Key messages:

- Community Transport (CT) is a vital part of the transport network for many people and communities in Scotland but must be properly supported and co-ordinated in order to maximise its effectiveness.

- Key challenges facing the CT sector include funding (both capital for vehicles and revenue), long-term sustainability (including getting and keeping volunteer drivers), co-ordination, training, maintaining quality standards, safety and governance. Specifically on training, there is a major issue regarding post-1997 driving licence holders not being eligible to drive minibuses, meaning they require training at a significant cost which could impact on the recruitment and retention of CT drivers in future.

- Responsibilities and budgets for CT are often unclear, fragmented, and uncoordinated. Furthermore, at a strategic level, there remains a lack of clarity on co-ordination of transport for access to health and social care, including non-emergency patient transport.

- A strong CT sector is crucial to meeting the outcomes of Community Planning partners, the Christie Commission and the recommendations of Audit Scotland.

- SPT is leading on improvements to CT in the west of Scotland, and has recently formally established a CT Network to take forward major improvements to the coordination, safety and efficiency of CT which could be rolled out across Scotland.

- SPT is keen to explore further opportunities to maximise the efficient use of vehicles including those for NHS non-emergency transport and exploring opportunities to permit CT to access under-utilised council fleets.

- Changes to the existing regulatory framework for bus services (including CT) will significantly improve the co-ordination and delivery of bus services for passengers across Scotland.

- SPT would be willing, on behalf of the Traffic Commissioner for Scotland, to establish and maintain the database of all S.19 and S. 22 permits issued and building on the work that SPT has undertaken in the
establishment of the West of Scotland CT Network and the implementation of its Quality Framework.

- The Community Transport Association (CTA) remains the main national representative body for the CT sector and it is therefore important that it is appropriately funded in future as a strong CTA is crucial to a strong CT sector.

Response to Key Themes of Inquiry:

‘A lack of strategic approach to community transport and the impact which a lack of transport has on people’s lives’

As the elderly population grows and resources become tighter, Scotland faces a major challenge in delivering transport services which meet people’s needs, are efficiently delivered and meet wider outcomes of improved health, connected communities, a better economy and a sustainable environment.

Together with sustained and well-funded investment in mainstream public transport, CT provides a vital transport link for communities across Scotland. This role will become an increasingly essential part of the future of public transport provision, especially in times of financial constraint.

SPT has worked with key stakeholders, including the CT Sector and Community Planning Partnerships across the west of Scotland to promote a more coordinated, efficient and targeted approach to CT and we are keen to share our experiences and expertise more widely.

However, a fully strategic approach is lacking with variable service levels, vehicle quality, low levels of volunteering, training, vehicle safety and maintenance monitoring and sustained and targeted investment.

SPT has led the way in the west of Scotland in delivering a co-ordinated Demand Responsive and CT service and improving the co-ordination of social transport and fleet management.

SPT provides the MyBus Demand Responsive Transport (DRT) Service which provides lifeline transport for people who find mainstream transport challenging to access. MyBus enables people to book journeys in advance when accessing local health centres, visiting relatives in hospital, going shopping or keeping in touch with family and friends. SPT has invested in a fleet of modern accessible MyBus vehicles operated by commercial operators under contract and utilising a state of the art Contact Centre and scheduling software and is looking at innovative solutions to deliver its DRT services in the future in partnership with the CT sector, through a Public Social Partnership.
SPT has invested significantly in supporting the CT sector:

- Since 2008, provided funding of £2.55 million to date for 30 CT projects and services.
- Leasing of low floor vehicles to CT operators, a capital investment of £546,000 to date.
- Purchasing Ticket Machines and ‘Back Office’ infrastructure to enable CT to deliver local community bus services.

In March 2013, SPT launched the West of Scotland Community Transport Network. The Network is a partnership between SPT and the CT sector throughout the west of Scotland and has been established to assist in bringing co-ordination, enhanced quality and better use of resources within CT. The Network was developed in partnership with the CT sector and has strong support among key stakeholders.

Representatives from across the CT sector in the west of Scotland attended the Network launch in Glasgow in March 2013. Joan Aitken, Traffic Commissioner for Scotland addressed the launch and gave powerful support for the Network: “The creation of this network is one of the most significant events in the history of community transport in Scotland. As the community transport sector grows, I want to make sure that it is properly supported, and this network and the work of SPT is a very positive contribution.”

The Network’s two main roles are:

*Development* – CT has an important role to play in the overall transport mix and it is important that it should be properly supported and developed, especially in areas where there is little existing presence. The Network offers advice and support in the setting up of a CT initiative and can assist in developing funding applications.

*Membership Organisation* – The Network will be an umbrella body for member CT providers in the west of Scotland. Aside from administering funding and offering advice and support on relevant matters, it will also engage with members to provide training and support for vehicle inspection and maintenance regimes, to help raise engineering and safety standards across the sector. It will also offer those members the opportunity to deliver transport services through tendering and develop collaborative partnership working to develop innovative transport solutions. Support from SPT to a CT provider will be conditional on them becoming a member of the Network.

The aims of the Network are to:

- Work in partnership with CT providers at a local and regional level.
- Build the capacity of CT in the SPT area.
- Provide training and information to CT operators.
- Develop and implement best practice and quality standards in CT.
• Support Network members by providing links to other members for the purpose of sharing resources and information.

