areas; Upper North, Central North, Lower North and South. Each of these areas has a Director of Regional Relationships, who has the role of building, maintaining and enhancing the New Zealand Transport Agency's strategic alignment and reputation within their specific geographical boundary. Collaboration plays a large part in this role, with the need to ensure that everyone involved in the provision of transport throughout the system is aligned to the same strategic goal.

The four Regional Relationship Directors are also part of the New Zealand Transport Agency's Senior Leadership Team, giving them a direct link to the Agency's Board and improving top down collaboration. Being part of the Team also allows them to collaborate with one another, providing a forum for exchanging best practice and the potential for joint delivery of strategic objectives across an area's geographical border.

3.3.2   Case Studies – Consistency and Legibility

English Local Councils

The organisation of local transport in England is very complex with a number of different governance structures bringing with it a large amount of inconsistency from one location to the next. Varying levels of devolution, again from one location to the next, adds to the complexity.

Previous research into the relationship between administrative fragmentation and productivity has shown that locations with a higher administrative fragmentation have productivity rates that are 3% to 4% lower when compared to those that are less fragmented. To note, the research goes on to say that having 'a governance body' in place can mitigate against the loss of productivity.

One governance structure in place at a local level is the 'City Region'. Whilst there is no official definition of a City Region, in essence the term refers to a metropolitan centre and areas surrounding the centre which have strong economic and social ties or a 'common functional economic area'. It is also beneficial if the areas face similar challenges.

Most English City Regions are now evolving into 'Combined Authorities', in some cases linking to neighbouring councils and areas. The aim of this is to ensure better informed strategic investment decisions. The remit of a City Region / Combined Authority is negotiated between the constituent Local Authorities and the UK Government, who agree 'deals' which are signed off directly by the UK Treasury. These deals provide a set of powers and the expectations to be met, along with funding streams which will be committed to work towards achieving the aims and objectives that have been set in collaboration with the UK Government. This ensures any work undertaken aligns with the UK Government's overall approach, while giving a clear level of accountability.

Transport in these City Regions / Combined Authorities is usually run via a Passenger Transport Executive (PTE) or an Integrated Transport Authority (ITA). One example of this is Transport for Greater Manchester (TfGM), now operating within TfN. Transport powers vary significantly from region to region – some taken by the new combined authorities and some retained by the local authorities.

Outside of City Regions, some areas have two levels of local government – County Councils, which are usually responsible for the majority of transport services, and District Councils which cover the planning aspects for the area. Others have single "Unitary Councils", which are responsible for all services. There is no consistency regarding which area has which structure. I t should be noted that one possible issue in improving this two-tier council system is that some councils may be unwilling to relinquish responsibility for the planning and provision of some services to a regional entity (such as those referenced above).

The UK Government has also created Local Enterprise Partnerships (LEPs), which are business-led bodies designed to promote local economic growth. LEPs produce "Strategic Economic Plans", which, in transport terms, set out priorities for investment and bid for funding from the Local Growth Fund to pay for these priorities.

The above shows the fragmentation approach and lack of consistency and legibility throughout England regarding the governance structures which are in place to manage to the delivery of transport. It is decided on an almost case by case basis. There is also no consistency in terms of geographical coverage. For example, one LEP can span three separate local authorities and several unitary councils.

Areas which employ a more consistent approach tend to facilitate greater collaboration. This in turn provides better productivity (as mentioned above) as well as improved transport provision. It also gives them an advantage when it comes to infrastructure funding. For example, bigger City Regions (such as the aforementioned TfGM), which have close historic ties to their surrounding area, gain an advantage when it comes to bidding for funding and subsequent provision as they can present an argument which is consistent across a large geographical area, with the promise of collaboration during the delivery stage. There has often also been direct collaboration with the UK Government at a State level. This may come at the expense of other areas which employ inconsistent Local Authority structures and, therefore, have a number of individual arguments.

When assessing consistency, it is difficult to measure the success of the governance that is in place at an English local authority level. This is mainly due to the lack of consistency which the current model employs. Without this ability to measure the success of a governance structure, it is extremely difficult to know when a change in governance is needed and how / to whom it should be deployed.

Transport for London (TfL)

A huge advantage which TfL has is the level of integration between modes across London. One key example where TfL is world-leading is on fares and ticketing integration. Integrated tickets permit interchange across all modes and these are stored on smartcards or mobile devices. This is extremely customer friendly and easy to use and understand, making public transport usage attractive to use. This integrated approach ensures consistency and makes any changes which TfL wish to make a fairly straightforward process. One change can have a wide impact very quickly. It also means that only one governance process is required, making the success of this process easy to measure and changes to the process easy to implement, if deemed necessary.

The benefits of integration have been explored in the recent Transport Governance Rapid Evidence Review work undertaken on behalf of Transport Scotland, which showed that integration of services, timetables and ticketing can result in higher ridership, reduction of urban sprawl and higher customer satisfaction rates.

3.4 Finance

The financing of the transport system plays a large part in dictating the governance system which needs to be put in place to ensure that the transport provided meets the needs of its users. The Transport Governance Rapid Evidence Review work undertaken on behalf of Transport Scotland shows that 'sufficient as well as stable funding flows are a cornerstone of best practice cases'.

Transport funding can be used in a variety of ways, dependent on the outcomes sought. In Norway, where public transport is seen as a public service, high taxes are used to subsidise transport as well as improve the quality of public transport, both in terms of the transport itself and the levels of service which it provides.

In England, however, the approach is different and, at times of austerity such as at present, transport budgets are often constrained and inconsistent year on year. This results in a level of uncertainty regarding what operations and investments can be made. It should, however, be noted that there have been developments in governance procedures which have sought to address this problem.

A few examples of factors which can influence the governance procedures associated with financing transport provision are illustrated in Figure 3-5.
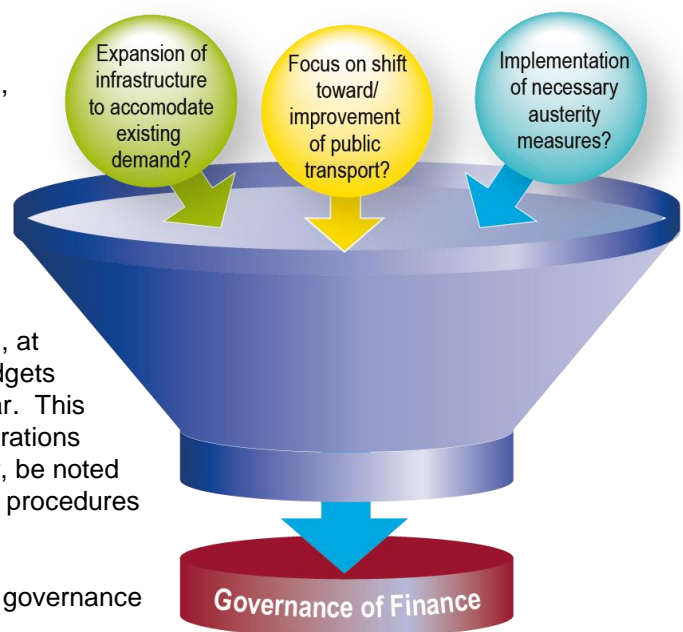
Figure 3-5: Governance of Finance Influencers

3.4.1 Case Studies - Finance

Norway

The main focus of the Norwegian transport model is bus and tram travel. This is governed at a local level, with State Owned Passenger Transport Authorities (PTAs) specifying transport needs.

PTAs specify service provision and fares before procuring the operations from 'private' operators; a regulated system. It should be noted that in places, companies such as Keolis and Arriva run the franchise (but are in fact ultimately owned by the National Government). In this model, PTAs retain the risk.

Bus franchise contracts are generally gross cost. As the franchise is determined by the PTA, the State is in charge which allows for an element of cross-subsidy between revenue generating and revenue losing

routes. Recently, there has been an increasing trend in the introduction of larger incentive payments. These are paid dependent on the quality of service provided and / or as a proportion of the contract, measured by the number of passengers boarding with a validated ticket.

The governance structure in Scandinavia follows a franchising approach to reduce costs and create market forces in public transport, without the perceived disadvantages of full deregulation. Franchising allows the public-sector PTA the direct ability to improve aspects of service as they themselves specify and purchase the service which they require from private sector operators. This means that if the PTA have resources and are willing to pay, upgrades can be delivered rapidly, fulfilling policy ambitions. A clear measure of how well this governance approach is working can be seen by the performance of the franchise when compared to the deliverables set out at tendering stage.

As the PTA must be willing to pay for any improvements, a consistent funding stream is essential to the success of the approach. Due to the Scandinavian focus on public transport as the main mode, high taxes are charged to ensure that funding is largely available to provide services. This also enables subsidising of fares which brings with it high patronage.

Highways England

Highways England is financed via a committed 5-year budget. This is a decision which has been made by the UK Government in the belief that providing them with a secure budget to be spent over 5 years will allow Highways England to take a 'long-term' view of their finance. This brings with it a greater ability to plan spending and results in phasing of development schemes, ensuring that money is spent on the right improvement at the right time.

Research has shown that 'while a legal mandate to co-ordinate between different agencies is helpful, nothing is more effective than a lead agency's [in this case, Highways England] ability to prioritise projects and allocate "real money"'.

The financial performance of Highways England can also be seen as a way of measuring the success of the company's governance structure. Although there is no specific 'value' to achieve, Highways England state that for each of their schemes, £1 of investment brings a return of £3 to the UK's economy. Changes in this value could provide an informal indication of whether the existing governance structure is working well or whether other options need to be looked into.

3.5 Regular Reviews and Clear Accountabilities

Whilst it is important to have long term plans in place, an integrated approach and strong collaboration processes, it is also vital to have clear accountabilities where delivery is reviewed regularly and those accountable are required to act when required.

Experience of good practice examples indicate that taking transport policy / infrastructure schemes through a governance framework which ensures they are in line with the national strategy is vital. An effective way of ensuring outcomes are delivered is to carry out periodic/annual reviews of what has been achieved and compare this to the aims set out to be completed. These should be submitted (in document form), with clear actions to follow up by those accountable. It is also important that organisations document the lessons learned for the past year to support efficiency going forward. Such a process is illustrated in Figure 3-6.
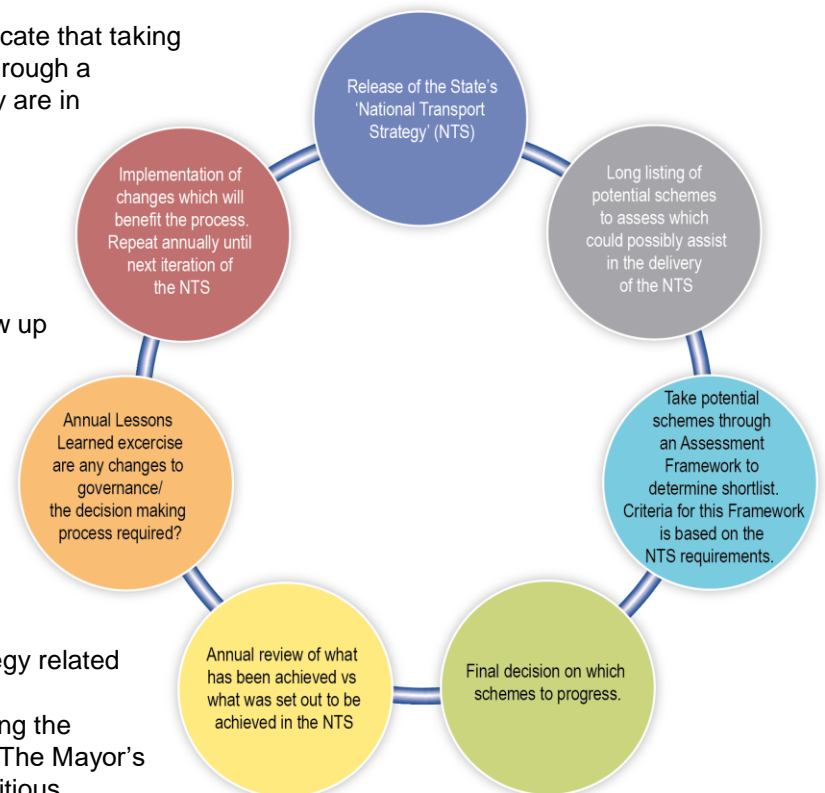
3.5.1 Case Studies – Regular Reviews and Clear Accountabilities

TfL has developed a comprehensive strategy related performance framework covering its whole organisation with a strong ethos of delivering the Mayor's committed outcomes for the city. The Mayor's Transport Strategy (MTS) sets out an ambitious plan to build on TfL success to date, achieving a 12% mode share in favour of sustainable modes since 2000, and achieve 80% mode share for public transport, walking and cycling by 2041 compared to 63% today. The MTS sets out transport related outcomes and a framework to measure these.

