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To: Cllr David Evans (Chair)

Councillors: Mike Allport, Mel Buckley, David Coggins Cogan, Chris Dolphin, Ian Hodge, Ray Hughes, Richard Lloyd, Mike Peers, Vicky Perfect, Dan Rose and Roy Wakelam

8 November 2023

Dear Sir/Madam

NOTICE OF HYBRID MEETING
ENVIRONMENT & ECONOMY OVERVIEW & SCRUTINY COMMITTEE
TUESDAY, 14TH NOVEMBER, 2023 at 10.00 AM

Yours faithfully

Steven Goodrum
Democratic Services Manager

Please note: Attendance at this meeting is either in person in the Lord Barry Jones Council Chamber, Flintshire County Council, County Hall, Mold, Flintshire or on a virtual basis.

The meeting will be live streamed onto the Council's website. The live streaming will stop when any confidential items are considered. A recording of the meeting will also be available, shortly after the meeting at https://flintshire.public-i.tv/core/portal/home

If you have any queries regarding this, please contact a member of the Democratic Services Team on 01352 702345.

A G E N D A

1 APOLOGIES

Purpose: To receive any apologies.

2 DECLARATIONS OF INTEREST (INCLUDING WHIPPING DECLARATIONS)

Purpose: To receive any Declarations and advise Members accordingly.

3 MINUTES (Pages 5 - 12)

Purpose: To confirm as a correct record the minutes of the meeting held on 10 October 2023.

4 FORWARD WORK PROGRAMME AND ACTION TRACKING (E&E OSC) (Pages 13 - 24)

Report of Environment and Social Care Overview & Scrutiny Facilitator

Purpose: To consider the Forward Work Programme of the Environment & Economy Overview & Scrutiny Committee and to inform the Committee of progress against actions from previous meetings.

5 FCC SOCIAL ENTERPRISE UPDATE REPORT (Pages 25 - 62)

Report of Chief Officer (Planning, Environment and Economy) - Cabinet Member for Climate Change and Economy

Purpose: To provide an update of social enterprise activity, achievements and future priorities

6 SHARED PROSPERITY FUND (Pages 63 - 82)

Report of Chief Officer (Planning, Environment and Economy) - Cabinet Member for Climate Change and Economy

Purpose: To provide an update on the development of the programme and the selection of projects to receive a grant award from the Flintshire SPF funding allocation.

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7   **FLINTSHIRE COUNTY COUNCIL'S CARBON FOOTPRINT REPORT 2022-23** (Pages 83 - 104)

Report of Chief Officer (Planning, Environment and Economy) - Cabinet Member for Climate Change and Economy

Purpose: To provide an update on the Council's latest carbon footprint data following submission to Welsh Government.

8   **LOCAL ENERGY PLAN DEVELOPMENT UPDATE** (Pages 105 - 112)

Report of Chief Officer (Planning, Environment and Economy) - Cabinet Member for Climate Change and Economy

Purpose: To provide an update on the progress of development of Flintshire's local area energy plan.

9   **WASTE AND RECYCLING COLLECTION ON UNADOPTED ROADS** (Pages 113 - 164)

Report of Chief Officer (Streetscene and Transportation) - Deputy Leader of the Council and Cabinet Member for Streetscene and the Regional Transport Strategy

Purpose: To provide scrutiny with an in-depth overview of the recently commissioned review of waste and recycling services, specifically focused on properties located along un-adopted roads.

10   **FLINTSHIRE COUNTY COUNCIL OPERATOR LICENSE** (Pages 165 - 182)

Report of Chief Officer (Streetscene and Transportation) - Deputy Leader of the Council and Cabinet Member for Streetscene and the Regional Transport Strategy

Purpose: To provide a progress update on the loss of operator licence follow up report.

Please note that there may be a 10 minute adjournment of this meeting if it lasts longer than two hours

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<u>**ENVIRONMENT AND ECONOMY OVERVIEW & SCRUTINY COMMITTEE**
10 OCTOBER 2023</u>

Minutes of the hybrid meeting of the Environment and Economy Overview & Scrutiny Committee of Flintshire County Council held on Tuesday, 10 October 2023.

<u>**PRESENT**</u>: **Councillor David Evans (Chair)**
Councillors: Mike Allport, David Coggins-Cogan, Chris Dolphin, Ian Hodge, Richard Lloyd, Mike Peers, Vicky Perfect, Dan Rose, and Roy Wakelam

<u>**SUBSTITUTIONS**</u>: Councillor Ron Davies for Councillor Mel Buckley and Councillor Gladys Healey for Councillor Ray Hughes

<u>**ALSO PRESENT**</u>: David Davies, Independent Member - Standards Committee (as an observer)

<u>**CONTRIBUTORS:**</u>
Councillor Dave Hughes (Deputy Leader of the Council and Cabinet Member for Streetscene and Regional Transport Strategy), Councillor Chris Bithell (Cabinet Member for Planning, Public Health and Public Protection), Councillor David Healey (Cabinet Member for Climate Change and Economy), Councillor Paul Johnson (Cabinet Member for Finance, Inclusion, Resilient Communities including Social Value and Procurement), Chief Officer (Planning, Environment & Economy), Chief Officer (Streetscene & Transportation), Corporate Finance Manager, Strategic Finance Manager, Highway Network Manager, Service Delivery Manager Streetscene. For minute no.32 - Robyn Lovelock, Growth Deal Programme Manager, Ambition North Wales

<u>**IN ATTENDANCE:**</u> The Environment & Economy Overview & Scrutiny Facilitator and Democratic Services Officers

Prior to the start of the meeting the Chair welcomed David Davies, Independent Member of the Standards Committee to the meeting. Mr Davies read out a statement to explain his role and purpose in joining the meeting as an observer.

30. <u>**DECLARATIONS OF INTEREST**</u>

There were no declarations of interest.

31. <u>**MINUTES**</u>

The minutes of the meeting held on 12 September 2023, were submitted.

Accuracy

Councillor Chris Bithell said he was present at the meeting and asked that the attendance be amended to record this.

On behalf of Councillor Andrew Parkhurst, Councillor David Coggins-Cogan asked that the following amendment be made to the minutes to reflect the comments he had made during the meeting on Public Spaces Protection Order Review: "Councillor Andrew Parkhurst asked why the public consultation didn't allow for the public to make comments as this was a consultation, not a referendum and the comments that some members of the public had emailed separately provided, in his view, a greater insight than just looking at the percentages of responses to the various questions. Officers accepted the point and said that future PSPO consultations would include a facility to add comments. The Chair asked that all County Council consultations allow for comments to be made".

Subject to the above amendments the minutes were approved as an accurate record as moved by Councillor Mike Peers and seconded by Councillor Ian Hodge.

RESOLVED:

That, subject to the above amendments, the minutes be approved as a correct record and signed by the Chair.