Please see Appendix A for more information about the Network and Membership.

SPT believes the West of Scotland Community Transport Network initiative is the way forward for developing the CT sector in the west of Scotland and would be a good model for the whole of Scotland. This will provide the framework for effective and efficient service delivery and vehicle use, a genuinely shared service approach to operation and coordination and provide the opportunity for more services targeted at meeting access to healthcare and social services.

Regulation of the CT sector has historically been somewhat disjointed and this has tended to create an environment in which there is no clarity in the sector, with little in the way of minimum standards of governance.

SPT is keen that this is addressed, particularly in the field of vehicle maintenance standards, and in partnership with the CT Sector in the west of Scotland has developed a Quality Framework.

The quality standards contained within the framework have been chosen which:
- Support the development of a professional and accountable CT sector.
- Are appropriate to the legal and practical framework of the CT sector.
- Increase the quality of transport provision from the third and voluntary sectors both on the part of passengers and funding/contracting bodies.
- Minimise the administrative burden.

There are 4 main areas to be assessed:
- Vehicle Management
- Governance
- Finance/Planning
- Operations

Support and training is made available to CT operators experiencing difficulties in achieving or maintaining the standards.

Please see Appendix B for more information on the Quality Framework.

SPT is also developing a CT Public Social Partnership (PSP) that will further strengthen CT in the west of Scotland. A PSP is a strategic partnering arrangement, backed by the Scottish Government, which involves the third sector in the design and commissioning of public services. The model focuses on redesigning the existing service using a structured process of
service redesign through extensive third sector provider engagement resulting in a pilot and tender process. A good example of how the PSP could help is in the area of driver training - see section below on Community Bus Services regarding the D1 driver licence issue.

The proposed west of Scotland Community Transport PSP will have two strands:

- Capacity Building of the CT sector, building on the work of the west of Scotland CT Network.
- Transport Service Delivery – including Community Bus, Demand Responsive Transport and health and social care related transport services.

SPT is committed to an integrated approach to transport and, with partners, has identified opportunities to deliver savings and better co-ordination while providing an improved service. The work by Audit Scotland, the Christie Commission, and the Short Life Working Group on Access to Health and Social Care has clearly demonstrated that a more streamlined, integrated approach to the delivery of social, health and CT can and should be taken forward to deliver efficiencies, co-ordination and a better service.

It is also vital that the Community Transport Association is appropriately funded in future as a strong CTA is crucial to a strong CT sector.

‘The growing demand for community transport provision’

CT projects are set to play an increasingly important role in the transport mix for local communities. SPT sees CT providers as an essential part of the future of public transport provision, especially in times of financial constraint, which will see the demand for CT provision continuing to grow in the following areas:

Demand Responsive Transport

There will be an increasing reliance on demand responsive transport with the contraction of commercially provided bus services (in both rural and urban areas), the well documented demographic change in the UK population, with the number of elderly forecast to increase by 31% over the next 20 years and the impending changes to self-directed support that will see more people with disabilities being encouraged to take control of their own budgets – including transport provision currently being provided by local authorities. This will be reinforced by changes to the re-organisation of health and social care with more emphasis on people remaining independent in the community for longer. Community and Demand Responsive Transport will have a vital role to play in supporting the success of the Scottish Government’s policies and the close working between the NHS and local councils as integrated health and social care is rolled out.
As highlighted earlier, SPT is developing a CT Public Social Partnership (PSP) and are investigating one of the potential projects under the PSP being the design and delivery of Demand Responsive Transport such as SPT’s MyBus services to assist SPT in meeting the anticipated growing demand.

**Community Bus Services**

Traditionally SPT would provide subsidy to private sector bus operators to fill gaps in socially necessary transport services but, with funding for these services under continual pressure, it is not in a position to plug all the gaps generated by the withdrawal of commercial services, and SPT has sought to find new and innovative solutions.

Indeed, SPT has been making use of CT solutions in this regard, and whilst it could be argued that the sector is still in its infancy, a number of operators are sufficiently proficient in safely delivering bus services and SPT is currently funding a number of pilot services which are being provided on a free-to-use basis for passengers.

SPT envisages that CT will play an increasing role in the delivery of these types of services in the future.

The CT sector relies on the goodwill of members of the public who wish to become a CT driver for the efficient delivery of those services. An issue which is therefore worth highlighting regards licences for CT drivers and its potential impact on recruiting and retaining CT drivers of the future. In summary, anyone with a full driving licence from before 1997 had the right to drive a minibus (and indeed, be paid for it). Those who gained their licence after 1997 do not have this right, and must pass a test to achieve this – on the driving licence it is classed as ‘D1’. The cost of undertaking training to achieve D1 is circa £600-800. This could therefore prove prohibitive to those wishing to become a CT driver. SPT hopes to work with partners in addressing this issue through the West of Scotland Community Transport Network.

**Health and Social Care Transport**

The ageing population and the commitment to Health & Social Care integration will accelerate the demand to offer more responsive services closer to home. More care is also already available in the primary and community care setting, such as in the management of long-term conditions, thereby reducing the number of return hospital attendances. However more efficient responses are required to support those who continue to need secondary and tertiary care and accessible transport will be a key component to assist to support this.