Figure 3-6: Illustrative Review of Priorities to Deliver Strategy

An annual process of prioritising between investment portfolios, and then within them, is facilitated through project appraisals where all projects are required to express their contribution to the MTS outcomes. An annual update to the TfL business plan and prioritisation process support this. An annual scorecard has been developed to demonstrate how the organisation is performing in terms of meeting the outcomes and an annual Travel in London Report is published reporting how progress is being made across the city on meeting the outcomes (as not all the outcomes are within TfL's immediate control). The scorecard is devolved to specific Board panels as well as to operating areas and their senior executives, forming part of the TfL staff performance framework. This is illustrated in Figure 3-7. This process has evolved since TfL was first established in 2000 and continues to be reviewed and improved upon each year.

Such an approach could be adopted in an incremental way allowing 'quick-win' processes to be implemented quickly, for example: mapping of accountabilities, development of Scotland wide transport key performance indicators (KPIs), maximising integration opportunities, greater collaboration, etc. Building upon this, it could be possible to develop comprehensive, and devolved, scorecards as well as the development and clarification of possible financial models. In the longer-term, actions requiring legislative changes could be taken forward.
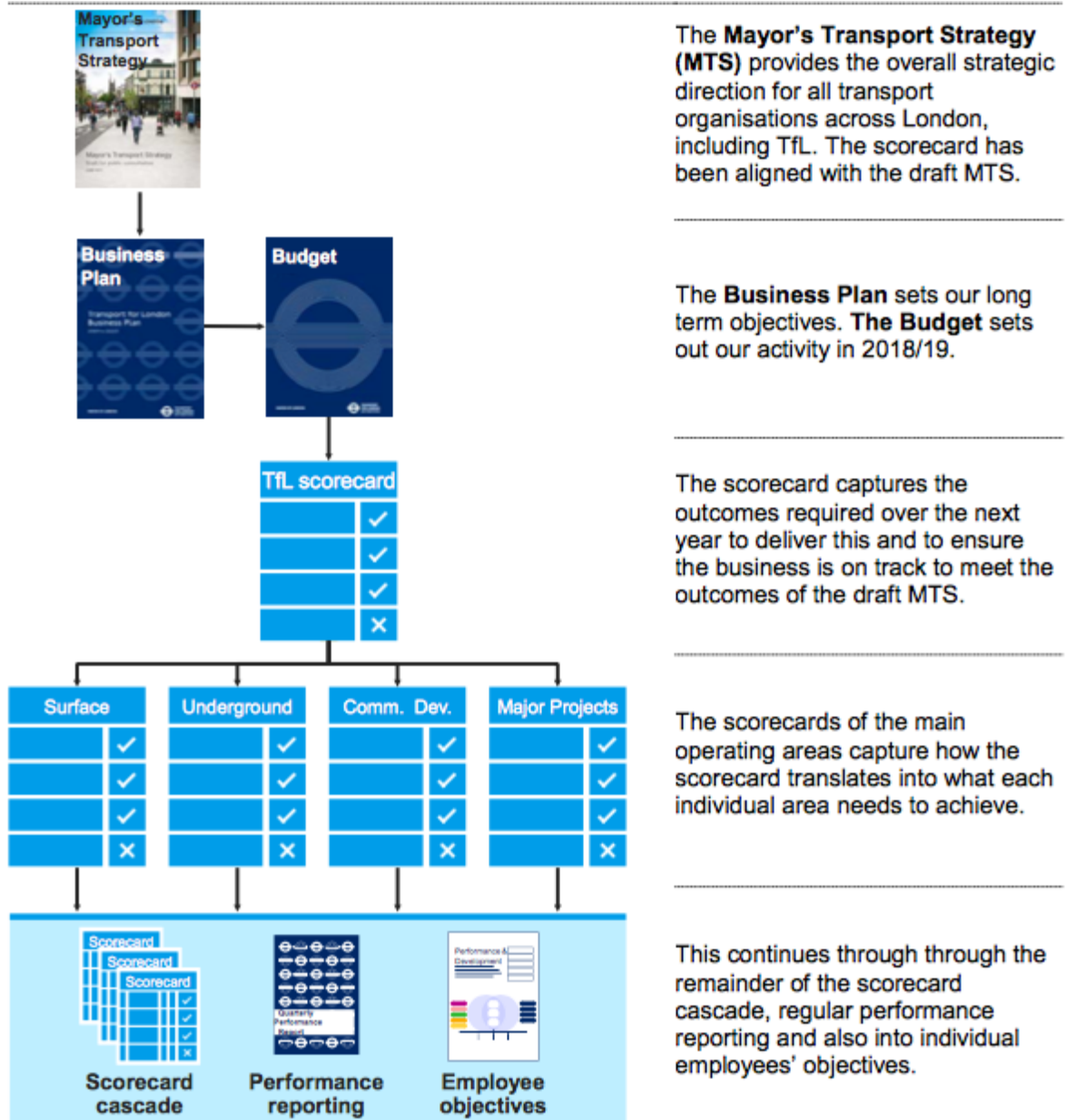
The **Mayor's Transport Strategy (MTS)** provides the overall strategic direction for all transport organisations across London, including TfL. The scorecard has been aligned with the draft MTS.

The **Business Plan** sets our long term objectives. **The Budget** sets out our activity in 2018/19.

The scorecard captures the outcomes required over the next year to deliver this and to ensure the business is on track to meet the outcomes of the draft MTS.

The scorecards of the main operating areas capture how the scorecard translates into what each individual area needs to achieve.

This continues through through the remainder of the scorecard cascade, regular performance reporting and also into individual employees' objectives.

Figure 3-7: Performance Monitoring (TfL)

4 Identification of Assessment Criteria

4.1 Introduction

This section sets out how the criteria for assessment have been developed. The criteria are necessary to provide a framework against which options can be objectively considered.

The process of establishing criteria has been driven by the following:

- Analysis of problems, causes, constraints and opportunities;

- Understanding of relevant best practice and their potential application in Scotland;

- Understanding the high-level goals of the NTS Roles & Responsibilities Working Group; and

- Consideration of existing Government priorities and emerging policies.

4.2 Assessment Criteria

Building on the engagement and analysis outlined, the criteria to assess options were proposed and agreed with the Working Group. The assessment criteria are presented in Table 4.1, along with the reasoning for their selection.

Table 4.1: Assessment Criteria

Assessment Criteria*	Reasoning
Financial sustainability of model	Workshops identified differential of funding models across transportation as a major issue
Target change in areas of perceived / actual weakness	Identified as a gateway criteria test to guard against change-for-change sake, and allow assessment of options continuing to 'pull-through' areas of good practice / strength
Supporting of wider government objectives	Identified as a gateway criteria test to allow the way in which the option can 'embed' itself to be assessed
Address revenue as well as capital	Workshops identified pressure on revenue funding (particularly at local level) as an issue. Also identified was the disparity between capital and revenue strategies
Fit for purpose for all modes (incl. freight)	Identified as a gateway criteria test to avoid unintended consequences for individual modes
Respond effectively to emerging legislation / powers	Workshops identified the need for options to recognise and be responsive to current and on-the-horizon changes
Respond effectively to Planning Agenda	Planning, economy and health identified through both workshops and through assessment of wider
Respond effectively to Economic Agenda	

Assessment Criteria*	Reasoning
Respond effectively to Health Agenda	government objectives as key adjacencies for transportation
Be clearly legible for the wider public	Workshops identified public confusion of the current system as a major source of frustration and lack of confidence
Be responsive to changing agendas and priorities	Workshops identified the responsiveness of the current structures to change as patchy and not uniform
Maximise / optimise use of skills and resources	Workshops identified skills as a key issue: (i) ageing workforce, particularly in operations and maintenance functions; (ii) lack particular skill sets, e.g. transport planning; (iii) lack of ability to provide a critical mass for particular areas; (iv) lack of ability to attract applicants to smaller teams/unclear career paths
Respond flexibly to different regional / local contexts	Workshops identified current practices having differences across Scotland that were largely responses to needs of the regional / local context
Be capable of staged implementation	Identified as a gateway criteria test to allow transition risk to be tested, quick wins may be possible but with a view to supporting medium and longer-term aspirations/changes
Provide local accountability / political leadership	Workshops identified accountability as a major issue for both public and politicians. This is also a key consideration within the current Local Governance Review being undertaken by the Scottish Government and COSLA

Notes: * criteria not listed in any particular order

Having established a draft set of criteria through this process, it was necessary to validate these. This process is required to:

- assure the robustness of individual criteria in addressing their specific area of interest;
- assure that the criteria, as a group, has sufficient width and depth to allow a realistic appraisal of governance; and
- assure that the criteria, as a group, provide a sufficiently balanced approach to assessment and appraisal.

This process was undertaken by mapping the assessment criteria to the key criteria set out in the World Bank (2013) study[6]. This study provides advice on transport institutional set ups and co-ordination from international case studies, identifying the need for attention on the following:

- Functional (e.g. links between transport land use planning);

[6] http://documents.worldbank.org/curated/en/903181468346145008/pdf/840660WP0Insti00Box382110B00PUBLIC0.pdf.

- Spatial (e.g. cross-boundary);

- Sectoral (i.e. multi-modality); and,

- Hierarchy (i.e. vertical and horizontal), from the strategic to operational level.

The World Bank study concluded the following regarding current lead institutions:

- No single institutional model fits all situations. The right model will depend on the political and administrative ethos of the country and city.

- Urban transport institutions take time to evolve. The ideal may not result at the time of establishment, so patience is needed for expectations and possibilities to align adequately.

- New urban transport institutions need financial resources and especially decision-making authority over the available financial resources to be successful. It is this aspect, more than any other, which provides the power to the institutions to achieve their plans and successfully carry out their mandate.

- Any new transport institution will experience teething pains in addition to opposition from existing agencies. Success for a lead institution critically depends on its ability to pursue policies in the broad public interest, develop technical capacity and a secure financial basis for carrying out its tasks, as well as develop strong support at the political level.

- Institutional change can be catalysed by external "trigger events", such as an election, political movements, public protests, macroeconomic conditions and it is critical to engage civil society through a communications programme.

The conditions for success it sets out include building:

- Policies in the public interest;

- Technical capacity;

- Secure financial basis; and

- Strong political support.

This mapping, shown in Table 4.2, validates the use of the assessment criteria.

Table 4.2: Validation of Criteria

Assessment Criteria*	World Bank Key Criteria
Financial sustainability of model	Secure financial basis
Address revenue as well as capital	
Target change in areas of perceived / actual weakness	Hierarchy from strategic to operational (but potentially relates to all the World Bank Criteria)
Supporting of wider government objectives	Policies in the public interest
Respond effectively to emerging legislation / powers	
Fit for purpose for all modes (incl. freight)	Sectoral (i.e. multi-modality)
Respond effectively to Planning Agenda	Functional (e.g. links between transport land use planning)
Respond effectively to Economic Agenda	

Assessment Criteria*	World Bank Key Criteria
Respond effectively to Health Agenda	
Be clearly legible for the wider public	Strong political support
Provide local accountability / political leadership	
Be capable of staged implementation	
Maximise / optimise use of skills and resources	Technical capacity
Respond flexibly to different regional / local contexts	Spatial (e.g. cross-boundary)
Be responsive to changing agendas and priorities	Technical capacity

Notes: * criteria not listed in any particular order

The emerging assessment criteria were presented to the Working Group and agreed.