32. **PRESENTATION FROM THE GROWTH DEAL PROGRAMME MANAGER, AMBITION NORTH WALES**

The Chief Officer (Planning, Environment & Economy) introduced the presentation to receive a progress update on the five projects being managed within the Growth Deal Agri-food & Tourism programme and the Innovation in High Value Manufacturing programme. He provided background information and asked Robyn Lovelock, Growth Deal Programme Manager, Ambition North Wales, to give the presentation which covered the following main points:

- our partners
- objectives
- background
- 5 programmes
  - Agri-Food and Tourism programme – project progress
  - Innovation in High Value Manufacturing programme– project progress

The Growth Deal Programme Manager responded to the questions and comments made by Councillor Mike Peers around delivery dates for projects, transport, and the potential impact of a monitorium on road building in Wales.

Councillor David Healey spoke in support of the Agri-Food and Tourism project.

RESOLVED:

That the update be noted.

33. FORWARD WORK PROGRAMME AND ACTION TRACKING

The Environment & Economy Overview & Scrutiny Facilitator presented the Forward Work Programme and Action Tracking report. She drew attention to the Integrated Transport Strategy Workshop to be held on 18 October, and said a report to provide an update on the Strategy would also be presented to the Committee at the meeting to be held on 12 December 2023.

The Environment & Economy Overview & Scrutiny Facilitator referred to the Action Tracking report and advised that the one outstanding action had been completed and a report on Enforcement would be scheduled into the Forward Work Programme.

Members were invited to raise any further items to include on the Programme. The Chair asked that the item on Missed Collections and Fleet Reliability which was to be considered during this meeting be removed from the Programme for the meeting on 12 December 2023.

Councillor Richard Lloyd moved the recommendations in the report and this was seconded by Councillor David Coggins-Cogan.

RESOLVED:

(a)   That subject to the above amendment the Forward Work Programme be approved;

(b)   That the Facilitator, in consultation with the Chair of the Committee, be authorised to vary the Forward Work Programme between meetings, as the need arises; and

(c)   That the Committee notes the progress made in completing the outstanding actions

34. BUDGET 2024/25 – STAGE 2

The Corporate Finance Manager introduced the report to review and comment on the budget pressures and cost reductions under the remit of the Committee. He gave a presentation on the Medium Term Financial Strategy and Budget Setting 2024/25 which covered the following points:

- purpose and background
- additional budget requirements of the Council 2024/25
- additional budget requirement – ongoing risks
- overall position after initial solutions
- summary and conclusions
- next steps for the budget setting process 2024/25
- budget process Stage 2
- budget process Stage 3 – (Final)

The Chief Officer (Planning, Environment & Economy) gave a presentation on the Planning, Environment and Economy Cost Pressures which covered the following points:

- summary Planning, Environment & Economy cost pressures
- Planning, Environment & Economy cost pressures
- Planning, Environment & Economy budget reductions
- the 2024/25 budget challenge – our approach
- summary Planning, Environment & Economy budget reductions
- Planning, Environment & Economy Budget reductions – use of balances and reserves

Councillor Mike Peers queried a discrepancy in the total cost figures for cost pressures which were shown as £0.191k and £0.139k. He also raised questions on the removal of the budget for private water supplies, the budget reductions and the proposal to increase fees, and sought clarification on efficiencies. The Chief Officer and Corporate Finance Manager responded to the comments and questions raised.

The Chief Officer responded to the further questions and comments raised by Councillors Dan Rose, Richard Lloyd, and David Coggins-Gogan concerning private water supplies, cost pressures relating to HMO's, balances, reserves, and building regulations.and developers.

The Chief Officer (Streetscene and Transportation) gave a presentation on the Streetscene and Transportation Cost Pressures which covered the following points:

- summary Streetscene & Transportation cost pressures
- Streetscene & Transportation cost pressures
- Streetscene & Transportation budget reductions
- the 2024/25 budget challenge – our approach
- summary Streetscene & Transportation - budget reductions
- Streetscene & Transportation - budget reductions

Councillor Gladys Healey referred to the review of Hazardous Transport routes and expressed concerns citing the routes in Hope and Penyffordd as examples. The Chief Officer (Streetscene and Transportation) advised that the hazardous routes were last considered in 2016/17 and the proposals and actions were being put forward for consideration to the Committee prior to decision making or approval.

Councillor Mike Peers expressed concerns regarding the cost pressures listed on page 25, section 1.10, of the report. He also referred to the budget reductions outlined in section 1.11, page 26, and asked a number of questions and made suggestions for improvement. The Chief Officer gave a detailed response to the points and comments raised by Councillor Peers.

Councillor David Coggins-Cogan raised further questions and concerns around the cost pressures listed in section 1.10. He also referred to the budget reductions outlined in section 1.11 and made suggestions for improvements. The Chief Officer and Highways Network Manager responded to the points raised.

Councillor Dan Rose commented on the potential to generate an income from business recycling. He also raised questions regarding the replacement of Mayrise and asked if this would be considered by a Task and Finish Group. He commented on the budget reductions in section 1.11 and made suggestions for improvements.

Councillor Chris Dolphin suggested that a review of the 'black bin' collection service be included on the proposals for budget reductions in Table 4, section 1.11 of the report. The Chief Officer explained that the 'black bin' service had not been included on Table 4 as it was not an efficiency.

The Chair raised questions around the Mayrise replacement and asked if collaboration was taking place with other local authorities. He also commented on the proposals for budget reductions in Table 4 of the report.

The recommendation in the report was moved by Councillor David Coggins-Cogan and seconded by Councillor Ray Wakelam.

RESOLVED:

a)   That the Planning, Environment and Economy portfolio's cost pressures be noted;

(b)   That the Planning, Environment and Economy portfolio's options to reduce budgets be noted;

(c)   That the Streetscene and Transportation portfolio's cost pressures be noted;

(d)   That the Streetscene and Transportation portfolio's options to reduce budgets be noted;

(e)   That the Committee's comments on the proposed efficiencies be explored further.

35. **MISSED COLLECTIONS AND FLEET RELIABILITY**

The Chief Officer introduced the report to provide an update to the Committee following a request for further information on Missed Collections & Waste and Recycling Collection Vehicle Reliability. She provided background information and advised that the report provided an overview of the issues that can cause collections to be regularly missed, with particular focus on fleet reliability within the Streetscene and Transportation portfolio. The report outlined the policies in place for missed collections and summarised the performance and reliability of the Council's fleet vehicles and identified key issues.

The Service Delivery Manager and Highways Network Manager presented the report and referred to the main considerations as detailed.

Councillor Gladys Healey raised concerns regarding a missed collection of a medical waste bag and also the assisted collection service. The Service Delivery Manager advised that the Council was currently working with an external organisation to develop new software which would significantly assist the current

collection services by providing a solution to the problem of "human error" which resulted in a missed collection. The new software could also potentially provide notification to residents when the collection vehicle was in their immediate area.

Officers responded to the questions and comments raised by Councillor Mike Peers concerning multiple missed collections (for example a street collection), the 'no return' policy for missed recycling collection, and electric recycling recovery vehicles.

Officers responded to the further questions and comments raised by Members regarding, the potential to review and extend operating hours to include weekend working, missed collections, side waste and enforcement, and comparable data with other local authorities on collection rates. The Chief Officer and Service Delivery Manager also responded to the questions raised concerning staff vacancies, recruitment, and use of agency staff.