As highlighted in the Audit Scotland Transport for Health and Social Care 2011 Report, the Christie Commission on the Future Delivery of Public Services 2011 Report and the Short Life Working Group on Access to Health and Social Care there is growing evidence and demand for a more
streamlined, integrated approach to the delivery of health and social care
transport be taken to deliver efficiencies, better co-ordination and a better
service to patients and passengers.

To achieve this, CT will be required to play an increasingly important role in
the delivery of any Integrated Health and Social Care Transport Model.

An example of how SPT is working with CT to deliver social care transport is
the Glasgow City Council’s Voluntary Club Transport which delivered a saving
of 42%, over £200,000 even though there has been an increase in demand.

In 2009, SPT was requested by Glasgow City Council’s Social Work
department to undertake an exercise to schedule and manage its non-
statutory transport provision for voluntary organisations in the city as these
were going to be cut due to budget pressures. SPT rescheduled the routes,
through its scheduling software and in tandem with reallocation of the work to
the CT operators in the city by utilising their spare capacity and allowing CT to
make use of GCC’s fleet.

The project has shown that CT can deliver a high quality transport service,
achieve substantial savings to council, enable CT operators to access the
Council’s fleet and provide CT organisations in Glasgow with funding that will
assist with their long term sustainability.

‘A lack of coordinated approach with NHS bodies and Community
Transport providers’

SPT currently funds a number of health related CT initiatives such as the
Hospital Evening Visiting Transport Service and a number of Volunteer Car
Schemes. The majority of these are currently joint funded by SPT and the
NHS or CH(C)Ps.

In relation to the Hospital Evening Visiting Service, this service is funded by
the NHS and SPT and was the first of its kind in Scotland when it was
developed and implemented in 2006 and brought together key partnership
working between the statutory and CT sector. SPT provides the coordination
for the service through its state of the art Contact Centre and scheduling
software with CT operating and managing the service.

The Service provides a bespoke evening visitor transport service for the
residents of Glasgow, East Dunbartonshire and Renfrewshire to enable them
to access acute hospital sites in their area. The service is eligible to all
residents within the Glasgow City, Renfrewshire and East Dunbartonshire
postcode area, but priority is given to the elderly, people with disabilities and
those on low incomes. It is a free door-to-door service where registered users
of the service are transported from their home to the hospital of their choice
and home again.

SPT would like to see a more coordinated approach to the delivery of health
related transport between NHS bodies and CT providers, such as the evening
hospital visitor service, and the establishment of SPT’s West of Scotland Community Transport Network provides the foundation for a more coordinated approach between NHS, Scottish Ambulance Service (SAS) and CT. To amplify this, based on figures from the SAS, the cost of provision per passenger for their Patient Transport Service is four times the cost of SPT’s Demand Responsive Transport MyBus service so there remains significant opportunity for improvements in this area.

SPT is committed to the full utilisation and co-ordination of the CT sector and has the resources, expertise and capabilities through its Contact Centre and scheduling software to facilitate this and believes that by working in partnership with all stakeholders there are opportunities for better co-ordinated and integrated health related transport delivery. The infrastructure, scheduling and communications technologies of SPT’s Contact Centre have been future-proofed to undertake work on an all-Scotland basis.

However, this will only be achieved by all stakeholders committing to an integrated approach and sharing resources and pooling budgets and finance.

‘Eligibility criteria for non-emergency patient transport and the cost to NHS of taxi use’

The enforcement of the eligibility criteria for non-emergency patient transport will see the growing need for innovative alternative transport provision for a number of patients who will still require to be transported.

The Audit Scotland Report Transport for Health and Social Care, 2011 outlined:

“that badly planned transport results in unnecessary journeys, missed or late appointments, people staying in hospital longer than they need to and reliance on unplanned options such as taxis.”

A key challenge is, therefore, to ensure that any steps to improve and/or reform existing arrangements maximise the use/effectiveness of current planning arrangements, legislation, resources and systems. These also need to fit into the existing and evolving structures for planning and delivery in the public sector in Scotland in a coherent and effective way. Such arrangements should also encourage innovation where this adds value.

There are some volunteer driver schemes which support the very elderly in getting out as well as attending medical appointments. The volunteer is often retired, uses their own car and is able to escort the older person, providing assistance to them. One example of this is Renfrewshire Senior Volunteers Project that SPT funds.

SPT would recommend that this model, if operated on a larger scale, may offer a way forward to delivering an innovative alternative solution meeting the needs of those patients who do not meet the patient transport eligibility criteria and reducing the taxi costs to the NHS. As the number of older
people rises so, potentially, will the supply of volunteer drivers, however, the demand for the service is also likely to increase. The development of this capacity within local communities would help address the growing numbers of very elderly who can no longer drive or use public transport.

SPT’s view is that a more co-ordinated CT sector can play an increasing role in the delivery of non-emergency patient transport and also reduce the costs of taxi use in the NHS. This will only be achieved through an integrated approach to the delivery, co-ordination of health, community and social transport provision and by all stakeholders sharing resources and pooling budgets and funding.