5 Assessment of Transport Governance Options

5.1 Introduction

The World Bank (2013) study highlighted that there was no single institutional model that will be appropriate for all situations, with a need to tailor this to the particular circumstances and context in a given country or area. This section sets out the approach taken to develop tailored options that seek to address the specific challenges and opportunities in Scotland captured in the assessment criteria.

Whilst aspects of some of the options have been informed by best practice from elsewhere, an iterative approach has been taken building from first principles rather than simply testing existing alternative models from elsewhere. The option development, refinement and assessment process has been greatly assisted by two very constructive workshop sessions with the stakeholders on the Roles and Responsibilities Working Group.

5.2 Option Development

The process of option development has taken place in a phased approach with analysis within a particular phase informing the option development of later phases. The term 'emphasis' or 'leaning' has been employed to describe retaining key elements of the status quo but giving a greater focus to one of the three levels of governance (i.e. national, regional and local) whilst reducing that for the other two levels.

The phases are described as four 'Tiers' comprising:

- Tier 0: Status Quo;
- Tier 1: Current Structure with Revised Emphases;
- Tier 2: Revised Structure - Initial Options; and
- Tier 3: Revised Structure - Second Generation Options and Interim/Quick Wins.

The sections below give a description of the options within each Tier. Workshop sessions with the Working Group on 24th April and 16th May 2018 provided invaluable inputs to this option development and assessment process which are captured within the assessment text and tables within this section. Tables presenting the split of roles at each level within the different options are provided in Appendix A in support of the appraisal summary tables provided in Appendix B.

5.3 Assessment of Options

The assessment and appraisal process has used a seven-point scoring system against the agreed criteria for each of the options including the status quo position:

- Three crosses (✗✗✗), considered to perform extremely poorly;
- Two crosses (✗✗), considered to perform very poorly;
- One cross (✗), considered to perform poorly;
- Null (O), not considered or null impact;
- One tick (✓), considered to perform well;
- Two ticks (✓✓), considered to perform very well; and
- Three ticks (✓✓✓), considered to perform extremely well.

It is important to note that the 'scoring' system is not used to establish a 'total' or 'net' position for each option. Such an approach is not desirable as it would:

- Require a ranking of criteria, which is largely dependent on viewpoint and is highly subjective;

- Fail to convey the differences between an option with extreme positives/negatives, and one with marginal positives/negatives; and

- Lead to an overly simplistic view of a complex and multi-dimensional question.

5.4   Tier 0: Status Quo

The option sets out the Status Quo position as a do-nothing scenario (see Appendix A.1 for detailed Roles Matrix).

5.4.1   Status Quo

Description	This is the 'do nothing' scenario and maintains the national, regional and local roles and responsibilities as they are at present. The analysis of this option serves as a benchmark for option development.
Major Benefits	• No organisational change • Maintains local accountability • Allows flexibility across different areas to respond to local / regional needs
Major Disbenefits	• Does not address skills and resource shortages • Not considered to be financially sustainable • Does not provide a clearer organisation for public legibility • Does not provide for ring-fenced funding across the governance levels

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this, with commentary against each of the criteria, is set out in the appropriate Appraisal Summary Table (see Appendix B.1).

Status Quo	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✗✗
Target change in areas of perceived/actual weakness	O
Supporting of wider government objectives	✓
Address revenue as well as capital	✗✗
Fit for purpose for all modes (incl. freight)	✗
Respond effectively to emerging legislation/powers	✗
Respond effectively to Planning Agenda	✗
Respond effectively to Economic Agenda	✗✗
Respond effectively to Health Agenda	✗
Be clearly legible to the wider public	✗✗✗
Be responsive to changing agendas and priorities	✗
Maximise/optimise use of skills and resources	✗✗
Respond flexible to different regional/local contexts	✓
Be capable of staged implementation	O
Provide local accountability/political leadership	✓

The analysis of the status quo situation demonstrates the need for change; primarily in relation to (i) a lack of confidence in the financial sustainability of the model, driven from the lack of consistency in the ring-fencing of funding across the governance levels, and (ii) the inability of this model at present to address skills and resource shortages. In a change-environment, it is however important to acknowledge the positive aspects of this model, which include the direct local accountability through councilors and the flexibility at a local and regional level to shape service offerings and priorities to more effectively meet local needs.

5.5   Tier 1: Current Structure with Revised Emphases

In this tier, three options have been developed that involve roles and responsibilities with differing levels of emphasis on or 'leaning towards' each one of the three governance levels of national, regional and local. The detailed split of responsibilities assumed under the three levels are set out in the respective Roles Matrix in Appendix A.

5.5.1   Current Structure with National Emphasis

Description	This option involves strengthening the national functions and significantly reducing the local and regional functions.
Key Changes from Status Quo	National level picks-up key responsibilities for operation of bus services, local roads maintenance and operation, local and regional infrastructure projects and regional modelling (see Appendix A.2 for detailed Roles Matrix).
Major Benefits	• Greater access to ring-fenced funding • Simpler model - easier to understand • Could be strong on supporting wider government objectives • Could make better use of scarce skills and resources • Lends itself better to strong leadership?
Major Disbenefits	• Loss of local/political accountability • Staged implementation a problem • Breaks/severs key links to local planning and community planning agendas • Doesn't take account of differing local contexts • Potential lack of flexibility

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.2).

Current Structure with National Emphasis	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✓
Target change in areas of perceived/actual weakness	✗
Supporting of wider government objectives	✓
Address revenue as well as capital	✓
Fit for purpose for all modes (incl. freight)	✗✗
Respond effectively to emerging legislation/powers	✓
Respond effectively to Planning Agenda	✗✗
Respond effectively to Economic Agenda	✗

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Current Structure with National Emphasis	
Criteria	**7-Point Appraisal**
Respond effectively to Health Agenda	✗
Be clearly legible to the wider public	✗
Be responsive to changing agendas and priorities	✗
Maximise/optimise use of skills and resources	✓
Respond flexible to different regional/local contexts	✗
Be capable of staged implementation	✗
Provide local accountability/political leadership	✗✗

While this option builds on the existing strengths of national delivery, its ability to perform well is hampered by a number of factors. Firstly, the transfer of roles and responsibilities allows for more transport functions to be brought within ring-fenced funding, but this results in a loss of accountability at regional and local levels, and a loss of direct linkage to functions such as planning. In addition, the transfer of roles is predominantly from regional; resulting in a lack of balance between and among the three levels, with regional largely becoming a 'strategy-only' function. Finally, while the option provides the opportunity for creating critical mass in skills functions by moving them to a national level, it does not more fully address the skills issue as there is still a spread across three levels.

Current Structure with Regional Emphasis

Description	This option involves 'leaning' roles and responsibilities to regional level; effectively strengthening the regional function by taking roles and responsibilities from national and local levels.
Key Changes from Status Quo	Regional level takes on lead role for roads maintenance and operations with the local level also losing the operation of PT services, education Transport and other statutory powers such as road safety and traffic management to the regional level (see Appendix A.3 for detailed Roles Matrix).
Major Benefits	• Responds better to emerging powers and legislation • Strong in responding to regional health agendas • Responds well to differing regional contexts • Builds on original rationale behind RTPs and RTS's
Major Disbenefits	• Still not very legible for public • Issues re financial sustainability (still 3 levels) • Not really addressing skills shortage agenda

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.3).

Current Structure with Regional Emphasis	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✗
Target change in areas of perceived/actual weakness	✓
Supporting of wider government objectives	✓

Address revenue as well as capital	✓
Fit for purpose for all modes (incl. freight)	✓
Respond effectively to emerging legislation/powers	✓
Respond effectively to Planning Agenda	✓
Respond effectively to Economic Agenda	✓
Respond effectively to Health Agenda	✓
Be clearly legible to the wider public	✗
Be responsive to changing agendas and priorities	✓
Maximise/optimise use of skills and resources	O
Respond flexible to different regional/local contexts	✓
Be capable of staged implementation	✓
Provide local accountability/political leadership	✓

Overall this option has a relatively positive performance against the criteria, but the positive results are made more marginal by (i) executing them through existing organisational arrangements, (ii) maintaining three levels of government, and (iii) not more fully addressing linkages to other agendas and local accountability. The analysis suggests that refinements of this option could provide more positive performance and various options will be possible as to how the regional structure works with the local structure – with for example joint boards or joint committees with representation from individual local authorities which will vary in their function from influencing to controlling the activities and decisions of the regional authority.

5.5.2 Current Structure with Local Emphasis

Description	This option involves 'leaning' roles and responsibilities to local level; effectively strengthening the function of local significantly diminishing or removing regional functions.
Key Changes from Status Quo	Local level takes on a number of functions previously undertaken at regional level including some PT and infrastructure functions (see Appendix A.4 for detailed Roles Matrix).
Major Benefits	• Retains local accountability • Flexible for local context • Links to planning agenda • Links well to community planning agenda
Major Disbenefits	• Not financially sustainable • Skills and resources not really addressed • Still issues with revenue v capital funding • Poor in responding to emerging legislation and powers • Fragmented approach • Doesn't reflect international best practice • Particular difficulties for smaller authorities

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.4).

Current Structure with Local Emphasis	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✗✗
Target change in areas of perceived/actual weakness	✗✗
Supporting of wider government objectives	✗
Address revenue as well as capital	✗✗
Fit for purpose for all modes (incl. freight)	✗✗
Respond effectively to emerging legislation/powers	✗
Respond effectively to Planning Agenda	✓
Respond effectively to Economic Agenda	✗✗
Respond effectively to Health Agenda	O
Be clearly legible to the wider public	✗
Be responsive to changing agendas and priorities	✗
Maximise/optimise use of skills and resources	✗✗
Respond flexible to different regional/local contexts	✓
Be capable of staged implementation	✗
Provide local accountability/political leadership	✓

Overall this option performs relatively poorly. This is principally driven by (i) change reinforcing rather than addressing weaknesses, (ii) adding to the problem of scarce resources being split 32-ways, and (iii) lack of ring-fencing of transport funding at local level. There are positive aspects to this option, such as local accountability, but these are greatly outweighed by the negative impacts.

5.5.3   Tier 1 Conclusions

The assessment of the Tier 1 options demonstrates some positive aspects of relocating certain roles and responsibilities; particularly in strengthening the regional function. However, no single option is assessed as achieving a major impact on the objectives expressed through the assessment criteria, nor do they represent a 'step change' in performance potential.

5.6   Tier 2: Revised Structure - Initial Options

The development of initial options with revised structures was informed by an examination of the assessment of the Tier 1 options. In defining these initial options, the purpose has been to (a) be less constrained in terms of organisational change, (b) maximise the benefits and minimise the disbenefits identified in the Tier 1 assessment, and (c) tackle areas that the Tier 1 options were poor at addressing.

5.6.1 Variant 1: National Agency with Regional Satellite Offices

Description	This option is a similar to the 'New Zealand' model identified in the best practice analysis. It provides for a single national transport agency that takes on almost all transportation roles and responsibilities. The agency would operate through a headquarters (HQ) and regional offices model, and there would be no significant transportation roles and responsibilities maintained within regional partnerships or local authorities.
Key Changes from Status Quo	Almost all transport functions move from regional and local levels to the national agency and its regional satellite offices with only very limited functions such as social work and education transport and taxi licensing remaining at a local level (see Appendix A.5 for detailed Roles Matrix).
Major Benefits	• Legible for wider public • Addresses skills and resources • Financial sustainability and ring-fencing • Builds upon operating companies on roads maintenance side • Strong in responding to emerging legislation and powers
Major Disbenefits	• Loss of local/political accountability • Doesn't maximise subsidiarity benefits – issues with all delivery at regional or national levels • Weak links to planning agenda with recent changes • Politically very difficult to deliver • Staged implementation very difficult

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.5).