The Chief Officer and Highway Network Manager responded to the further questions raised by Councillors David Coggins-Cogan and Dan Rose on fleet age and the plan for fleet replacement.

The recommendation in the report was moved by Councillor Dan Rose and seconded by Councillor Mike Peers.

RESOLVED:

That the report on service performance for Missed Waste Collections and Fleet Reliability.be noted.

36. **HIGHWAY STRUCTURES (AUDIT REPORT)**

The Chief Officer (Streetscene and Transportation) introduced the report to provide a progress update on the Highway Structures audit report. She provided background information and advised that the report provided an overview of the Highway Network Service, with particular focus on the management of highways structures, along with assurances regarding the recommended action taken and controls put in place following the audit.

The Highways Network Manager presented the main considerations as detailed in the report.

Councillor Mike Peers referred to paragraph 1.13 of the report and asked for an update on the Flintshire Bridge. He also asked for explanation of the data in paragraph 1.14 which showed one structure listed in the category 'poor'. The Chief Officer and Highway Network Manager responded to the points raised by Councillor Peers and explained that at the current time the maintenance of the Flintshire Bridge remained the responsibility of Flintshire County Council.

Referring to paragraph 1.14 the Chair asked if Members were informed of the condition and category of structures in their Ward. The Chief Officer agreed that where practical to do so going forward Members would be notified of the condition of structures in their area.

The recommendations in the report were moved by Councillor David Coggins-Cogan and seconded by Councillor Roy Wakelam.

RESOLVED:

(a)   That the work of the Streetscene and Transportation Highway Network Team and the required support from the wider technical team to deliver the action plan be supported; and

(b)   That the action taken and controls put in place in response to the internal audit recommendations be supported

37.   MEMBERS OF THE PRESS IN ATTENDANCE

There were no members of the press or public in attendance.

(The meeting started at 10.00 a.m and ended at 2.20 p.m)

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Chair

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ENVIRONMENT & ECONOMY OVERVIEW & SCRUTINY COMMITTEE

Date of Meeting	14 November 2023
Report Subject	Forward Work Programme and Action Tracking
Report Author	Environment & Economy Overview & Scrutiny Facilitator
Type of Report	Operational

EXECUTIVE SUMMARY

Overview & Scrutiny presents a unique opportunity for Members to determine the Forward Work programme of the Committee of which they are Members. By reviewing and prioritising the Forward Work Programme Members are able to ensure it is Member-led and includes the right issues. A copy of the Forward Work Programme is attached at Appendix 1 for Members' consideration which has been updated following the last meeting.

The Committee is asked to consider, and amend where necessary, the Forward Work Programme for the Environment & Economy Overview & Scrutiny Committee.

The report also shows actions arising from previous meetings of the Environment & Economy Overview & Scrutiny Committee and the progress made in completing them. Any outstanding actions will be continued to be reported to the Committee as shown in Appendix 2.

RECOMMENDATION	
1	That the Committee considers the draft Forward Work Programme and approve/amend as necessary.
2	That the Facilitator, in consultation with the Chair of the Committee be authorised to vary the Forward Work Programme between meetings, as the need arises.
3	That the Committee notes the progress made in completing the outstanding actions.

REPORT DETAILS

1.00	EXPLAINING THE FORWARD WORK PROGRAMME AND ACTION TRACKING
1.01	Items feed into a Committee's Forward Work Programme from a number of sources. Members can suggest topics for review by Overview & Scrutiny Committees, members of the public can suggest topics, items can be referred by the Cabinet for consultation purposes, or by County Council or Chief Officers. Other possible items are identified from the Cabinet Work Programme and the Improvement Plan.
1.02	In identifying topics for future consideration, it is useful for a 'test of significance' to be applied. This can be achieved by asking a range of questions as follows: 1. Will the review contribute to the Council's priorities and/or objectives? 2. Is it an area of major change or risk? 3. Are there issues of concern in performance? 4. Is there new Government guidance of legislation? 5. Is it prompted by the work carried out by Regulators/Internal Audit? 6. Is the issue of public or Member concern?
1.03	In previous meetings, requests for information, reports or actions have been made. These have been summarised as action points. Following a meeting of the Corporate Resources Overview & Scrutiny Committee in July 2018, it was recognised that there was a need to formalise such reporting back to Overview & Scrutiny Committees, as 'Matters Arising' was not an item which can feature on an agenda.
1.04	It was suggested that the 'Action tracking' approach be trialled for the Corporate Resources Overview & Scrutiny Committee. Following a successful trial, it was agreed to extend the approach to all Overview & Scrutiny Committees.
1.05	The Action Tracking details including an update on progress is attached at Appendix 2.

2.00	RESOURCE IMPLICATIONS
2.01	None as a result of this report.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	In some cases, action owners have been contacted to provide an update on their actions.

4.00	RISK MANAGEMENT
4.01	None as a result of this report.

5.00	APPENDICES
5.01	Appendix 1 – Draft Forward Work Programme Appendix 2 – Action Tracking for the Environment & Economy OSC.

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	Minutes of previous meetings of the Committee as identified in Appendix 2. **Contact Officer:** Margaret Parry-Jones Overview & Scrutiny Facilitator **Telephone:** 01352 702427 **E-mail:** Margaret.parry-jones@flintshire.gov.uk

7.00	GLOSSARY OF TERMS
7.01	**Improvement Plan:** the document which sets out the annual priorities of the Council. It is a requirement of the Local Government (Wales) Measure 2009 to set Improvement Objectives and publish an Improvement Plan.

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Environment & Economy Overview & Scrutiny Forward Work Programme 2023/24

Date of Meeting	Subject	Purpose of Report/Presentation	Scrutiny Focus	Responsible/Contact Officer	Submission Deadline
12 Dec 23 **10.00 am**	Contaminated Land Inspection Strategy	To receive an update	Assurance	Chief Officer – Planning Environment	
	Domestic Abuse	To receive an overview of the work of Flintshire County Council and partner agencies in relation to Domestic Abuse.	Assurance	Chief Officer – Planning, Environment & Economy	
	Workplace Recycling Regulations	To receive an update	Assurance	Chief Officer – Streetscene and Transportation	
	Streetlighting Policy	To provide an update following the conclusion of the public consultation and present the final draft of the strategy for adoption	Pre-decision	Chief Officer – Streetscene and Transportation	
	Unsafe memorials at cemeteries	To be confirmed	Pre-decision	Chief Officer – Streetscene and Transportation	

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ENVIRONMENT & ECONOMY OVERVIEW & SCRUTINY FORWARD WORK PROGRAMME
APPENDIX 1