'Replacing community transport vehicles and funding planning'

Within the SPT area, Councils have agreed to pool their Demand Responsive Transport funding with SPT and this has enabled a co-ordinated, strategic and targeted approach to investment in vehicles and services as well as providing ring-fenced funding for the CT sector. However, the short term nature of grant funding is a major issue to the forward planning, development and sustainability of the CT sector. SPT forward plans funding, but under current restrictions funding can only be committed for one financial year with indicative spend in the following two years. Providing a three year committed funding horizon would help to enhance forward planning, supporting long term sustainable investment and enable the sector to make best use of limited funds to the sector to a maximum of three years to assist the sector.

One of the main issues facing the CT sector is capital investment to replace vehicles. There is a requirement for capital funding investment for the CT sector but this has to be managed to ensure best value and that it is targeted at key service delivery and community needs. Therefore SPT would recommend that this funding is managed and coordinated based on our west of Scotland Community Transport Network model and, provided this model is adopted elsewhere, if appropriate, through other Regional Transport Partnerships.

'Access to concessionary fares schemes’

SPT see CT providers as an essential part of the future of public transport provision, especially in times of financial constraint and the contraction of commercially provided bus services in both rural and urban areas.

Recent decisions offering BSOG to services operated by CT organisations and changes in powers of CT providers under the Local Transport Act 2008 (payment to drivers under Section 22 Permits) are likely to encourage CT organisations to register and operate local bus services. Such measures are broadly welcome, especially in more remote areas where conventional bus services are likely to be uneconomic, but concerns exist over the governance and technical proficiency of some groups and the possibility that some
registrations may affect the viability of mainstream marginal bus services, leading to their withdrawal.

Operating costs of CT, along with overheads, are invariably lower than conventional bus services. The maintenance regimes and vehicle standards are less onerous than those expected from the holders of PSV operators licences and often grants towards the purchase of vehicles by councils or other bodies has helped defer costs.

For this and other issues, SPT is therefore lobbying for variations to the existing regulatory provisions to improve the co-ordination and delivery of bus services. A summary of these is attached at Appendix C.

Historically, Section 19 permits, which allow CT operators to provide transport services for a charge without making a profit, have been granted without time limit to organisations that may have changed significantly in governance, personnel and ability since the granting of the permit. Regulations under the Local Transport Act 2008 imposes a duty on Traffic Commissioners to maintain a database of permits granted and limits the duration of new permits to 5 years.

This enables a periodic quality check to be carried out and therefore will go some way to addressing concerns over quality. Existing permits should be revoked from a given date and re-issued where appropriate, ensuring existing permit-holders are also suitably qualified.

Therefore, SPT’s would recommend that the Traffic Commissioner should consider not accepting local service registrations submitted by CT operators (Section 22 permit holders) unless the registration is supported by the Public Transport Authority (PTA) and the organisation is registered on the CT database. Additionally, a date should be set for the revocation of all existing Community Bus permits which may then be re-issued subject to application and compliance with minimum quality standards.

Most of the necessary legislation for this proposal is in place. Regulations requiring the Traffic Commissioner to maintain records of permits issued and the time-limited nature of these new permits have already been made. A further regulation does, however, require to be made identifying a date when all previous permits should be revoked. Holders of these permits would then be required to re-apply for time-limited permits. SPT would be willing, on behalf of the Traffic Commissioner for Scotland, to establish and maintain the database of all S.19 and S. 22 permits issued and building on the work that SPT has undertaken in the establishment of the West of Scotland Community Transport Network and the implementation of the Quality Framework as mentioned above.

The principal benefit in this proposal is in raising the quality and safety of CT provision through the establishment of minimum acceptable standards for CT, and regular review and monitoring of the proficiency of groups seeking to provide such services.
The requirement for the Traffic Commissioner to maintain a database of permits issued will assist in the monitoring of the sector, and the revocation of existing permits would necessitate their renewal providing a complete database of all groups.

The increasing likelihood of CT registering local services does, however, raise concerns that they may in some circumstances compete with mainstream provision. Thus, requiring all S. 22 permit holders to have applications to register services endorsed by the PTA, should reduce such conflicts.

One of the main barriers to CT providers registered services, collecting fares and also offer access to concessionary fares is the use of electronic ticket machines (ETMs). However, CT providers do not normally have access to the funding required to procure ETMs which are compliant for participation in the national concessionary travel scheme and it is desirable that this should be facilitated if the public is to benefit more fully from use of the sector in general.

In this regard, SPT is procuring ETMs – and appropriate back office facility - that will be leased out to CT operators to allow the development and operation of registered timetable community bus services provided by CT providers. Indeed, this back office facility may be able to support RTPs should a similar model be adopted in those areas.

However, going forward there requires to be capital funding made available to PTAs and Local Authorities to allow them to purchase ETMs and lease them to CT providers.

Conclusion

The Community Transport sector will play an increasingly important role in the delivery of transport, and SPT remains committed to the future co-ordinated development of the CT sector in the west of Scotland.
APPENDIX A

Information about the Network and Membership

In Partnership with
What is the Community Transport Network?

The Network is a partnership between Strathclyde Partnership for Transport (SPT) and the Community Transport Sector throughout the West of Scotland and has been established to assist in bringing co-ordination, enhanced quality and better use of resources within the sector.