Variant 1: National Agency with Regional Satellite Offices	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✓✓
Target change in areas of perceived/actual weakness	✓
Supporting of wider government objectives	✓✓
Address revenue as well as capital	✓✓
Fit for purpose for all modes (incl. freight)	✓
Respond effectively to emerging legislation/powers	✓✓
Respond effectively to Planning Agenda	✗✗
Respond effectively to Economic Agenda	✓
Respond effectively to Health Agenda	✓
Be clearly legible to the wider public	✓✓✓
Be responsive to changing agendas and priorities	✓
Maximise/optimise use of skills and resources	✓✓
Respond flexibly to different regional/local contexts	✓
Be capable of staged implementation	✗✗✗

Variant 1: National Agency with Regional Satellite Offices	
Criteria	**7-Point Appraisal**
Provide local accountability/political leadership	✗✗

Whilst there are some benefits with this approach and some parallels with other national agencies with local offices, it represents a radical departure from current more decentralised approaches to public service delivery, raising significant concerns in terms of political acceptability and local accountability.

5.6.2 Variant 2: Growth Deal / Regional Partnership Alignment

Description	This option is a development of the 'current structure with regional emphasis' option tested in Tier 1. In this option, the regional authorities are more closely aligned with Growth Deal / Regional Partnership areas, where those exist, with remaining areas aligned regionally to map with the best agreed administrative boundaries (e.g. health board areas etc.). The regional bodies would all take on RTP Model 3 powers.
Key Changes from Status Quo	National as is except with strategic bus operating powers. Many of individual local authority transport functions transferred to regional level including key roads maintenance and operation functions and supported bus services (see Appendix A.6 for detailed Roles Matrix).
Major Benefits	• More legible for public • Staged implementation easier • Responds more effectively to economic agendas • Potentially more palatable from political standpoint/local accountability than Variant 1
Major Disbenefits	• Still doesn't have full local accountability • Geographies of current RTPs could make difficult outside City Regions - requires some boundary changes • Doesn't maximise subsidiarity

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.6).

Variant 2: Growth Deal / Regional Partnership Alignment	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✓
Target change in areas of perceived/actual weakness	✓✓
Supporting of wider government objectives	✓✓
Address revenue as well as capital	✓
Fit for purpose for all modes (incl. freight)	✓
Respond effectively to emerging legislation/powers	✓
Respond effectively to Planning Agenda	✓
Respond effectively to Economic Agenda	✓✓
Respond effectively to Health Agenda	✓
Be clearly legible to the wider public	✓✓

Variant 2: Growth Deal / Regional Partnership Alignment	
Criteria	**7-Point Appraisal**
Be responsive to changing agendas and priorities	✓
Maximise/optimise use of skills and resources	✓✓
Respond flexibly to different regional/local contexts	✓
Be capable of staged implementation	✓
Provide local accountability/political leadership	**O**

This option provides most of the benefits of the Current Structure with Regional Emphasis option in Tier 1 but addresses certain weaknesses by aligning the regional level geographies more closely with other key functions including economic development and health. It remains a three tier approach with a mix of strategy, management and delivery functions at each level. Concerns about legibility to the public and the realities of some aspects of delivery functions at the regional level, such as road maintenance, remain.

5.7 Tier 3: Revised Structure - Second Generation Options

The previous section has highlighted that there are a number of potential benefits with Variant 2 (Growth Deal / Regional Partnership Alignment) which performs well against a number of the agreed assessment criteria. There were however still key areas of concern emerging from the assessment and the discussion of this at the working group workshops. In particular, there were concerns about the ability to tackle key delivery areas and in particular local road maintenance, remaining issues about local democracy and centralisation and also a view that the form of the regional functions might not necessarily follow the current form of the RTPs.

In the workshop sessions, variants of this regional option were discussed. These have been further developed and are set out below.

5.7.1 Variant 3: Joint Authority Boards with RTPs

Description	This option recognises that there is a potential split between the strategy and policy functions of the RTP and delivery/management functions. Where RTPs have taken on Model 3 status as is currently the case with SPT, SWESTRANS and ZETTRANS, a number of key delivery functions are picked up by the RTP, particularly in terms of supported bus services and school transport but also in some instances certain active travel functions, sometimes in co-operation with NGO's such as Sustrans. Instead of 32 local authorities leading on delivery functions (as well as local transport strategies) as currently, a smaller number of joint authority boards would be created to cover these functions. The formation of the joint boards would move on from being on a purely voluntary basis to one linked to funding settlements and potentially outcome agreements/targets.

Key Changes from Status Quo	National – Unchanged other than ability to secure strategic bus services
	Regional – Maintains key responsibility for production of RTS and builds on current best practice dissemination. No requirement for RTPs to change to Model 3 status. Model 3 RTP public transport responsibilities could remain or be devolved to Joint Delivery Boards as below.
	Local – Most of current transport delivery functions of individual authorities would be transferred to a joint delivery board of the appropriate individual local authorities. This would include local roads maintenance, local roads design, TRO's, Transport Demand Management (including parking) and potentially also taxi and private hire licensing. Supported bus services and schools transport could also transfer to joint boards with the possible exclusion of the current Model 3 RTPs. (See Appendix A.7 for detailed Roles Matrix).
Major Benefits	• Maintains significant degree of local and political accountability
	• Allows flexibility across different areas to respond to local / regional needs
Major Disbenefits	• Reduced impact on skills and resource shortages through sub-regional level
	• Three tiers may not assist legibility for public

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.7).

This sub-option demonstrates the benefits of a more regional strategy focus whilst following subsidiarity principles in the actual delivery of services reflecting that these may be more efficiently delivered at a sub-regional level, particularly in larger regions. It also potentially addresses some of the key concerns relating to the Variant 2 option in terms of political and local accountability through formal joint boards of existing local authorities at a sub-regional level. This also builds on current good examples of joint authority working at sub-regional levels.

Variant 3: Joint Authority Boards with RTPs	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✓
Target change in areas of perceived/actual weakness	✓✓
Supporting of wider government objectives	✓✓
Address revenue as well as capital	✓
Fit for purpose for all modes (incl. freight)	✓
Respond effectively to emerging legislation/powers	✓
Respond effectively to Planning Agenda	✓✓
Respond effectively to Economic Agenda	✓✓
Respond effectively to Health Agenda	✓✓
Be clearly legible to the wider public	O
Be responsive to changing agendas and priorities	✓
Maximise/optimise use of skills and resources	✓
Respond flexible to different regional/local contexts	✓
Be capable of staged implementation	O

Variant 3: Joint Authority Boards with RTPs	
Criteria	**7-Point Appraisal**
Provide local accountability/political leadership	✓

5.7.2 Variant 4: Regional with Delivery Plan Alignment

Description	This option is also derived from Variant 2; using the regional alignment envisaged under that option. This option differs by offering a system based around delivery plans. Within a given region, and for a fixed period of time (say 5 years) there would be a joint agreement made by national, regional and the constituent local authorities, which would set out the roles and responsibilities of each. Critically, for each region it would allow responsibilities to be moved to suit particular circumstances. The joint agreement would be underpinned by a suit of delivery plans for national (drawn from STPR), regional and local.
Key Changes from Status Quo	This could change from region to region with the specific roles and responsibilities to be adopted at each level subject to the specific joint agreement in the area. For this reason, it has not been appropriate to develop a specific role matrix for this option although there would probably be some parallels with the other regional variants.
Major Benefits	• Highly flexible solution that can adapt across geographies and with time • Provides a statutory basis for delivery functions across national, regional and local levels
Major Disbenefits	• Likely to require legislative change • Time consuming and complex to implement • Organisational approaches could differ significantly across the country

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.8).

Variant 4: Regional with Delivery Plan Alignment	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✓
Target change in areas of perceived/actual weakness	✓✓
Supporting of wider government objectives	✓✓
Address revenue as well as capital	✓
Fit for purpose for all modes (incl. freight)	✓
Respond effectively to emerging legislation/powers	✓✓
Respond effectively to Planning Agenda	✓
Respond effectively to Economic Agenda	✓✓
Respond effectively to Health Agenda	✓✓
Be clearly legible to the wider public	O
Be responsive to changing agendas and priorities	✓✓

Variant 4: Regional with Delivery Plan Alignment	
Criteria	**7-Point Appraisal**
Maximise/optimise use of skills and resources	✓
Respond flexible to different regional/local contexts	✓✓
Be capable of staged implementation	✗✗
Provide local accountability/political leadership	✓

This variant performs relatively well against the criteria. The model provides for a flexible situation that is embedded at regional level; able to adapt to the needs of the local geography and adapt over time. The Delivery Plans are envisaged to operate in a similar way to the Asset Management Plan (AMP) process in the water industry or Control Period in the rail industry. This focusses on longer-term investment planning. The major drawbacks of this option are the potential need for legislative change and the complexity and legibility of implementing the delivery plan agreements across the regions with both the national level and the constituent authorities.

5.7.3   Interim/Quick Wins

In addition to these two Tier 3 variant options, an Interim/Quick win option has been developed as a potential prelude for a more significant option being taken forward. This seeks to make smaller changes within the existing legislative framework which could have a number of relatively modest benefits against the assessment criteria.

Description	This is not a stand-alone option but instead represents smaller changes that could be implemented to the baseline situation to address a number of identified issues but as a potential prelude to more radical options. It continues the three-tier setup as present. There would be small changes to roles and responsibilities with most/all RTPs becoming Model 3 and some increase in voluntary joint authority working promoted.
Key Changes from Status Quo	There would only be limited changes to the status quo position. Potentially the ability to operate or procure strategic bus services would be added to the national level. There would also be some expansion to voluntary joint authority working on responsibilities including roads maintenance and operation and supported bus services (see Appendix A.9 for detailed Roles Matrix).
Major Benefits	• Builds on existing strengths, leadership and responsibilities • Demonstrates action being taken • Some of gains of more extensive options
Major Disbenefits	• Necessarily limited in scope • Need for additional skills that may not be available in all RTPs • Could still face implementation challenges

This scenario has been assessed against the agreed criteria using the seven-point scoring system as set out below. A fuller version of this with commentary against each of the criteria is set out in the appropriate Appraisal Summary Table (see Appendix B.9).

Interim/Quick Wins	
Criteria	**7-Point Appraisal**
Financial sustainability of model	✗
Target change in areas of perceived/actual weakness	✓

Interim/Quick Wins	
Criteria	**7-Point Appraisal**
Supporting of wider government objectives	✓
Address revenue as well as capital	O
Fit for purpose for all modes (incl. freight)	✗
Respond effectively to emerging legislation/powers	✗
Respond effectively to Planning Agenda	O
Respond effectively to Economic Agenda	✓
Respond effectively to Health Agenda	O
Be clearly legible to the wider public	✗
Be responsive to changing agendas and priorities	O
Maximise/optimise use of skills and resources	O
Respond flexible to different regional/local contexts	✓
Be capable of staged implementation	✓
Provide local accountability/political leadership	✓

This interim/quick-wins option is, by definition, limited in nature and thus doesn't address a number of the weaknesses of the status quo that have been identified. In particular, concerns regarding the lack of confidence in the financial sustainability of the model, driven from the lack of consistency in the ring-fencing of funding across the tiers, remains as does the inability of this model to fundamentally address skills and resource shortages. Joint working between authorities is encouraged but with no new mechanisms to ensure this takes place. Local accountability through councillors does however remain.

5.8   Overall Observations

The three tier option development process adopted above has benefitted from very constructive engagement with the Working Group at workshop sessions as well as the best practice review undertaken during the commission. A range of different options were developed using a three tier approach to test and provide focus on those options which could best address the key assessment criteria agreed.