Date of Meeting	Subject	Purpose of Report/Presentation	Scrutiny Focus	Responsible/Contact Officer	Submission Deadline
	Access Barrier Review	To receive an update.	Assurance	Planning and Environment	
9 Jan 24 **10.00 am**	Budget scrutiny (to be confirmed)	To be confirmed	Pre-decision	Chief Executive	
	Council Plan 2023-24 Mid-Year Performance Reporting	To review the levels of progress in the achievement of activities and performance levels identified in the Council Plan.	Assurance	Chief Officers	
	Car Parking Strategy	To review the current strategy	Pre-decision scrutiny	Chief Officer – Streetscene and Transportation	
	Waste Strategy	Progress update	Assurance	Chief Officer – Streetscene and Transportation	
	Bailey Hill Mold	To provide an update on the development of the facilities at Bailey Hill in Mold.	Assurance	Service Manager Enterprise & Regeneration	

ENVIRONMENT & ECONOMY OVERVIEW & SCRUTINY FORWARD WORK PROGRAMME
APPENDIX 1

Date of Meeting	Subject	Purpose of Report/Presentation	Scrutiny Focus	Responsible/Contact Officer	Submission Deadline
6 Feb 24 **10.00 am**	Fleet Contract	To be confirmed		Chief Officer – Streetscene and Transportation	
	Bus Emergency Scheme/Bus Funding	To be confirmed		Chief Officer - Streetscene and Transportation	
5 March 24 **10.00 am**	Enforcement	To receive an update.	Assurance	Chief Officer Streetscene and Transportation	
	Integrated Transport Strategy and Regional Transport Plan	To receive an update	Assurance	Chief Officer – Streetscene and Transportation	
	Outcome of adoption of Local Toilet Strategy	To provide an update following the conclusion of the public consultation and present the final draft of the strategy for adoption.	Assurance	Chief Officer – Streetscene and Transportation	
	Streetscene Standards	To consider feedback from the Task & Finish Group	Pre-decision	Chief Officer – Streetscene and Transportation	
	Highway Inspection Policy				

ENVIRONMENT & ECONOMY OVERVIEW & SCRUTINY FORWARD WORK PROGRAMME
APPENDIX 1

Date of Meeting	Subject	Purpose of Report/Presentation	Scrutiny Focus	Responsible/Contact Officer	Submission Deadline
			Pre-decision	Chief Officer – Streetscene and Transportation	
11 June 24 **10.00 am**	Welsh Government Deposit Return Scheme update	As agreed at the meeting on 13th June 2023	Information	Chief Officer - Streetscene & Transportation	
	Active Travel Network Map	To receive an update	Assurance	Chief Officer – Streetscene and Transportation	
	Conversion of the FCC fleet to electric or alternative fuels	To receive a progress report on the implementation of the conversion of the FCC fleet to electric and alternative fuels	Assurance	Chief Officer – Streetscene and Transportation	
9 July 24 **10.00 am**	End of year performance monitoring report	To review the levels of progress in the achievement of activities and performance levels identified in the Council Plan.	Performance Monitoring	Chief Officers	

Items to be added

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Bus Services in Flintshire

Fleet Contract Renewal

Destination Management

Place Making Plan Buckley

Place Making Plan Holywell

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Action tracking for Environment & Economy OSC November 2023

Item/Date	Discussion	Action	By whom	Status
12 September 2023 Forward Work Programme	Cllr Mike Peers requested a report on Enforcement	To be added to the Forward Work Programme	Facilitator	Completed Report scheduled March 2024

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Environment and Economy Overview and Scrutiny Committee

Date of Meeting	Tuesday, 14 November 2022
Report Subject	Social Enterprise
Cabinet Member	Cabinet Member for Climate Change and Economy
Report Author	Chief Officer (Planning, Environment and Economy)
Type of Report	Operational

EXECUTIVE SUMMARY

Audit Wales have recently completed a review of support for the social enterprise sector by Welsh local authorities. They have issued several recommendations and created a self-assessment tool for local authorities to use. Flintshire County Council already has a well-established structure to support the sector and was recently awarded the Social Enterprise Place accreditation to reflect our achievements. However, the Audit Wales report provides the Council with the opportunity to reflect on its performance and to improve the service.

This report presents a proposed response to the Audit Wales report recommendations, a self-assessment exercise undertaken by the Council using the Audit Wales template and finally a revised Social Enterprise Action Plan which reflects any areas for improvement identified.

RECOMMENDATIONS	
1	Members are asked to review and support the draft response to the Audit Wales report *'A missed opportunity'* – *Social Enterprises*.
2	Members are asked to review and support the draft Social Enterprise Action Plan which has been developed following the publication of the report above.

REPORT DETAILS

1.00	**Explaining Social Enterprise in Flintshire**
	<u>Background</u>
1.01	Social enterprises are businesses that trade in goods and services like any other enterprise but their profits are reinvested in social causes. They take a variety of legal forms depending upon their need. Social enterprises vary in scale from multi-national companies to small one-person enterprises.
1.02	Three example social enterprises are summarised below to illustrate the range of services being delivered by the sector: Harmony Stables Community Interest Company This is a riding stables on the outskirts of Buckley the creates opportunities for members of the public to partake in equine rehabilitation; allowing members of the public who don't own a horse to learn about horse welfare, rehabilitation and training (ridden and on the ground). The company provides the opportunity for members of the public, specifically those with additional needs, to partake in equine assisted learning (ridden and non-ridden); benefit by increased confidence, learn new skills, and improve mental and physical health, through working with the horses in a supported environment. The company will provide the opportunity for members of the public to ride the horses on a paid-for basis, generating the revenue to cross subsidise the opportunity for members of the public with additional needs to take part in activities that otherwise they could not afford. Sport for Champions Community Interest Company This is a Flintshire based social enterprise operating nationally. The company promotes the importance of leading a healthy lifestyle to school children across the UK, sponsoring Team GB and other well-known athletes to attend schools to promote sports. The enterprises raises funding for schools through sponsorship deals with private companies to secure the necessary revenue to pay professional athletes to attend the schools to promote sports. Focus is placed on current high profile sporting events to secure maximum buy in from pupils. The company secures sponsorship from private companies and takes the costs of delivering the events from the deals they secure. Of the money raised above operating costs, 60% goes to the schools as an unrestricted budget, the remaining 40% is used to pay the charges and expenses of the athletes visiting the schools. Shelby's Place Community Interest Company