The aims of the Network are to:

- Work in partnership with community transport providers at a local and regional level.
- Build the capacity of community transport in the SPT area.
- Provide training and information to community transport operators (CTOs).
- Develop and implement best practice and quality standards in community transport.
- Support Network members by providing links to other members for the purpose of sharing resources and information.

To ensure that the Network is a partnership between SPT and the professional community transport sector in the West of Scotland a Steering Group has been established that oversees its development. The group is chaired by SPT and comprises of representatives from CTOs that SPT currently fund and The Community Transport Association in Scotland.

What does the Network offer?

The Network will provide a range of benefits and support services to Members, including:

- Being able to apply for SPT’s Enhanced DRT Funding.
- Being able to tender for SPT contracts (MyBus, local subsidised services, schools).
- Potential lease of vehicles/equipment.
- Accredited Member Status (subject to achieving Quality Framework).
- Support to achieve and/or maintain Quality Framework.
- Training opportunities.
- Peer support and information sharing and examples of community transport best practice.
- Networking opportunities with other CTOs throughout the West of Scotland.
- Potential collaborative and partnership working.
- Participation in relevant strategic community transport consultations.
- Participation in annual Monitoring and Evaluation – demonstrating the continuing impact of community transport to partners and funders.
- Links to, and dialogue with, key strategic agencies.
- Organisational and transport development support and assistance.
- Potential to participate in the delivery of future opportunities and developments in Community and Demand Responsive Transport Services.
- Participate in the development of identified areas that are key to the continued sustainability of the community transport sector in the West of Scotland.

**Membership of the Network**

There is NO CHARGE to be a member of the Network and there are two tiers of membership:

**Full Membership**

Is limited to CTOs based within the West of Scotland whose purpose is providing not-for-profit passenger transport services under Section 19 or 22 Permit Legislation or Car Sharing Legislation if operating a volunteer car scheme. It can involve transport provision by any mode.

This membership is for CTOs which can supply evidence and prove compliance with the standards relevant to their category contained within the Quality Framework. These Operators will be awarded accredited status.

**Requirements and responsibilities of this class of membership:**

- Must be a registered charity.
- Must be incorporated as a not-for-profit organisation (such as Company Limited by Guarantee).
- Must pass an initial inspection to ensure compliance with Quality Framework.
- Must continue to meet or exceed Quality Framework set by the Network (see page 4).
- Must agree to participate in the annual Monitoring and Evaluation exercise.
- Must sign up to the objectives and values of the Network.

**Basic Membership**

Is limited to CTOs based within the West of Scotland whose purpose is providing not-for-profit passenger transport services under Section 19 or 22
Permit Legislation or Car Sharing Legislation if operating a volunteer car scheme. It can involve transport provision by any mode.

This membership is for CTO's who are working towards full compliance of the Quality Framework and lasts for a maximum of one year to allow the CTO to achieve full membership.

**Requirements and responsibilities of this class of membership:**

- Must be a registered charity.
- Must be incorporated as a not-for-profit organisation (such as Company Limited by Guarantee) or if unincorporated working towards becoming incorporated.
- Must be working towards achieving accreditation of the Quality Framework. (see page 4).
- Must agree to participate in the annual Monitoring and Evaluation exercise.
- Must sign up to the objectives and values of the Network.

**Ensuring Quality**

One of the main areas the Network has been established to address is to assist with enhancing quality and professionalism to the community transport sector with a key aim to develop and implement best practice and quality standards in community transport.

As part of this remit, the Steering Group of the Network has developed a Quality Framework containing a set of performance indicators that will demonstrate an operator is following good practice. These standards have been chosen which:

- Support the development of a professional and accountable community transport sector.
- Are appropriate to the legal and practical framework of the community transport sector.
- Increase the quality of transport provision from the third and voluntary sectors both on the part of passengers and funding/contracting bodies.
- Incur a minimal extra administrative burden.
Why the requirement for a Quality Framework?

Accreditation of the Quality Framework demonstrates to potential statutory and third sector partners or commissioners that the organisation meets agreed standards in the following key areas:

- Vehicle Management;
- Governance;
- Finance/Planning; and
- Operations.

There are four categories of compliance that CTOs can apply for depending on the nature of services they provide.

Membership Process

1. Initial Enquiry
   - Provisional enquiry to the Network stating organisation wants to join.

2. Verification of Eligibility
   - Application reviewed.
   - If initial credentials satisfactory, arrangements made for assessment visits.
   - Quality Framework Information and Application Form sent to applicant.

3. Initial Assessment – prospective Full Members
   - Completed Application Form submitted by applicant CTO.
   - SPT vehicle engineering inspection of applicant CTO to demonstrate that it meets Vehicle Management Quality Framework criteria.
   - SPT staff visit to verify applicant CTO can demonstrate that it meets other Quality Framework criteria.

If the applicant CTO meets Quality Framework, proceed to:

4. Award of Full Membership and Accreditation
   - Application formally approved.
   - Certification of accredited membership issued to applicant. Continued membership and accreditation subject to periodic vehicle inspections and annual review.