It was clear from the assessment of the current Status Quo that significant improvements needed to be made. A greater focus on the regional level of governance emerged most strongly from the Tier 1 assessment in addressing these concerns. This provided a clear focus for the development of more refined variant options in the Tier 2 option development, with one of these - Variant 2 (Growth Deal / Region Partnership Alignment) emerging as the strongest and most deliverable option to take forward for further refinement and development in the Tier 3 options.

Two further variants (Variant 3 and 4) were then developed to seek to address the identified weaknesses of this option. One (Variant 3: Joint Authority Boards with RTPs) tackles this through a strong sub-regional delivery focus whilst also strengthening strategy functions at the regional level. The other (Variant 4: Regional with Delivery Plans) takes a slightly different approach which allows different responses in different regions but based upon strong and binding Delivery Plan agreements across the regions with both the national level and the constituent authorities.

Finally, an interim/Quick Wins option has been assessed which could potentially be taken forward in advance of a more comprehensive option although clearly with more limited impacts against the assessment criteria.

The objectives driven approach adopted in the development and refinement of options, informed by strong engagement with key stakeholders provides a clear basis to inform the subsequent decision-making process on the implementation of any changes. It would allow further variations to be developed within this overall approach to fine-tune the selected approaches including the adoption of different elements from more than one variant where this could be appropriate. A number of key points can be made about the development of options:

- The Status Quo situation, whilst meeting its current statutory obligations, has been identified as having some significant challenges in terms of its sustainability and ability to deliver positive outcomes, particularly around financing, skills and resources;

- Ensuring that any selected option or combination of options builds on identified strengths within current approaches whilst also tackling identified weaknesses. It is important that it is not change for the sake of change;

- Strengthening current national, regional or local by 'leaning' roles and responsibilities towards any one of the three is predicted to have a limited impact on meeting the challenges but, within this, strengthening the regional level has the best potential;

- The variant options seek to provide some testing of options to resolve two issues that appear to be acting in opposite ways, (i) the need to aggregate roles and responsibilities to provide critical mass and efficiency, and (ii) the need to have accountability in line with the principles of subsidiarity. The assessment suggests that there could be ways of providing a governance model that recognises and responds positively to these particular challenges;

- Within the variant options, the ability to have flexibility across different geographies is considered to have benefits, as it aligns regional geographies more closely with city region/growth deal areas and/or other key governmental geographies (e.g. health boards); and

- Options that are considered to have the best performance against the assessment criteria are also those most likely to require legislative change, and to be more complex and difficult to implement. Options involving delegated ministerial powers would need to be considered where possible however, rather than lengthy legislative changes.

In taking forward these options or variants of them a number of wider observations can be made which will need to be taken into consideration:

- Strong leadership at both officer and political level has been identified as a desirable key factor in both the consultations and best practice reviews and cannot always be reflected fully in an assessment of different model options. It is crucial that this is fully addressed in the detailed implementation of the selected approach to build on and strengthen existing leadership within the transport sector;

- Whilst the options have concentrated on the respective roles of different levels of government, the important role of Non-Government Organisations in the transport sector needs to be reflected and sustained. The important role of organisations such as Sustrans, Cycling Scotland and Living Streets within the Active Travel field has been acknowledged by many stakeholders and continuing and even stronger partnership with such organisations but also potentially strengthened NGOs in other areas of transport should be explored; and

- Ensuring the views of users and potential users of the transport system are fully captured and responded to is another critical element of effective strategy development and service delivery. There are many examples of good practice within Scotland at all levels of government (and through NGOs), particularly in the areas of strategy development, active travel and accessible transport which can be built on - user forums, wider engagement exercises and the increasing use of social media, for example.

- Ensuring high levels of engagement with politicians at all levels of government will also be key. There have been recent good examples of proactive engagement with elected members on City Region strategies which can be built upon but any new governance structures will need to fully embrace this principle. The current Local Governance Review being undertaken by the Scottish Government and COSLA should help inform appropriate mechanisms including joint boards.

The best practice work in the earlier part of this study highlighted that different countries and different regions within these have adopted a wide range of different approaches to the governance of transportation functions across the strategy, management and delivery agendas. Whilst this provides invaluable and often very relevant lessons for Scotland in exploring revised approaches to transportation governance and delivery, it is vital that any adopted models or indeed elements from different models, meet the specific requirements, varied geographies, challenges and opportunities that are unique to Scotland.

5.9   What Next?

It is important to state that this work is the first stage in a process that, if taken forward, will require further time and effort to develop options further and consult on the implications; in particular, from a user perspective – the travelling public – or potential users of the future.

This study has been completed for the Working Group that was set up to consider these issues. The report does not seek to reach a conclusion, but rather to provide the data and analysis to allow decision-makers to consider what steps to take.

The Working Group have considered the report and have provided an accompanying statement. They will consult with their own organisations over coming months to help shape the next steps for any proposed changes to the roles and responsibilities for transport governance in Scotland.

Appendix A. **Roles Matrix**

A.1 Status Quo

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role		
		National	Regional	Individual Authority
Legislation	N	✓		
National Transport Strategy	N	✓		
Research and analysis in collaboration with local authorities, RTPs and others	N	✓	✓	✓
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓	✓
National Concessionary Bus Travel Schemes	N	✓		
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓	✓
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✓
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓	
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓	✓
Route development on air services	N	✓	✓	
Ports Policy & Legislation under the Harbours Act 1964	N	✓		
Canals policy	N	✓		
Rail: policy; infrastructure investment	N	✓		
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓		

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓		
Blue Badge Scheme: policy and legislation	N	✓		
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓		
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓		
Approver of changes to the strategic transport network	N	✓		
Custodians of Transport Appraisal Guidance	N	✓		
Custodians of Road Design Standards	N	✓		✓
Traffic Scotland	N	✓		
Traveline Scotland	N	✓		
The Scottish Road Works Commissioner	N	✓		
Environmental Management including noise, air quality and climate change adaption	N	✓		✓
Regional Transport Strategies (statutory)	R		✓	
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓	
Regional modelling	R		✓	
Operation of PT services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L		✓	✓
Local roads maintenance and operation	L			✓

Activity	Code				
Funding local and regional infrastructure projects	R L			✓	✓
Subsidising socially-necessary bus services (except where transferred to RTP)	L			✓	✓
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes	L R			✓	✓
Local concessionary travel schemes	L R			✓	✓
Taxi and private hire licensing regimes	L				✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L				✓
Local transport infrastructure provision	L				✓
Operating council-owned bus stations and car parks.	L				✓
Operating council-owned airports, ports and harbours in certain areas	L				✓
Funding voluntary sector transport work	L				✓
Funding for transport initiatives by third parties	L				✓
Statutory responsibility for local road safety –including accident investigation and analysis	L				✓
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L				✓
Funding and provision of internal ferry/air services	L		✓	✓	
Local Transport demand management initiatives and measures	L			✓	✓
Land use planning consultee under Roads Scotland Act	L				✓
Health and social care transport	L				✓
Schools transport	L			✓	✓

Community Planning	L		✓	✓

A.2   Current Structure with National Emphasis

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role		
		National	Regional	Individual Authority
Legislation	N	✓		
National Transport Strategy	N	✓		
Research and analysis in collaboration with local authorities, RTPs and others	N	✓		
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓	✓
National Concessionary Bus Travel Schemes	N	✓		
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓	✓
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✓
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓	
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓	✓
Route development on air services	N	✓	✓	
Ports Policy & Legislation under the Harbours Act 1964	N	✓		
Canals policy	N	✓		
Rail: policy; infrastructure investment	N	✓		
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓		

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓		
Blue Badge Scheme: policy and legislation	N	✓		
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓		
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓		
Approver of changes to the strategic transport network	N	✓		
Custodians of Transport Appraisal Guidance	N	✓		
Custodians of Road Design Standards	N	✓		✖
Traffic Scotland	N	✓		
Traveline Scotland	N	✓		
The Scottish Road Works Commissioner	N	✓		
Environmental Management including noise, air quality and climate change adaption	N	✓		✖
Regional Transport Strategies (statutory)	R		✓	
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓	
Regional modelling	R	✓	✖	
Operation of PT services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L	✓	✖	✖
Local roads maintenance and operations	L	✓		✖

Funding local and regional infrastructure projects	R L	✓	✗	✓
Subsidising socially-necessary bus services (except where transferred to RTP)	L	✓	✗	✓
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes (except where transferred to RTP)	L R	✓	✗	✗
Local concessionary travel schemes	L R	✓	✗	✗
Taxi and private hire licensing regimes	L			✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L			✓
Local transport infrastructure provision	L			✓
Operating council-owned bus stations and car parks	L			✓
Operating council-owned airports, ports and harbours in certain areas	L			✓
Funding voluntary sector transport work	L	✓		✓
Funding for transport initiatives by third parties	L			✓
Statutory responsibility for local road safety – including accident investigation and analysis	L			✓
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L			✓
Funding and provision of internal ferry/air services	L	✓	✓	
Local Transport demand management initiatives and measures	L		✓	✓
Land use planning consultee under Roads Scotland Act	L			✓
Health and social care transport	L			✓
Schools transport	L	✓	✓	✓

Community Planning		L		✓	✓

A.3 Current Structure with Regional Emphasis

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role		
		National	Regional	Individual Authority
Legislation	N	✓		
National Transport Strategy	N	✓		
Research and analysis in collaboration with local authorities, RTPs and others	N	✓	✓	✗
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓	✓
National Concessionary Bus Travel Schemes	N	✓		
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓	✓
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✓
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓	
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓	
Route development on air services	N	✓	✓	
Ports Policy & Legislation under the Harbours Act 1964	N	✓		
Canals policy	N	✓		
Rail: policy; infrastructure investment	N	✓		
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓		

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓	✓	
Blue Badge Scheme: policy and legislation	N	✓		
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓		
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓	✓	
Approver of changes to the strategic transport network	N	✓		
Custodians of Transport Appraisal Guidance	N	✓		
Custodians of Road Design Standards	N	✓	✓	✗
Traffic Scotland	N	✓		
Traveline Scotland	N	✓		
The Scottish Road Works Commissioner	N	✓		
Environmental Management including noise, air quality and climate change adaption	N	✓	✓	✗
Regional Transport Strategies (statutory)	R		✓	
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓	
Regional modelling	R		✓	
Operation of PT services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L		✓	✗
Local roads maintenance and operations	L		✓	✗

Funding local and regional infrastructure projects	R L		✓	✗
Subsidising socially-necessary bus services (except where transferred to RTP)	L		✓	✗
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes (except where transferred to RTP)	L R		✓	✗
Local concessionary travel schemes	L R		✓	✗
Taxi and private hire licensing regimes	L			✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L			✓
Local transport infrastructure provision	L		✓	✓
Operating council-owned bus stations and car parks.	L		✓	✓
Operating council-owned airports, ports and harbours in certain areas	L		✓	✗
Funding voluntary sector transport work	L		✓	✓
Funding for transport initiatives by third parties	L			✓
Statutory responsibility for local road safety – including accident investigation and analysis	L		✓	✗
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L		✓	✗
Funding and provision of internal ferry/air services	L	✓	✓	
Local Transport demand management initiatives and measures	L		✓	✓
Land use planning consultee under Roads Scotland Act	L			✓
Health and social care transport	L		✓	✗
Schools transport	L	✗	✓	✗

Community Planning		L		✓	✓

A.4 Current Structure with Local Emphasis

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role		
		National	Regional	Individual Authority
Legislation	N	✓		
National Transport Strategy	N	✓		
Research and analysis in collaboration with local authorities, RTPs and others	N	✓		✓
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✗	✓
National Concessionary Bus Travel Schemes	N	✓		
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✗	✓
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✓
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✗	✓
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✗	✓
Route development on air services	N	✓	✗	
Ports Policy & Legislation under the Harbours Act 1964	N	✓		
Canals policy	N	✓		
Rail: policy; infrastructure investment	N	✓		
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓		