	This is a social enterprise in the centre of Buckley which provides a safe space for young children specifically for, but not restricted to, those with additional needs, to play and learn.
	Based in the rooms behind a retail outlet, the company delivers craft workshops for young children and their parents, giving them the opportunity to benefit from therapeutic activity whilst learning new skills
	The company has developed a supervised sensory area. This is used to stimulate children with additional needs through the media of lighting, music and touch in order to develop their skills and interaction with others. This will also enables parents to focus on other siblings during these play periods.
	As well as charging fees to access the workshops and play areas, the company rents shelf space for a retail outlet for local artisans, the income from which cross subsidises the opportunity for children with additional needs to attend.
1.03	In 2013, the Council recognised the value of social enterprises in meeting the needs of local communities and in diversifying the economy but identified that there were relatively few in the County. The Council started to employ a specialist Social Enterprise Development Officer to provide one to one support to enterprises to help them to become establish, develop and grow. The Council has, since the creation of this post, supported the development of approximately 100 new social enterprises as well as providing support to grow and sustain existing social enterprises
1.04	The Council's free impartial social enterprise support is accessible regardless of whether the business is already established or a new start-up venture. The support provided includes, but is not restricted to, pre-start development, business, and financial planning; identification of appropriate legal structures and business registrations; preparing for investment and cash flow forecasting in addition to support with bid/tender writing; introduction to crowd funding; revenue modelling; marketing and governance and the development and delivery of bespoke training to meet business needs.
1.05	A number of social enterprises deliver services on behalf of the Council. For example, Double Click Design and Print Community Interest Company (CIC) deliver support to individual affected by mental health issues to help them develop the confidence and skills to secure meaningful employment. Dangerpoint in Talacre provide safety education through an agreement with the Council which provides the opportunity for schools to visit the centre and take a structured guided tour around the life-like scenarios. Social enterprises also contribute to Council service delivery in Social Services and waste recycling.
1.06	Flintshire Council has worked collaboratively with social enterprise leaders from across the county to develop a support network. The now well-established Flintshire Social Enterprise Partnership meets regularly to give members the opportunity to share experiences, celebrate successes, develop collaborations, network with like-minded organisations, and share models of best practice with other members. A key outcome from the

	network has been the development of the Social Enterprise Stakeholder Group who work with collaboratively with the Local Authority on projects such as securing 'Social Enterprise Places' and the development of the 'Flintshire Social Impact Toolkit.'
1.07	In 2020 Social Enterprise UK officially recognised Flintshire as a registered 'Social Enterprise Place.' This registration acknowledges the range, quality, and level of social enterprise activity within the county and serves to raise the profile of Flintshire and the sector at a national level.
1.08	Working in partnership with the Social Enterprise Stakeholder Group, an innovative "Flintshire Social Impact Toolkit" was designed, developed, and piloted with the sector. The on-line toolkit identifies the social value of work being carried out and the financial impact that Flintshire based social enterprises are generating as a result of their daily activities. This toolkit demonstrates the financial value of the social impact generated by social enterprises within Flintshire. During the 18 months pilot project, using 7 social enterprises, the toolkit identified almost £3m of social benefit within Flintshire. By 2024/25 we intend to increase the number of toolkit users to 30. To date in the financial year 2023/2024 the Impact Toolkit has identified £738k of social value achieved in Flintshire.
	Audit Wales report and response
1.09	In December 2022 Audit Wales published their report "A missed opportunity – Social Enterprises". The report followed their review of the support provided to the sector by local authorities in Wales. The report is available at https://www.audit.wales/publication/missed-opportunity-social-enterprises.
1.10	The report highlights some of the good practice that the Council has in place to support the sector but also highlights areas for improvement for local authorities across Wales.
1.11	The proposed formal response to Audit Wales on each of its recommendations is set out below. **R1** To get the best from their work with and funding of Social Enterprises, local authorities need to ensure they have the right arrangements and systems in place. We recommend that local authority officers use the checklist [Appendix 1] to: - self-evaluate current Social Enterprise engagement, management, performance and practice; - identify opportunities to improve joint working; and - jointly draft and implement an action plan with timeframes and responsibilities clearly set out to - address the gaps and weaknesses identified through the self-evaluation. Proposed response

	Flintshire County Council, in response to the Audit Wales report, has completed a self-evaluation process on its work with social enterprises in consultation with the sector. This used the template provided by Audit Wales (Appendix 1). The Council, in response to the findings of the self-assessment, has worked with the sector to update the social enterprise action plan (Appendix 2). This will be submitted to the relevant Overview and Scrutiny Committee for discussion and presented to Cabinet for approval.
	R2
	To drive improvement we recommend that the local authority:
	• formally approve the completed Action Plan;
	• regularly report, monitor and evaluate performance at relevant scrutiny committees; and
	• revise actions and targets in light of the authority's evaluation and assessment of its performance.
	Proposed response
	The social enterprise action plan will be presented to the relevant Overview and Scrutiny Committee for discussion and will be formally approved by Cabinet. Progress on supporting social enterprises is already reported to Cabinet and Scrutiny as part of the formal Council Plan monitoring. However, as set out in the action plan, opportunities to raise the awareness and understanding of social enterprises amongst elected members will be created through specific events and more detailed reporting.
	R3
	To ensure the local authority delivers its S.16 responsibilities[1] to promote Social Enterprises we recommend that it reports on current activity and future priorities following the evaluation of its Action Plan including the Annual Report of the Director of Social Services.
	Proposed response
	Progress towards delivering the action plan, including how the Council has fulfilled its section 16 responsibilities, will be formally reported to Cabinet and Scrutiny on an annual basis.
1.12	Section 16 of the Social Services and Well-Being Act (Wales) - this legislation was passed on 6th April 2016. The Act is based on the principles of giving voice and control to service users and carers, prevention and early intervention and to achieve well-being outcomes through co-production. It therefore gives service users more say and control over the support they receive to achieve well-being. The purpose of the Act is to require local authorities to promote the development and

	availability of care and support services, including services for carers, and preventative services that are provided by social enterprises, co-operatives, user led organisations and third sector organisations. It aims to promote preventative services within the community and reduce the escalation of critical need and reduce or delay the need for longer term care and support. It is also designed to give service users more control over their interactions with professionals as well as give them choice and invite advocates to support them to express their views, wishes and feelings.
1.13	Following approval of the formal response to Audit Wales by Cabinet this report will be presented to the Audit Committee for ratification.
1.14	The Council, in response to the Audit Wales recommendations, has undertaken a self-assessment exercise (Appendix 1) for its support for social enterprises and has, in consultation with the sector, produced an updated Social Enterprise Action Plan 2023-2025 (Appendix 2) which is presented for discussion and approval.
1.15	The Action Plan sets out four aims: • Aim 1: Social enterprises will be better able to support each other • Aim 2: Social enterprises will be better able to evidence their impact • Aim 3: Social enterprises will have a higher profile • Aim 4: Social enterprises will deliver more services on behalf of the public sector
1.16	The Action Plan includes a range of actions to deliver against these aims. Progress will be reviewed with the Flintshire Economic Recovery Group and Social Enterprise Stakeholder Group and reported to Cabinet and Scrutiny as part of the regular Council Plan reporting process.

2.00	RESOURCE IMPLICATIONS
2.01	No resource implications arise directly from this report. The actions contained in the Action Plan make use of available Council resources.

3.00	IMPACT ASSESSMENT AND RISK MANAGEMENT	
3.01	**Ways of Working (Sustainable Development) Principles Impact**	
	Long-term	Supporting social enterprises helps to create community-led sustainable capacity to address local needs without ongoing grant support.
	Prevention	No major impact
	Integration	No major impact
	Collaboration	The Council is working closely with the sector to co-design the available support and shares expertise with other local authorities across the region.

Involvement	The Council is working closely with the sector to co-design the available support.