If the applicant CTO cannot meet Quality Framework, proceed to:
5. **Review and Support**

- Discuss with the applicant how and whether the shortfall in evidence can be addressed.
- At the discretion of the Network, and subject to their being able to meet the requirements for Monitoring and Evaluation returns, Basic Operator Membership may be awarded.
- Basic Operator Membership is an interim arrangement designed for CTOs working towards Quality Framework. It lasts for a maximum of one year.
- Support and training will be provided to assist the applicant to work towards Quality Framework.
- The applicant will be expected to prepare for a return to Stage 3 within a timetable to be agreed in each individual case.

**Membership Enquiry**

Name of Organisation: 
________________________________________________________________________

Address: 
________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Postcode: __________________________ Telephone No: __________

E-mail Address: 
________________________________________________________________________

Name of Main Contact: 
________________________________________________________________________

Position in Organisation: 
________________________________________________________________________

Charity Number: 
________________________________________________________________________
Company Registration Number: ____________________________________________

Please send me an application form for membership of the West of Scotland Community Transport Network.

Signed: ___________________________________________  Date: ______

Please return this form to:
Mr Graham Dunn
DRT Project Co-ordinator
Strathclyde Partnership for Transport
APPENDIX B

QUALITY FRAMEWORK

In Partnership with
1. **Introduction**

This Quality Framework has been created and developed by the West of Scotland Community Transport Network (WoSCTN) Steering Group.

The quality standards contained within the framework have been chosen which:

- Support the development of a professional and accountable Community Transport (CT) sector.
- Are appropriate to the legal and practical framework of the CT sector.
- Increase the quality of transport provision from the third and voluntary sectors both on the part of passengers and funding/contracting bodies.
- Incur a minimal extra administrative burden.

2. **About West of Scotland Community Transport Network**

The West of Scotland Community Transport Network is a partnership between Strathclyde Partnership for Transport (SPT) and the Community Transport Sector throughout the West of Scotland to assist in bringing co-ordination, enhanced quality and better use of resources within the sector.

The Network is overseen by a Steering Group comprising of Officers of SPT and representation from Community Transport Operators (CTO) that SPT currently fund. The Steering Group is responsible for supporting the development of the Network and the delivery of outcomes in the development of Community Transport throughout the West of Scotland.

The aims of the Network are to:

- Work in partnership with community transport providers at a local and regional level.
- Build the capacity of community transport in the SPT area.
- Provide training and information to community transport operators.
- Develop and implement best practice and quality standards in community transport.
- Support Network Members by providing links to other members for the purpose of sharing resources and information.
Membership Levels
Membership of the West of Scotland Community Transport Network is available to Community Transport Operators in two tiers:

**Basic Membership** – CTO’s which are working towards full compliance of this Quality Framework

**Full Membership** – CTO’s which can supply evidence and prove compliance with the standards relevant to their category contained within the framework. These CTO’s will be awarded accredited status.

Compliance Requirements
There are four categories of compliance that CTO’s can apply for depending on the nature of services they provide:

**Category 1**
- Operating vehicles up to 16 seats and above.
- Be able to tender and deliver local subsidised bus, MyBus, school and demand responsive transport contract work on behalf of SPT. Apply/receive SPT funding.

**Category 2**
- Operating vehicles up to 16 seats and above.
- Be able to tender and deliver school, demand responsive transport contract work on behalf of SPT. Apply/receive SPT funding.

**Category 3**
- Operating smaller vehicles below 16 seats.
- Providing local CT Services.

**Category 4**
Volunteer/Social Car Schemes - Apply/receive SPT funding.

3. **The Framework**

The structure of the framework is divided into 4 main areas, Vehicle Management, Governance, Finance/Planning and Operations, designed to cover the key aspects of operating a Community Transport Organisation.

Each area is subdivided to show:

- A set of quality indicators
- The evidence required to prove attainment of the indicator(s)
The final column references the applicable compliance category to the relevant indicator.

4. **Implementation**

Implementation of these requirements will begin in the Autumn of 2012. It is envisaged that full implementation will be phased over an 18 month period, accompanied by support where required to enable operators to attain the relevant accreditation.

5. **Support Arrangements**

Support and training will be available to CTOs experiencing difficulties in achieving or maintaining standards from SPT and members of the WoSCTN Steering Group.

Basic members will be offered support to enable them to reach full membership under their relevant compliance category within 1 year.

A 2 year lead in time will be given to those CTOs working towards the Management Certificate of Professional Competence in Road Passenger Transport required for Category 1 accreditation.

6. **Assessment Process**

CTOs will require to complete a Membership Application Form and will be asked to submit relevant documentation as outlined in the Quality Framework.

On receipt of the application and the relevant documentation being in order an assessment visit and vehicle inspection will be arranged.

The assessment visit will be undertaken by SPT to gather the evidence outlined in the framework to ensure that the CTO meets the relevant quality indicator under each area.

An SPT Engineer will inspect the vehicles of the CTO and inspect their maintenance regime records and paperwork relating to the vehicles. The CTO will be required to provide or arrange suitable garage facilities at their own expense to allow the vehicles to be inspected.

A compliance report will be compiled following the assessment visit and engineer inspection outlining if the CTO meets the criteria for becoming an Accredited Operator under their relevant compliance category and, if they do not meet the criteria, where they have failed and recommended action.
7. **Accreditation**

For organisations that meet the required standards for Full Membership, accreditation is awarded annually for 12 months from 1 April.