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓		
Blue Badge Scheme: policy and legislation	N	✓		
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓		
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓		
Approver of changes to the strategic transport network	N	✓		
Custodians of Transport Appraisal Guidance	N	✓		
Custodians of Road Design Standards	N	✓		✓
Traffic Scotland	N	✓		
Traveline Scotland	N	✓		
The Scottish Road Works Commissioner	N	✓		
Environmental Management including noise, air quality and climate change adaption	N	✓		✓
Regional Transport Strategies (statutory)	R		✓	
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓	
Regional modelling	R		✓	
Operation of PT services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L	✓	✗	✓
Local roads maintenance and operations	L			✓

Funding local and regional infrastructure projects	R L		✗	✓
Subsidising socially-necessary bus services (except where transferred to RTP)	L		✗	✓
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes (except where transferred to RTP)	L R		✗	✓
Local concessionary travel schemes	L R		✗	✓
Taxi and private hire licensing regimes	L			✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L			✓
Local transport infrastructure provision	L			✓
Operating council-owned bus stations and car parks.	L			✓
Operating council-owned airports, ports and harbours in certain areas	L			✓
Funding voluntary sector transport work	L			✓
Funding for transport initiatives by third parties	L			✓
Statutory responsibility for local road safety – including accident investigation and analysis	L			✓
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L			✓
Funding and provision of internal ferry/air services	L	✓	✗	✓
Local Transport demand management initiatives and measures	L		✗	✓
Land use planning consultee under Roads Scotland Act	L			✓
Health and social care transport	L			✓
Schools transport	L	✓	✗	✓

Community Planning	L		✗	✓

A.5   Variant 1: National Agency with Regional Satellite Offices

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role		
		National	Regional	Individual Authority
Legislation	N	✓		
National Transport Strategy	N	✓		
Research and analysis in collaboration with local authorities, RTPs and others	N	✓	✓	✗
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓	✗
National Concessionary Bus Travel Schemes	N	✓		
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓	✗
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✗
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓	
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓	✗
Route development on air services	N	✓	✓	
Ports Policy & Legislation under the Harbours Act 1964	N	✓		
Canals policy	N	✓		
Rail: policy; infrastructure investment	N	✓		

Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓		
Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓		
Blue Badge Scheme: policy and legislation	N	✓		
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓		
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓		
Approver of changes to the strategic transport network	N	✓		
Custodians of Transport Appraisal Guidance	N	✓		
Custodians of Road Design Standards	N	✓		
Traffic Scotland	N	✓		
Traveline Scotland	N	✓		
The Scottish Road Works Commissioner	N	✓		
Environmental Management including noise, air quality and climate change adaption	N	✓		✗
Regional Transport Strategies (statutory)	R		✓	
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓	
Regional modelling	R		✓	
Operation of services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L		✓	✗

Local roads maintenance and operations	L		✓	✗
Funding local and regional infrastructure projects	R L		✓	✗
Subsidising socially-necessary bus services	L	✓	✓	✗
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes	L R		✓	✗
Local concessionary travel schemes	L R		✓	✗
Taxi and private hire licensing regimes	L			✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L		✓	✗
Local transport infrastructure provision	L		✓	✓
Operating council-owned bus stations and car parks	L		✓	✗
Operating council-owned airports, ports and harbours in certain areas	L		✓	✗
Funding voluntary sector transport work	L		✓	✗
Funding for transport initiatives by third parties	L		✓	✗
Statutory responsibility for local road safety – including accident investigation and analysis	L		✓	✗
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L		✓	✗
Funding and provision of internal ferry/air services	L	✓	✓	✗
Transport demand management initiatives and measures	L		✓	✗
Land use planning consultee under Roads Scotland Act	L			✗
Health and social care transport	L		✓	✓

Schools transport		L		✓	✓
Community Planning		L		✓	✓

A.6　Variant 2: City Growth Deal / Regional Partnership Alignment

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role		
		National	Regional	Individual Authority
Legislation	N	✓		
National Transport Strategy	N	✓		
Research and analysis in collaboration with local authorities, RTPs and others	N	✓	✓	✗
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓	✗
National Concessionary Bus Travel Schemes	N	✓		
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓	✗
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✗
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓	
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓	✗
Route development on air services	N	✓	✓	
Ports Policy & Legislation under the Harbours Act 1964	N	✓		
Canals policy	N	✓		
Rail: policy; infrastructure investment	N	✓		
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓		

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓			
Blue Badge Scheme: policy and legislation	N	✓			
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓			
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓			
Approver of changes to the strategic transport network	N	✓			
Custodians of Transport Appraisal Guidance	N	✓			
Custodians of Road Design Standards	N	✓			✗
Traffic Scotland	N	✓			
Traveline Scotland	N	✓			
The Scottish Road Works Commissioner	N	✓			
Environmental Management including noise, air quality and climate change adaption	N	✓			✗
Regional Transport Strategies (statutory)	R			✓	
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R			✓	
Regional modelling	R			✓	
Operation of services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L			✓	
Local roads maintenance and operations	L			✓	✓

Funding local and regional infrastructure projects	R L		✓	✓
Subsidising socially-necessary bus services (except where transferred to RTP)	L	✓	✓	✗
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes	L R		✓	✗
Local concessionary travel schemes	L R		✓	✗
Taxi and private hire licensing regimes	L			✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L		✓	✗
Local transport infrastructure provision	L		✓	✓
Operating council-owned bus stations and car parks	L		✓	✓
Operating council-owned airports, ports and harbours in certain areas	L		✓	✗
Funding voluntary sector transport work	L		✓	✗
Funding for transport initiatives by third parties	L		✓	✗
Statutory responsibility for local road safety – including accident investigation and analysis	L			✓
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L		✓	✓
Funding and provision of internal ferry/air services	L	✓	✓	✗
Transport demand management initiatives and measures	L		✓	✗
Land use planning consultee under Roads Scotland Act	L			✓
Health and social care transport	L			✓
Schools transport	L		✓	✗

Community Planning		L		✓	✓

A.7 Variant 3: Joint Authority Boards with RTPs

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role			
		National	Regional	Joint Boards	Individual Authority
Legislation	N	✓			
National Transport Strategy	N	✓			
Research and analysis in collaboration with local authorities, RTPs and others	N	✓	✓		✗
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓	✓	✗
National Concessionary Bus Travel Schemes	N	✓			
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓	✓	✗
Bus strategy and support along with RTPs, Councils and others	N	✓	✓	✓	✗
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓		
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓	✓	✗
Route development on air services	N	✓			
Ports Policy & Legislation under the Harbours Act 1964	N	✓			
Canals policy	N	✓			
Rail: policy; infrastructure investment	N	✓			
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓			

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓			
Blue Badge Scheme: policy and legislation	N	✓			
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓			
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓			
Approver of changes to the strategic transport network	N	✓			
Custodians of Transport Appraisal Guidance	N	✓			
Custodians of Road Design Standards	N	✓		✓	✗
Traffic Scotland	N	✓			
Traveline Scotland	N	✓			
The Scottish Road Works Commissioner	N	✓			
Environmental Management including noise, air quality and climate change adaption	N	✓		✓	✗
Regional Transport Strategies (statutory)	R		✓		
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓		
Regional modelling	R		✓	✓	
Operation of services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L			✓	✗
Local roads maintenance and operation	L			✓	✗

Function	Code				
Funding local and regional infrastructure projects	R L		✓	✓	✓
Subsidising socially-necessary bus services (except where transferred to RTP)	L		✓	✓	✗
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes (except where transferred to RTP)	L R			✓	✗
Local concessionary travel schemes	L R		✓	✓	✗
Taxi and private hire licensing regimes	L			✓	✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L		✓	✓	✗
Local transport infrastructure provision	L			✓	✓
Operating council-owned bus stations and car parks	L			✓	✗
Operating council-owned airports, ports and harbours in certain areas	L			✓	✗
Funding voluntary sector transport work	L			✓	✗
Funding for transport initiatives by third parties	L			✓	✓
Statutory responsibility for local road safety – including accident investigation and analysis	L			✓	✓
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L			✓	✓
Funding and provision of internal ferry/air services	L	✓	✓	✓	✗
Transport demand management initiatives and measures	L		✓	✓	✓
Land use planning consultee under Roads Scotland Act	L			✓	✓
Health and social care transport	L			✓	✗
Schools transport	L			✓	✗

Community Planning		L			✓	✓

A.8 Variant 4: Regional with Delivery Plan Alignment

Transport governance functions could change from region to region with the specific roles and responsibilities to be adopted at each level subject to the specific joint agreement in the area. For this reason, it has not been appropriate to develop a specific role matrix for this option although there would probably be some parallels with the other regional variants.

A.9   Interim/Quick Wins

Role	Current Lead Level N – National R – Regional L – Local	Most Appropriate Level of Delivery: Lead Role			
		National	Regional	Joint Authority	Individual Authority
Legislation	N	✓			
National Transport Strategy	N	✓			
Research and analysis in collaboration with local authorities, RTPs and others	N	✓	✓		✓
Strategic infrastructure investment along with RTPs, Councils and others	N	✓	✓		✓
National Concessionary Bus Travel Schemes	N	✓			
Sustainable and active travel policy and investment along with RTPs, Councils and others	N	✓	✓		✓
Bus strategy and support along with RTPs, Councils and others	N	✓	✓		✓
Freight Policy and Freight Mode Shift Grant schemes	N	✓	✓		
Support for lifeline air and ferry services along with RTPs, Councils and others	N	✓	✓		
Route development on air services	N	✓	✓		✓
Ports Policy & Legislation under the Harbours Act 1964	N	✓			
Canals policy	N	✓			
Rail: policy; infrastructure investment	N	✓			
Awarder of and support for ScotRail & Caledonian sleeper franchises; specification and funding of Network Rail outputs, performance and service quality	N	✓			

Road safety: education and publicity, Road Safety Framework, Scottish road safety targets, policy, speed limits, drink and drug drive limit	N	✓			
Blue Badge Scheme: policy and legislation	N	✓			
Trunk road: policy; design and construction; maintenance, road safety for the trunk roads, safety camera programme	N	✓			
Statutory consultee on strategic and local development plans and planning applications which impact on the trunk road	N	✓			
Approver of changes to the strategic transport network	N	✓			
Custodians of Transport Appraisal Guidance	N	✓			
Custodians of Road Design Standards	N	✓			✓
Traffic Scotland	N	✓			
Traveline Scotland	N	✓			
The Scottish Road Works Commissioner	N	✓			
Environmental Management including noise, air quality and climate change adaption	N	✓			✓
Regional Transport Strategies (statutory)	R		✓		
Regional promoter of economic development/sustainable and active travel/behaviour change/modal shift	R		✓		
Regional modelling	R		✓		
Operation of PT services (e.g. provision of bus and other transport services and in the case of SPT, the operation of bus stations and the Glasgow Subway)	R L	✓	✓	✓	✓
Local roads maintenance and operation	L			✓	✓

Function	Code				
Funding local and regional infrastructure projects	R L		✓	✓	✓
Subsidising socially-necessary bus services (except where transferred to RTP)	L	✓	✓	✓	✓
Influencing or managing local bus service provision through quality contract, quality partnership and ticketing schemes	L R		✓	✓	✓
Local concessionary travel schemes	L R		✓		✓
Taxi and private hire licensing regimes	L				✓
Preparation and delivery of local transport strategies, having regard to statutory RTS	L				✓
Local transport infrastructure provision	L			✓	✓
Operating council-owned bus stations, airports; ports and harbours in certain areas	L				✓
Funding voluntary sector transport work	L		✓	✓	✓
Funding for transport initiatives by third parties	L				✓
Statutory responsibility for local road safety – including accident investigation and analysis	L				✓
Traffic management – Traffic Regulation Orders, road works, urban traffic control	L				✓
Funding and provision of internal ferry/air services	L	✓	✓		
Local Transport demand management initiatives and measures	L		✓		✓
Land use planning consultee under Roads Scotland Act	L				✓
Health and social care transport	L				✓
Schools transport	L		✓	✓	✓
Community Planning	L		✓		✓

Appendix B. **Appraisal Summary Tables**

B.1   Status Quo

Proposal Details	
Description:	Continuing with the three-tier setup as present. No changes to roles or responsibilities.
Rationale:	This represents the baseline situation and acts as a 'yardstick' against which other options can be compared. It also demonstrates, through the assessment, the rationale for the need for change.