Well-being Goals Impact

Prosperous Wales	
Resilient Wales	
Healthier Wales	Social enterprises make a significant contribution to addressing all of the Well-Being goals through a sustainable and community-led business model.
More equal Wales	
Cohesive Wales	
Vibrant Wales	
Globally responsible Wales	

Risk management

Risk	Mitigation
Public sector resources limit the availability of support to the sector	The Action Plan has been developed, as far as possible, within the constraints of current resources.

4.00	**CONSULTATIONS REQUIRED/CARRIED OUT**
4.01	The production of the revised Social Enterprise Action Plan included consultation with representatives from the sector.

5.00	**APPENDICES**
5.01	Appendix 1 – Social Enterprise Self-Assessment Appendix 2 – Draft Social Enterprise Action Plan

6.00	**LIST OF ACCESSIBLE BACKGROUND DOCUMENTS**
6.01	Audit Wales report *'A missed opportunity' – Social Enterprises'* *https://www.audit.wales/publication/missed-opportunity-social-enterprises*

7.00	**CONTACT OFFICER DETAILS**
7.01	**Contact Officer:** Niall Waller Enterprise and Regeneration Manager **Telephone:** 01352 702137 **E-mail:** niall.waller@flintshire.gov.uk

8.00	**GLOSSARY OF TERMS**

8.01	**Audit Wales -** works to support the Auditor General as the public sector watchdog for Wales. They aim to ensure that the people of Wales know whether public money is being managed wisely and that public bodies in Wales understand how to improve outcomes. **Community Interest Company (CIC)** - a limited company, with special additional features, created for the use of people who want to conduct a business or other activity for community benefit, and not purely for private advantage. (UK Government) **Social Enterprise UK (SEUK**): UK's membership body for social enterprises. SEUK lead the world's largest network of businesses with a social purpose who together are helping to create a fairer economy and a more sustainable future for everyone. **Social Value** - Social value is a board term used to describe the social, economic, environmental and cultural impact of our collective decision making and business operations **The National TOMs –** Themes, Outcomes and Measures – is a framework for delivering excellence in measuring and reporting social value

Self-Assessment – A Missed Opportunity - Social Enterprise

Checklist for LA for effectively engaging and working with Social Enterprises			
1 Strategic Arrangements			
Vision	**What we are doing / Comments**	**What can we do better**	**Flintshire Social Enterprise Action Plan (where appropriate)**
We have an agreed vision on how we will work with Social Enterprises.	We have an action plan developed in collaboration with the social enterprise sector in Flintshire		Page 1 What we do well
The vision has been shared with, and is understood by, all relevant staff in the local authority.	Vision shared by Business Development and Communities 4 Work Departments	Raise the profile among LA staff and Elected Members	Action Plan 3.2 Develop relationships between social enterprises and relevant FCC Officers and other potential partners by delivering awareness raising sessions
The vision has been shared with, endorsed by and is understood by elected members.	Planned presentation to Chief Officers Team and subsequently Cabinet Monthly good news stories to elected member for Enterprise, Economy and Environment	Promote Social Enterprise to Elected Members	Action Plan 3.2 Develop relationships between social enterprises and relevant FCC Officers and other potential partners by delivering awareness raising sessions
The vision has been developed in discussion with the local County Voluntary Council.	Monthly contact with FLVC to ensure Collaboration and avoid duplication or services	Social Enterprise Action Plan shared with FLVC	

The vision has been disseminated to Social Enterprises we work with.	Social Enterprise Sector involved in the development of the existing Action Plan		
The vision clearly sets out how we intend to deliver our Section 16 responsibilities for promoting Social Enterprises including: Our work to promote social value through the Regional Partnership Board; and Use of the Regional Integrated Fund to promote and develop Social Enterprises.	We do not identify how we intend to deliver Section 16 responsibilities Social Value captured by the Flintshire Social Impact toolkit which has been developed in partnership with the social enterprise sector Currently no delivery around Regional Integrated Fund	Need to engage with social enterprise sector to identify opportunities to meet the requirements of Section 16 Raise Social enterprises Knowledge of the Regional Integrated Fund	Action plan 4.5 Relevant FCC staff develop and deliver awareness raising presentations around section 16 Appropriate staff from Social Services presentation at Social Enterprise Network meetings

Corporate Approach			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
We have a corporate led approach for working with Social Enterprises that covers all departments and services.	Council Plan commitment with progress reported quarterly to Cabinet, Scrutiny and Chief Officer Team SE Officer has presented at COT also different Portfolios across FCC	Raise further awareness within FCC specifically, Procurement and Social Services to identify Sponsoring Officers Nominate Sponsoring Officer within relevant portfolios within FCC to	Action Plan 3.2 Raise awareness of Sponsoring Officer successes to recruit addition SOs within other portfolios

		liaise with social enterprises to promote their activities to both colleagues and potential service users	
We have sponsoring officers linked to SLAs within Education to raise awareness of the SE services available and identify further opportunities for the SE to engage with			
The corporate approach translates our vision into practical actions.	Council Plan reflects corporate priorities for social enterprise sector which in turn has been incorporated into the action plan in collaboration with the SE sector		Review of action plan on an annual basis to ensure corporate approach remains relevant to the SE sector
We have designated a corporate lead for Social Enterprises who is responsible for overseeing and coordinating our work with the sector	We have an appointed Chief Officer and Elected member responsible for overseeing SE activity and a dedicated Social Enterprise Officer to work directly with the sector		

Understanding the local Social Enterprise sector			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**

We have mapped out the Social Enterprise sector in our local authority area and know:
 	
    The number of organisations working locally;
    The services they provide;
	Mapping of Social Enterprise sector carried out by Cwmpass biannually.
	
	FCC Social Enterprise Officer has a well-developed relationship with the Social Enterprise sector businesses in Flintshire
		Map sector and develop online interactive directory of Social Enterprises in Flintshire
		
		The Directory of social enterprises can be used to develop collaborate working arrangements
			Action Plan 4.2
			Develop a mapping of the social enterprise sector in Flintshire by developing an interactive social enterprise directory on FCC Website. Benefits will be; detailed information about Flintshire based

The communities the services are provided in; The people the service is provided for; How the services are funded; The operating hours/days for services; The eligibility criteria for the service (if any); How the service fits with our Section 16 responsibilities for promoting Social Enterprises in delivering social care services; and Who to contact for more information.		Provide an opportunity to promote their goods and services, develop supply chain activity. And provide examples of best practice among Social Enterprises Raise awareness of Section 16 through relevant Officers presentations	social enterprises including; organisations activity, legal structure, company size, area of benefit etc.
We have a record of all our Social Enterprise funding.	In general FCC does not provide grant funding for new business start-ups or existing businesses including the social enterprise sector. We do however support SE businesses to secure external/third party funding		
We collate financial information and report at least annually on the totality of our Social Enterprise funding covering:	We do not have the resource in place to collate this information and the necessary information Each Service Area Manager would be aware of all SLA's Contracts and	We could collate this information however this would have a significant resource implication	