Such organisations will be allowed to use the WoSCTN “Accredited Operator” logo on vehicles and stationery during this period.

**Marking**
All quality indicators are considered essential to the relevant categories. However, failure to comply with the **Vehicle Management Area** and the **Management – Social/Volunteer Car Schemes Area** is regarded much more seriously and will require immediate rectification to maintain accreditation.

Accreditation will not be awarded to an organisation that cannot provide evidence of complete compliance. Basic Membership may be awarded, at the discretion of the Network, if the organisation agrees to work within an agreed timeframe for meeting the standards.

**Re-assessment**
Any organisation which fails an assessment will be offered support by SPT and the members of the WoSCTN Steering Group to enable them to attain standards and undertake a re-assessment within an agreed timeframe but not exceeding one year.

**Maintaining standards**
Vehicle engineering inspections will be undertaken at periodic intervals, members are expected to comply throughout the 12 month accreditation period.

To maintain accreditation, each Full Member CTO must therefore be able to demonstrate compliance with the standards set out in the Quality Framework at any time.
<table>
<thead>
<tr>
<th>Main Area</th>
<th>Quality Area</th>
<th>Activity</th>
<th>Quality Indicator(s)</th>
<th>Evidence Required</th>
<th>Compliance Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicle Management</td>
<td>Management</td>
<td>One staff member to hold a Management Certificate of Professional Competence in Road Passenger Transport and there is evidence of Continuing Professional Development</td>
<td>Copy of certificate and evidence of Continuing Professional Development</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Daily Walk round Checks</td>
<td>All vehicle check records up to date</td>
<td>Sight of auditable records</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Driver Licensing</td>
<td>Auditable system to ensure that all drivers are appropriately licenced</td>
<td>Sight of signed off pro-forma check sheet and copy licences</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Safety Inspections</td>
<td>Planned inspection regime by agreed frequency displayed through wall chart or electronic system</td>
<td>Sight of auditable fully completed records matching planned events – 6 to 10 weeks</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>MOT</td>
<td>Vehicles have MOT Certificate in appropriate Class</td>
<td>Copy of MOT certificate(s)</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Servicing and Maintenance</td>
<td>Planned servicing and maintenance regime based on manufacturers recommendation, mileage or time</td>
<td>Sight of auditable fully completed service records matching planned events</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Nil Defect Reporting System</td>
<td>Auditable system for reporting defects from drivers daily walk round checks through to signed off rectification</td>
<td>Audit record of drivers defects against inspection and service reports retained for a rolling 15 month period</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Maintenance Agreement Internal/External</td>
<td>A signed maintenance agreement is in place between operator and maintenance supplier(s) covering all legal and operational requirements or appropriate arrangements within a lease agreement</td>
<td>Copy of signed maintenance agreement and record of maintenance provider</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Main Quality Area</td>
<td>Activity</td>
<td>Quality Indicator(s)</td>
<td>Evidence Required</td>
<td>Compliance Category</td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
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<td>-------------------</td>
<td>---------------------</td>
<td></td>
</tr>
<tr>
<td>Vehicle Management</td>
<td>Vehicle Resources</td>
<td>Schedule of fleet (age, type, mileage, capacity)</td>
<td>Copy of auditable records checked against fleet</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Vehicles fitted with entrance/exit “door open” warning device</td>
<td>Engineering inspection of vehicles by SPT</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Permit Legislation</td>
<td>Operator working under Section 19 and/or 22 Permit legislation</td>
<td></td>
<td>Copy of permits and records</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Passenger Lifts</td>
<td>Lifts are subject to regular service and inspection by an appropriate person</td>
<td></td>
<td>Sight of auditable service records and copy of valid Lifting Operations and Lifting Equipment Regulations (LOLER) six monthly inspection reports</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Management – Social/Volunteer Car Schemes</td>
<td>Vehicles</td>
<td>A process is in place to ensure that the drivers are aware of their responsibilities in relation to their</td>
<td>Sight of signed agreements in place with drivers</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Main Quality Area</td>
<td>Activity</td>
<td>Quality Indicator(s)</td>
<td>Evidence Required</td>
<td>Compliance Category</td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>----------</td>
<td>----------------------</td>
<td>-------------------</td>
<td>---------------------</td>
<td></td>
</tr>
<tr>
<td>Governance</td>
<td>Management</td>
<td>Required Officer Posts filled</td>
<td>Check with relevant governing document</td>
<td>1, 2</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Minutes present &amp; up to date</td>
<td>Sight of documents</td>
<td>1, 2</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Register of members present and up to date</td>
<td>Sight of documents</td>
<td>1, 2</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Register of current directors</td>
<td>Check with relevant regulator</td>
<td>1, 2</td>
<td></td>
</tr>
<tr>
<td>Trustees or management committee members up to date and in accordance with governing documents</td>
<td>Sight of documents</td>
<td>1, 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-------------------</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Appropriate arrangement and levels of delegation in place</td>
<td>Clear delineation, via job descriptions, of relative roles of staff and governing body</td>
<td>1, 2</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Finance/Planning