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	××	Identified by stakeholders as a major issue. No ring fencing of budgets, in particular revenue
Target change in areas of perceived/actual weakness	O	Not applicable - no change
Supporting of wider government objectives	✓	Follows current system and momentum. Linkages from national to local not always clear
Address revenue as well as capital	××	Significant issues on revenue support, e.g. supported bus services and roads maintenance
Fit for purpose for all modes (incl. freight)	×	Weaknesses identified by stakeholders, e.g. supported bus
Respond effectively to emerging legislation/powers	×	Cumbersome at present with three-levels of government and shortage of skills
Respond effectively to Planning Agenda	×	Maintains links with local function, but resource constraints and skills shortage are an issue
Respond effectively to Economic Agenda	××	Maintains links with local economic development function but resource constraints and skills shortage are an issue
Respond effectively to Health Agenda	×	Three-tier structure leads to variable effectiveness
Be clearly legible to the wider public	×××	Poor legibility with three-tier structure
Be responsive to changing agendas and priorities	×	Cumbersome with three-levels of government and shortage of skills
Maximise/optimise use of skills and resources	××	Resources are spread thinly due to levels of government. Lack of critical mass for specialist services
Respond flexible to different regional/local contexts	✓	Three-levels of government allows some flexibility to respond at different levels in different circumstances
Be capable of staged implementation	O	Not applicable
Provide local accountability/political leadership	✓	Some strengths with local accountability but leadership has been highlighted as a constraint of the current system

High Level Benefits	High Level Disbenefits	Summary
• No organisational change • Maintains local accountability • Allows flexibility across different areas to respond to local / regional needs	• Does not address skills and resource shortages • Not considered to be financially sustainable • Does not provide a clearer organisation for public legibility • Does not provide for ring-fenced funding across the tiers	The analysis of the status quo situation demonstrates the need for change; primarily in relation to (i) a lack of confidence in the financial sustainability of the model, driven from the lack of consistency in the ring-fencing of funding across the tiers, and (ii) the inability of this model at present to address skills and resource shortages. In a change-environment, it is however important to acknowledge the positive aspects of this model, which include the direct local accountability through councillors and the flexibility at a local and regional level to shape service offerings and priorities to more effectively meet local needs.

B.2 Current Structure with National Emphasis

Proposal Details	
Description:	This 'leans' roles and responsibilities towards the National level from both Regional and Local levels.
Rationale:	The option is one of a group of three that tests the strengthening of one of the existing three levels by 'leaning' responsibilities to it from the other two. This option strengthens the 'national' level by transferring roles and responsibilities to it such as regional modelling, public transport, and local road maintenance from both

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✓	Greater access to ring fenced funds but issues remain for other levels of government.
Target change in areas of perceived/actual weakness	✗	Some efficiency gains possible, but not changing key perceived weaknesses
Supporting of wider government objectives	✓	Allows greater national influence but diminished regional function could restrict impact
Address revenue as well as capital	✓	More transport functions under ring-fenced funding
Fit for purpose for all modes (incl. freight)	✗✗	National currently working well but diminished role for regional could impact bus and freight
Respond effectively to emerging legislation/powers	✓	National focus and simplified structure as positives, but distance from local delivery functions is a limitation
Respond effectively to Planning Agenda	✗✗	More divorced from regional and local planning functions
Respond effectively to Economic Agenda	✗	Does not effectively address regional agendas
Respond effectively to Health Agenda	✗	More divorced from regional and local health delivery functions
Be clearly legible to the wider public	✗	Clearer national function but retains three levels of government
Be responsive to changing agendas and priorities	✗	Does not address issues at regional and local levels
Maximise/optimise use of skills and resources	✓	Expands skills at national level and creates some opportunity for clustering of specialist services, but does not address skills issues at local level
Respond flexible to different regional/local contexts	✗	Reduced regional and local connectivity and knowledge
Be capable of staged implementation	✗	Potential need for change to legislation
Provide local accountability/political leadership	✗✗	Loss of regional accountability and some local accountability

High Level Benefits	High Level Disbenefits	Summary
• Builds on existing national agency • Places more transport functions within ring-fenced funding • Creates skills groups at national level with critical mass	• Loss of regional and local accountability • Divorces planning, economic development and health from local and regional linkages • Potential need for legislative changes	While this option builds on the existing strengths of national delivery, it's ability to perform well is hampered by a number of factors. Firstly, the transfer of roles and responsibilities allows for more transport functions to be brought within ring-fenced funding, but this results in a loss of accountability at regional and local levels, and a loss of direct linkage to functions such as planning. In addition, the transfer of roles is predominantly from regional; resulting in a lack of balance between and among the three levels, with regional largely becoming a 'strategy-only' function. Finally, while the option provides the opportunity for creating critical mass in skills functions by moving them to a national level, it does not more fully address the skills issue as there is still a spread across three levels.

B.3 Current Structure with Regional Emphasis

Proposal Details	
Description:	This 'leans' roles and responsibilities towards the Regional level from both National and Local levels.
Rationale:	The option is one of a group of three that tests the strengthening of one of the existing three levels by 'leaning' responsibilities to it from the other two. This option strengthens the 'regional' level by transferring roles and responsibilities to it such as a fuller role in public transport, health/social care/schools transport, local roads maintenance and safety.

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✗	Three levels of government remain with some funding moving to regional. Unclear how capital funds would be allocated.
Target change in areas of perceived/actual weakness	✓	Tackles some regional and local weaknesses but maintains weaknesses in current geographies
Supporting of wider government objectives	✓	Strong regional function should drive more consistency across given geographies
Address revenue as well as capital	✓	Stronger regional function is better able to address revenue issues such as bus and roads maintenance
Fit for purpose for all modes (incl. freight)	✓	Some improvement in areas of current weakness, such as bus and freight.
Respond effectively to emerging legislation/powers	✓	Better able to respond to specific regional contexts.
Respond effectively to Planning Agenda	✓	Better regional linkages but slightly divorced from local functions
Respond effectively to Economic Agenda	✓	Stronger regional linkages should assist
Respond effectively to Health Agenda	✓	Stronger linkages with health board geographies
Be clearly legible to the wider public	✗	Clearer regional function but three levels of government remain
Be responsive to changing agendas and priorities	✓	More responsive to different regional contexts
Maximise/optimise use of skills and resources	O	Skills still spread thinly although ability to form critical mass at regional level is a positive
Respond flexible to different regional/local contexts	✓	Strong at regional level but some reduction in local flexibility
Be capable of staged implementation	✓	Some strengthening possible within scope of existing legislation. Potential to require other legislative changes. Changes to regions could be implemented one-by-one
Provide local accountability/political leadership	✓	Potential for strengthened regional leadership but some reduction in local accountability

High Level Benefits	High Level Disbenefits	Summary
• Provides strengthened regional function • More transport functions within ring-fenced budgets • Able to respond more effectively to regional agenda/contexts	• Maintains three levels of government • May require legislative change to be fully functional • Some reduction in local accountability	Overall this option has a relatively positive performance against the criteria, but the positive results are made more marginal by (i) executing them through existing organisational arrangements, (ii) maintaining three levels of government, and (iii) not more fully addressing linkages to other agendas and local accountability. The analysis suggests that refinements of this option could provide more positive performance.

B.4   Current Structure with Local Emphasis

Proposal Details	
Description:	This 'leans' roles and responsibilities towards the Local level from both National and Regional levels.
Rationale:	The option is one of a group of three that tests the strengthening of one of the existing three levels by 'leaning' responsibilities to it from the other two. This option strengthens the 'local' level by transferring roles and responsibilities to it such as bus, and expanding its roles and responsibilities where it currently shares those with regional.

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	××	Relies on existing funding arrangements. Inefficiency of 32 delivery agencies.
Target change in areas of perceived/actual weakness	××	Small benefits possible in larger authorities, but overall this adds to weaknesses rather than addressing
Supporting of wider government objectives	×	Diminished regional function places heavy reliance on individual authorities and on national to work effectively with 32 partners
Address revenue as well as capital	××	Significant issues remain on revenue funding e.g. roads maintenance
Fit for purpose for all modes (incl. freight)	××	Reinforcement of significant current weaknesses identified by stakeholders, e.g. supported bus
Respond effectively to emerging legislation/powers	×	Diminished regional function coupled with lack of skills and resource at local level likely to have a negative impact, which would be disproportionately negative for smaller authorities
Respond effectively to Planning Agenda	✓	Potentially stronger linkages at local level
Respond effectively to Economic Agenda	××	Does not address regional linkages, and in particular city region and growth deals
Respond effectively to Health Agenda	O	Some benefits at local level, e.g. community health linkages, but diminished regional linkages
Be clearly legible to the wider public	×	Clearer local function, but regional level likely to be confusing and three levels of government remain
Be responsive to changing agendas and priorities	×	Diminished regional role and lack of skills/resources at local level likely impact ability to respond and may lead to 'postcode lottery'
Maximise/optimise use of skills and resources	××	Scarce skills spread thinly across 32 authorities. Regional level skills diminished and few opportunities to establish critical mass
Respond flexible to different regional/local contexts	✓	Stronger ability to respond to individual local contexts but regional context is poorly served
Be capable of staged implementation	×	Potential need for legislative changes although regions could be dealt with one-by-one
Provide local accountability/political leadership	✓	Provides good local accountability and potential for strong local leadership. Regional leadership function diminished and local area may not be large enough to encompass matters such as travel-to-work areas

High Level Benefits	High Level Disbenefits	Summary
• Provides local accountability • Good linkage to local planning function • Can respond effectively to local context	• Relies on existing funding arrangements • Does not address skills shortage and does not form critical mass	Overall this option performs relatively poorly. This is principally driven by (i) change reinforcing rather than addressing weaknesses, (ii) adding to the problem of scarce resources being split 32-ways, and (iii) lack of ring-fencing of transport funding at local level. There are positive aspects to this option, such as local accountability, but these are greatly outweighed by the negative impacts.

B.5　Variant 1: National Agency with Regional Satellite Offices

Proposal Details	
Description:	Single national agency with regional satellite offices undertaking all transport functions. No RTP or LA functions. Regional advisory boards
Rationale:	To provide benefits of more regional approach to both strategy and delivery with direct linkage between national and regional functions within a single agency approach

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✓✓	Ring fenced gives assured funding streams. More efficient delivery structure.
Target change in areas of perceived/actual weakness	✓	Addresses local weaknesses but highly dependent on regional offices and locations.
Supporting of wider government objectives	✓✓	Allows greater national influence. Very clear linkages and influence from national to regional
Address revenue as well as capital	✓✓	Streamlined approach with economies of scale. Ring-fencing of budgets
Fit for purpose for all modes (incl. freight)	✓	All modes covered by one agency. Supports specialists in each mode
Respond effectively to emerging legislation/powers	✓✓	National focus and simplified structure
Respond effectively to Planning Agenda	✕✕	Reduced links with local authority planning
Respond effectively to Economic Agenda	✓	Closer to national economic agendas but with regional delivery. Diminished linkages with LA economic functions
Respond effectively to Health Agenda	✓	Strong national links but danger of diminished regional and local links
Be clearly legible to the wider public	✓✓✓	Easy to understand with one key agency
Be responsive to changing agendas and priorities	✓	Simplified structure and concentration of skills providing some benefits
Maximise/optimise use of skills and resources	✓✓	Concentration of skills within one agency. Potential loss of local/regional knowledge
Respond flexibly to different regional/local contexts	✓	Very dependent on structure of regional/local offices
Be capable of staged implementation	✕✕✕	Need for legislation. Totally new approach
Provide local accountability/political leadership	✕✕	Potential loss of regional accountability unless strong board representation structure. Loss of local accountability. Political leadership potentially only at national level

High Level Benefits	High Level Disbenefits	Summary
• Financial Sustainability • Skills and resources better addressed • Builds upon operating companies on roads maintenance side • Strong in responding to emerging legislation and powers	• Politically very difficult to deliver • Loss of local/political accountability • Doesn't maximise subsidiarity benefits – issues with all delivery at regional or national levels	Performs quite well against many of the criteria, addressing some of the weaknesses of more simplistic regional model but major concerns relating to implementability and local and political accountability

B.6 Variant 2: Growth Deal / Regional Partnership Alignment

Proposal Details	
Description:	National as is except with strategic bus powers. Strengthened regional functions with all RTPs Model 3. Some modifications to RTP boundaries to align more closely with City Deal and other regional groupings. Most of individual local authority transport functions transferred to regional level.
Rationale:	Responds to specific regional context, makes better use of scarce skills and resources through focus at regional level. Potentially stronger linkages with regional economic agendas.