which organisations we fund; the contract value; the length of the contract; which department/service has contracted; the measures of success established for the work; and what the intended benefits of the work are.	Funding allocated to social enterprises and monitor these as any other SLA, Contract of funded programme of activity		
We effectively raise awareness on the benefits presented by Social Enterprises to ensure all staff identify opportunities to collaborate with them by: hosting a social enterprise day within the local authority; putting on workshops for councillors and senior managers; and developing activities to celebrate and promote social enterprise.	Awareness raising of the support available is achieved through social media, regular mails shots, referrals from word of mouth and referrals from partners orgs and FCC departments. Flintshire Local Voluntary Council runs a social prescribing service which is integrated into the Single Point of Access within social services. This receives funding from the Regional Integration Fund to support this. As part of this service there is a third sector co-ordinator who will match people, who have not met the criteria for statutory social care support, with other beneficial services in the community. A significant proportion of these	We can bring the lead staff to Social Enterprise Network Meetings to promote the social enterprises. Work in partnership with the social enterprise sector to develop and deliver social enterprise awareness raising days to both local authority colleagues and Elected Members	Action Plan 3.2 Develop increased understanding of the opportunity that social enterprise presents as service delivery partners through development and delivery of awareness raising events

	services will be provided by social enterprises.		

Collaboration and partnership arrangements

Vision	What we are doing / Comments	What can we do better	Action Plan
We have identified and agreed how the work of Social Enterprises will be managed and scrutinised at a: corporate level – in the work of strategic partnerships and corporate scrutiny committees; department level – in specific partnership arrangements to support wider policy agendas within defined areas; and service level – on local partnerships and specific service-led initiatives.	Social Enterprise Activity reported annually against the Council Plan Targets. Social Enterprise activity also reported to Chief Officer Team, Scrutiny and Council within FCC Monthly reports to Chief Officer / Cabinet Member for Climate Change and Economy	Provide social enterprise information to the Economic Recovery Group in order to ensure social enterprise is considered as an option to issues moving forward	Action Plan 3.3
We effectively raise awareness of the work of social enterprises and involve local people and communities in developing new Social Enterprises.	Awareness raising of the support available is achieved through social media, regular mails shots, referrals from word of mouth and referrals from partners orgs and FCC departments. The SE officer engages with communities and potential new business start-ups	Raise awareness of Social Prescribing and Single Point of Access (SpOA) through presentations to Social Enterprises	Action Plan 4.2 Develop a mapping of the social enterprise sector in Flintshire including areas of work by developing an interactive social enterprise directory on FCC Website.
We have a clear and effective relationship with our County	Work closely with Local Voluntary Council to ensure dovetail of		

Voluntary Council as a key strategic and delivery partner	services, provided and share best practice as well as cross referral of clients		
We have a nominated lead senior official to promote and lead work through the regional Social Value Forum.	We have a designated member of staff who promotes our work through the Regional Social Value Forum. The FCC SE Lead Officer and SE sector have jointly developed a social impact toolkit for Flintshire. A cost effective and easy to use co-designed online platform which identified £2.8m of Social Benefit in the pilot programme involving seven Flintshire based Social Enterprises	Increase numbers of Flintshire social enterprises reporting on the Flintshire Social Impact Toolkit	Action Plan 2.1 Report Social Enterprise achievements and promote social enterprise activity within FCC via nominated FCC Officer and Elected member

Strategy			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
Our approach to Social Enterprises is integrated with our key strategies and plan – eg Wellbeing Plan, corporate priorities and other community and regional strategies.	Social Enterprise development features in the 'Council Plan' and corporate priorities.	Our new Integrated Assessment Tool provides an ideal opportunity to encourage managers to consider the support that social enterprises can provide	Action Plan 3.2 Develop relationships between social enterprises and relevant FCC Officers and other potential partners by delivering awareness raising sessions
We have set SMART objectives and actions on how we will support and			Action plan includes targets and measures wherever practicable.

promote the growth of Social Enterprises.	Established targets for numbers of new social enterprises and enterprises supported		
We are clear on the benefits and risks of Social Enterprises for citizens, local communities, and the local authority	Significant interaction between FCC and the Social Enterprise sector	Encourage staff to learn more about benefits of SE services	Action Plan 3.2

Delivering the Strategy			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
We have enough staff and resources to promote and grow Social Enterprises.	Full time fully qualified Business Support is available for social enterprises	Make full use of procurement opportunities to develop social enterprise supply chain Support services to structure procurement to increase accessibility to social enterprises Promote the work of social enterprises But… capacity and resources will limit actions.	Actions across plan but with limited capacity
We have staff in the right services and with the required seniority to deliver our vision for Social Enterprises.	Chief officer and Elected member responsibility for overseeing Social Enterprise Support Full time Social Enterprise Lead Officer with responsibility for development of the SE sector	Raise the profile of Social Enterprise among commissioners / officers / elected members across FCC	Action Plan 3.2

We have a can-do culture mindset within the council to make the best use of Social Enterprises	As a local authority Flintshire County Council, across service portfolios, value the contribution of social enterprise to the local economy and communities they serve.	Raise the profile of Social Enterprise among commissioners / officers / elected members	Action Plan 3.2 Develop relationships between social enterprises and relevant FCC Officers and other potential partners such as Jobcentre+ with social enterprises by developing meet the social enterprise events
We give staff the opportunity to take well-managed risks and explore innovative practices	Development of the innovative Social Enterprise Social Impact Toolkit in partnership with the SE sector. Develop innovative supply chain opportunities in partnership with Private Sector contractors to ensure community benefits are met. Have developed mitigated risk programme of Alternative Delivery Model (ADM) and Community Asset Transfer Programmes (CAT)		

2. Commissioning and Procurement			
Designing Services			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
We draw on the expertise and knowledge of Social Enterprises in designing new services.	Individual service areas design their services and not procurement. As part of pre-market engagement service areas are permitted to engage with the market (including Social Enterprises) to draw on their expertise and knowledge. Commissioners routinely engage with service providers and service users to inform the designing of services which included a proportion of social enterprises that currently deliver contracted services across Flintshire.	More pre-market engagement with suppliers including Social Enterprises	Procurement: Improved pre-market engagement with local SME's (including social enterprises) is highlighted within the new Procurement Strategy.
Our commissioners make good use of the Market Stability Report process to inform commissioning and market shaping activity for the social care sector	Along with the regional Market Stability Report, Flintshire County Council has developed a local version of this to inform activity locally. This, along with the Population Needs Assessment, informs decision making on market shaping and commissioning strategies.		

In designing services, we clearly set out:
 	
    What demand the service will meet;
    how we have decided on the type of service that we require; and
    how we will engage with current and potential providers to develop the service
	Procurement: Commissioning Form which service areas must complete and submit to the Collaborative Procurement Service for all procurements over £25k requires the service area to set out demand the service will meet. It is for the service area to keep records of how they have decided on the type of service they require and what pre-market engagement with current and potential suppliers they will undertake to develop the service.
	
	Social Services: Commissioners routinely engage with service providers and service users to inform the designing of services.
		Procurement: Service areas could be requested to provide more information on the Commissioning Form outlining how they have decided on the type of service they require and what pre-market engagement with current and potential suppliers they will undertake to develop the service.
		