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Report and accounts up to date and audited/verified by certified-chartered accountant</th>
<th>Copy of Annual Report and certified copy of latest year’s accounts</th>
<th>1, 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounts submitted to relevant regulator</td>
<td></td>
<td>Check with relevant regulator</td>
<td>1, 2</td>
</tr>
<tr>
<td>Annual Return submitted to relevant regulator</td>
<td></td>
<td>Check with relevant regulator</td>
<td>1, 2</td>
</tr>
<tr>
<td>Turnover figure for last financial year available</td>
<td>Verifiable (i.e. with auditable source) figure supplied</td>
<td>1, 2</td>
<td></td>
</tr>
<tr>
<td>Breakdown of Income (grants, contracts &amp; self generated) available</td>
<td>Verifiable (i.e. with auditable source) figure supplied</td>
<td>1, 2</td>
<td></td>
</tr>
</tbody>
</table>

### Business Plan

| Business Plan | Business and financial planning processes in place | Evidence of business and financial planning processes in place/copy of plan | 1, 2 |

### Operations

<table>
<thead>
<tr>
<th>Insurance</th>
<th>Public liability insurance in place and current</th>
<th>Copy of certificate</th>
<th>1, 2, 3, 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer’s liability insurance in place and current</td>
<td></td>
<td>Copy of certificate</td>
<td>1, 2, 3, 4</td>
</tr>
</tbody>
</table>

<p>| Driver training | Drivers are trained to appropriate level with MiDAS being the minimum requirement for minibuses 12 seats and above | Sight of appropriate training records | 1, 2, 3 |</p>
<table>
<thead>
<tr>
<th>Main Quality Area</th>
<th>Activity</th>
<th>Quality Indicator(s)</th>
<th>Evidence Required</th>
<th>Compliance Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operations</td>
<td>Employment, staffing and volunteers</td>
<td>Accurate and up to date recording of staff and volunteers</td>
<td>Sight of records (including evidence of systematic and regular checking of driver records/licences)</td>
<td>1, 2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Staff development</td>
<td>Evidence of annual staff reviews/appraisals</td>
<td>1, 2</td>
</tr>
<tr>
<td>Safeguarding</td>
<td>Protection for children/vulnerable adults</td>
<td>Sight of PVG vetting policies and procedures</td>
<td>1, 2, 3, 4</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Sight of PVG records for relevant staff/volunteer</td>
<td>1, 2, 3, 4</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Health and Safety Policy</td>
<td>Sight of written policy</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Children and Vulnerable Adults Protection Policy</td>
<td>Sight of written policy</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Equal Opportunity Policy</td>
<td>Sight of written policy</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Data Protection Policy and Registration</td>
<td>Copy of Registration and sight of written policy</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Volunteering Policy</td>
<td>Sight of written policy</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Customer Care Policy</td>
<td>Clear mechanisms for customer comments and complaints</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Disciplinary Procedure</td>
<td>Sight of written procedure</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>Grievance Procedure</td>
<td>Sight of written procedure</td>
<td>1, 2, 3</td>
<td></td>
</tr>
<tr>
<td>Smoking Policy and Procedure for Vehicles</td>
<td>Sight of written policy and procedure ensuring legal compliance relating to vehicles</td>
<td>1, 2, 3</td>
<td></td>
<td></td>
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<tr>
<td>------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sight of No Smoking signs on vehicles</td>
<td>1, 2, 3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mobile Phone Use in Vehicles</td>
<td>Sight of procedure</td>
<td>1, 2, 3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX C

Summary of SPT Proposals to seek variations to the existing regulatory provisions to improve the co-ordination and delivery of bus services

- To allow Public Transport Authorities (PTAs) – like SPT - to secure (or provide) bus services where there is clearly a need, even if it may be in conflict with the perceived commercial view of the operator.
- The payment of Bus Service Operators Grant (BSOG) for new or varied registered mileage should only be made where that registration has been confirmed as not operating to the detriment of overall provision in that area.
- Public Transport Authorities should be given powers to require compulsory participation in ticketing schemes that they may introduce in their areas.
- The modifications to provisions on Statutory Quality Partnerships introduced in England and Wales in the Local Transport Act 2008 should also be introduced in Scotland.
- The minimum period a service should operate as registered should be increased to 180 days. In addition, regulations should be made in accordance with S.46 of the Transport (Scotland) Act 2001 restricting dates on which local services may be varied in local areas.
- Consideration should be given to compliance inspectors vehicle inspection engineers employed by PTAs who would be trained and certified to VOSA standards, being given relevant powers equivalent to VOSA officers.
- The Traffic Commissioner should consider not accepting local service registrations submitted by Community Transport groups (S. 22 permit holders) unless the registration is supported by the PTA and the group is registered on the Community Transport database. Additionally, a date should be set for the revocation of all existing Community Bus permits which may then be re-issued subject to application and compliance with minimum quality standards.
- Where a bus operator enjoys an effective monopoly and may be seeking subsidy from the PTA, the PTA should be given access to service cost and revenue figures to satisfy themselves that the operator is not seeking excessive subsidy costs or acting in an anti-competitive manner.
- Electronic Bus Service Registration (EBSR) to become the mandatory format for submitting bus registration particulars by 2014, and that such submissions are not accepted without the PTA acknowledging receipt of such information as prescribed in regulations.

Strathclyde Partnership for Transport (SPT)
3 May 2013