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✓	Efficiency gains from regional focus. Ring fencing of funding to Regional level
Target change in areas of perceived/actual weakness	✓✓	Targets weaknesses and geographies highlighted by stakeholders
Supporting of wider government objectives	✓✓	Stronger regional functions and associated skills should allow greater consistency
Address revenue as well as capital	✓	Stronger regional function better able to address revenue issues with ring fencing and wider funding sources
Fit for purpose for all modes (incl. freight)	✓	Allows further building of expertise across all modes at regional levels. Potentially better geographical fit from revised regional boundaries
Respond effectively to emerging legislation/powers	✓	Greater concentration of skills at regional level. More responsive to specific regional contexts
Respond effectively to Planning Agenda	✓	Could reduce links with LA planning but benefits of stronger regional focus
Respond effectively to Economic Agenda	✓✓	Good integration with wider regional economic agendas
Respond effectively to Health Agenda	✓	Stronger linkages with regional Health Board areas but some loss of community based focus
Be clearly legible to the wider public	✓✓	Simplified 2 tier structure with clearer regional role and more logical relationship with other regional functions
Be responsive to changing agendas and priorities	✓	More responsive to specific regional contexts and additional skills at regional level
Maximise/optimise use of skills and resources	✓✓	Greater concentration of skills at regional level
Respond flexibly to different regional/local contexts	✓	Stronger at regional level and potentially improved integration with other regional agencies. Some loss of local knowledge
Be capable of staged implementation	✓	Builds on current RTP legislation. May be need for some legislation
Provide local accountability/political leadership	O	Potential for strengthened regional leadership but some reduction in local/political accountability

High Level Benefits	High Level Disbenefits	Summary
- Responds more effectively to regional agendas - Better use of scarce skills and resources - Builds from strengths of RTPs respond to local / regional needs	- Limited local/political accountability - Challenge of some key delivery functions e.g. roads maintenance - Doesn't maximise subsidiarity – will still be seen as too centralised	Performs quite well against most of criteria, addressing some of the weaknesses of more simplistic regional model. Still significant issues with delivery of some key functions currently responsibility of individual local authorities e.g. roads maintenance. Significant potential concerns relating to more limited local and political accountability

B.7 Variant 3: Joint Authority Boards with RTPs

Proposal Details	
Description:	No change at national level. Split between strategy and delivery functions – Stronger strategy focus at Regional Level with retention and strengthening of RTPs (c7 - although potentially some boundary changes), delivery focus moves from individual local authorities to joint boards at sub-regional level (c 14)
Rationale:	Seeks to address key concerns relating to Variant 2 Regional, particularly with regard to political and local accountability and service delivery

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✓	Efficiency gains from joint boards. Ring fencing of funding to RTPs and sub-regional Joint Boards
Target change in areas of perceived/actual weakness	✓✓	Targets key weaknesses highlighted by stakeholders
Supporting of wider government objectives	✓✓	Stronger regional and sub-regional functions should allow greater consistency
Address revenue as well as capital	✓	Clear focus of maintenance and other revenue responsibilities at Joint Board level
Fit for purpose for all modes (incl. freight)	✓	Allows further building of expertise across all modes at regional and sub-regional levels. Addresses subsidiarity issues for key elements of delivery e.g. local roads
Respond effectively to emerging legislation/powers	✓	Greater concentration of skills at regional and sub-regional level. Greater clarity between strategy and delivery functions
Respond effectively to Planning Agenda	✓✓	Potential for stronger regional focus but retains local authority links in delivery
Respond effectively to Economic Agenda	✓✓	Good integration with wider regional agendas and retains local authority linkages
Respond effectively to Health Agenda	✓✓	Strong potential correlation of joint boards with Health Board areas
Be clearly legible to the wider public	O	Retains 3 levels of government but clearer delivery and strategy split
Be responsive to changing agendas and priorities	✓	Retains some of disadvantages of three tier structure but more streamlined through joint boards
Maximise/optimise use of skills and resources	✓	Greater concentration of skills at regional and sub-regional levels
Respond flexible to different regional/local contexts	✓	Three tier Model adaptable to different geographies
Be capable of staged implementation	O	Builds on current RTP legislation. May be need for legislation on Joint Boards?
Provide local accountability/political leadership	✓	Provides strong elected involvement in Joint Boards as well as RTPs

High Level Benefits	High Level Disbenefits	Summary
• Maintains significant degree of local and political accountability • Allows flexibility across different areas to respond to local / regional needs	• 3 levels of government may not assist legibility for public • Reduced impact on skills and resource shortages through sub-regional level	This sub-option seeks to secure the benefits of a more regional strategy focus whilst following subsidiarity principles in the actual delivery of services reflecting that these may be more efficiently delivered at a sub-regional level, particularly in larger regions. It also seeks to address concerns relating to political and local accountability through joint boards of existing local authorities at a sub-regional level, building on current good examples of joint authority working.

B.8   Variant 4: Regional with Delivery Plan Alignment

Proposal Details	
Description:	This option is derived from Variant 2; using the regional alignment envisaged under that option. This option differs by offering a 'multi-speed' system based around delivery plans. Within a given region, and for a fixed period of time (say 5 years) there would be a joint agreement made by national, regional and the constituent local authorities, which would set out the roles and responsibilities of each. Critically, for each region it would allow responsibilities to be moved to suit particular circumstances. The joint agreement would be underpinned by a suit of delivery plans for national (drawn from STPR), regional and local.
Rationale:	Seeks to enhance regional functionality and provide a linked delivery framework for all parties that mirrors the current strategy framework, on a statutory basis. At a regional level, roles and responsibilities would be vested in the most appropriate tier to achieve the strategic outcomes and enable the delivery plans.

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✓	Needs transfer of funding through agreement. Opportunity to merge functions to make more sustainable
Target change in areas of perceived/actual weakness	✓✓	Targets key weaknesses and remains responsive through delivery plan cycles
Supporting of wider government objectives	✓✓	Potential for stronger regional function. Agreements will need to consider wider government objectives in delivery plans
Address revenue as well as capital	✓	Opportunity for ring-fencing of budgets through regional delivery or joint authority working
Fit for purpose for all modes (incl. freight)	✓	Allows for most appropriate solutions in different regions
Respond effectively to emerging legislation/powers	✓✓	Highly flexible model both geographically and over time
Respond effectively to Planning Agenda	✓	Can be flexibly applied in given situation, but may reduce links with planning at local level
Respond effectively to Economic Agenda	✓✓	Can flex to respond to local and regional needs
Respond effectively to Health Agenda	✓✓	Strong potential correlation with health board areas
Be clearly legible to the wider public	O	Clearer regional role and simplification may occur in certain areas. Solution is not uniform across the country
Be responsive to changing agendas and priorities	✓✓	Regional setup and time period delivery plan allows flexibility of response
Maximise/optimise use of skills and resources	✓	Three levels of government may remain. Opportunity to bring specialist skills/resources together at regional or joint authority level
Respond flexible to different regional/local contexts	✓✓	Provides significant flexibility for regional / load contexts to be accommodated within agreements
Be capable of staged implementation	××	Would require legislative change. Delivery Plans agreements will require significant work.
Provide local accountability/political leadership	✓	Potential for strengthened regional leadership. Delivery Plan gives cyclical accountability. Depending on split of responsibilities, there may be a reduction in local accountability.

High Level Benefits	High Level Disbenefits	Summary
• Highly flexible solution that can adapt across geographies and with time • Provides a statutory basis for delivery functions across national, regional and local levels	• Requires legislative change • Time consuming and complex to implement • Organisational approaches could differ significantly across the country	This model provides for a flexible situation that is embedded at regional level; able to adapt to the needs of the local geography and adapt over time. The delivery plans are envisaged to operate in a similar way to the AMP process in the water industry or Control Period in the rail industry. This focusses on longer-term investment planning. The major drawbacks of this option are the need for legislative change and the complexity of implementing the delivery plan agreements across the regions with both the national level and the constituent authorities.

B.9   Interim/Quick Wins

Proposal Details	
Description:	Continuing with the three-tier setup as present. Small changes to roles and responsibilities with most/all RTPs becoming Model 3 and some increase in joint authority working promoted.
Rationale:	Represents small changes that could be implemented to the baseline to address a number of identified issues as a potential prelude to more radical options.

Criteria	7-Point Appraisal	Commentary on Assessment
Financial sustainability of model	✗	Identified by stakeholders as a major issue. Some ring fencing of budgets, in particular revenue could be possible with all Model 3 RTPs e.g. supported bus
Target change in areas of perceived/actual weakness	✓	Targeted on some key weaknesses
Supporting of wider government objectives	✓	Limited changes to current system. Linkages from national to local still not always clear. Some benefits from stronger roles of RTPs – all Model 3
Address revenue as well as capital	O	Joint authority working on some services could provide economies of scale e.g. expanded joint roads maintenance functions and joint passenger transport co-ordination functions
Fit for purpose for all modes (incl. freight)	✗	Significant current weaknesses identified by stakeholders e.g. supported bus remain. Some benefits from increased joint authority working
Respond effectively to emerging legislation/powers	✗	Doesn't address key weaknesses of three tier structure
Respond effectively to Planning Agenda	O	Limited impact. Maintains links with local function. Resource constraints and skills shortage remain an issue
Respond effectively to Economic Agenda	✓	Limited improvements from joint authority teams and strengthened RTPs
Respond effectively to Health Agenda	O	Limited impacts but potentially some gains from stronger RTPs and joint council teams
Be clearly legible to the wider public	✗	Greater clarity on regional functions. Still 3 levels of government with potential of joint LA functions further confusing
Be responsive to changing agendas and priorities	O	Limited change. Some benefits from stronger and more consistent regional function and joint authority teams
Maximise/optimise use of skills and resources	O	Some benefits from stronger regional function and joint authority teams
Respond flexible to different regional/local contexts	✓	No major changes from status quo
Be capable of staged implementation	✓	Based on current legislation – no major changes
Provide local accountability/political leadership	✓	Limited impact on status quo

High Level Benefits	High Level Disbenefits	Summary
• Builds on existing strengths, leadership and responsibilities • Demonstrates action being taken • Some of gains of more extensive options	• Necessarily limited in scope • Need for additional skills that may not be available in all RTPs • Could still face implementation challenges	This interim/quick-wins option is limited in nature and thus doesn't address a number of the status quo weaknesses identified. In particular, concerns regarding the lack of confidence in the financial sustainability of the model, driven from the lack of consistency in the ring-fencing of funding across the levels of government remains as does the inability of this model to fundamentally address skills and resource shortages. Joint working between authorities encouraged but no new mechanisms to ensure this takes place. Local accountability through councillors remains.