		Procurement: Review commissioning form and see if this is appropriate, resource capacity allowing.	

We ensure that our tender process is accessible for all potential collaborators	Social services are particularly mindful in commissioning activities to include strong weighting for Social Value, and make the process more accessible for social enterprises, such as the use of Lots and encouraging of consortia bids. We have several contracts that are provided by not for personal profit organisations such as advocacy services, counselling services,	When the Procurement Reform Bill come into force at the beginning of 2024, we will have some ability to be more flexible in our tendering process but will still await the fine details of the Bill in order to determine what is and isn't permissible within the new Procurement Regulations.	Review new procurement regs when they are finalised.

Vision	What we are doing / Comments	What can we do better	Action Plan
	learning disability day services and mental health support services.	Procurement: Review commissioning form and see if this is appropriate, resource capacity allowing.	
We can demonstrate we have the capacity and skills to undertake the strategic commissioning process.	We have the skills in the form of highly experienced and MCIPS qualified Procurement Professionals within the Collaborative Procurement Service. Officer capacity is a major issue with a small team covering 2 Local Authorities	Increase capacity within the Collaborative Procurement Service	
We actively look for ways to invite collaboration	All tenders welcome including collaborative/consortium bids. Service areas routinely explore opportunities to engage with other partners from public, private and social enterprise sector organisations to collaborate on a regional and sub regional level.		

Effective Award Systems			
Vision	What we are doing / Comments	What can we do better	Action Plan
We have created a single centralised and corporate funding system for the management and award of all contract funding to Social Enterprises.	We have a central e-procurement system where all bids for any tenders above £25k must be submitted by suppliers (including Social Enterprises) and where also where a record of all contracts over £25k should be recorded – this is our central record of contracts	The resources are not available to facilitate a single contract management system solely for social enterprises.	

	awarded to all suppliers including Social Enterprises and where all contract management is recorded		
We have effective systems to award contract funding to organisations that sets out: a clear contract funding timetable that is available to all potential bidders so that they can prepare for opportunities; the process that will be used to decide (for example, seeking quotations or using a tender or proposal process); the value and risk associated with the various contract funding routes; clear and published criteria that are understood by all organisations seeking contract funding, including community benefit and social value clauses; the cost and resources to oversee and administer the process; and the length of time that contract funding will be provided.	Tender documents for all tenders are issued including: • Timetable for procurement process as well as timetable for contract mobilisation, initial term of contract and any options to extend. • Our standards T&C's which include payment profile • Evaluation Methodology setting out the award criteria. • Information relating to Community Benefits/Social Value • Information Relating to the services being procured and how the contract will be managed including KPI's.		

fficient Award Systems

Vision	What we are doing / Comments	What can we do better	Action Plan
We have efficient corporate systems to award contract funding based on: concise and clear application processes; use of online and electronic systems to distribute and collate information and bids; short end-to-end decision-making arrangements; the minimum number of stages and processes required to decide; and decisions being delegated to the lowest level.	e-tendering/procurement system in place and all relevant info relating to tender process set out in tender docs		
Our contract terms and conditions are proportionate to the level of funding being made and are specific to the work that is being funded.	We have standard Services T&C's which are the same for all services.		
We review our contract funding processes to ensure we are not excluding Social Enterprises from securing work.	Procurement: We are bound by Contract Procedure Rules and Public Contract Regulations – all potential suppliers must receive equal treatment and these Rules and Regulations are followed to ensure this is the case.	New Procurement Regulations come into effect early 2024 which we can review to see if there is any way to remove any barriers SE's feel they currently face.	Review new regs when available.

Training and Information Training			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**

We provide training to support Social Enterprises covering:
 	
     how to apply for funding – the do's and don'ts;
     complying with our commissioning and procurement systems;
     data collection processes;
     performance management and scrutiny arrangements;
     payment cycles and performance targets; and
     contract termination/continuation requirements
	Extensive range of training sessions available to social enterprises
	
	Bespoke training developed based on new needs of social enterprises in addition to:
	• Business Planning
	• Preparing for Investment
	• Cash Flow Forecasting
	• Bid Writing
	• Introduction to Crowd Funding
	• Revenue Modelling
	• Marketing
	• Governance
		Local Authority staff to deliver procurement training to social enterprises.	**Action Plan 2.2**
			Deliver training workshops for the sector specific to their needs

3. Managing Performance			
Information Collection			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
We have specified the information required to monitor and evaluate the performance of the Social Enterprises we fund.	All details or how any contract with any supplier (include SE's) will be monitored and KPI's relating to the contract are all set out in the Contract T&C's which are signed by all parties.		
The information only measures relevant activity.	Departments holding SLAs with Social Enterprises collate and measures relevant activity		
The systems to collect information are streamlined and efficient, and Social Enterprises only submit information once and electronically on agreed timescales	Departments holding SLAs with Social Enterprises request information which is captured electronically		

Performance Review			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
We regularly report on our Social Enterprise contract funding to scrutiny committee(s) against a balanced set of performance information that covers: the service standards we set for the Social Enterprise we fund to perform against; improvements in people's wellbeing and social outcomes; and relevant service-based performance data; and conclusions of external audit/inspection reviews.	SLA holders are charged with providing full reports including performance-based statistics, impact data, and feedback from service users on contracts with social enterprises.	Co-ordinated reports on the achievement of Social Enterprise contracts	Produce an annual report on the performance of social enterprise SLAs and contracts.
Our scrutiny and evaluation processes: are proportionate for the value of the contract funding we provide; and provide us with assurance that our funding is achieving the expected outcomes.	SLA holders submit comprehensive reports which account for the measures within the agreement including monitoring and reviewing performance.	Co-ordinated reports on the achievement of Social Enterprise contracts	Produce an annual report on the performance of social enterprise SLAs and contracts.
Annually we report publicly: on the work of Social Enterprises;	Currently the council does not produce an annual report specifically for Social Enterprises	Co-ordinated reports on the achievement of Social Enterprise contracts	Produce an annual report on the performance of social enterprise SLAs and contracts.

on the current performance of Social Enterprises we fund; how we will promote further opportunities for the sector in the future	however the Social Enterprise Lead officer reports monthly via project reporting and annually through corporate reporting channels and also to Welsh Government as part of the funding monitoring process		
How well we are performing in delivering our S.16 responsibilities for Social Enterprises.	Social services have consistently look to support community development, social enterprises, and not for personal profit organisations both in the delivery of social care and early intervention and prevention. In the independent sector we have a provider that has recently been supported to become not for profit. This is Clocktower Community Services Ltd who provide significant day and work opportunity services for citizens in Flintshire. Several large contracts are currently held with 3rd sector organisations, such as day opportunities for people with learning disabilities, which is provided by Home Farm Trust. Social Services; As above, a mental health support service has moved from being council run to becoming a social enterprise, and we continue to support and work collaboratively	Improve understanding of section 16 responsibilities by social enterprises	Action Plan 4.5

| | with them. The council directly commissions with Double Click to train and support people with mental health conditions into employment.

Social Services continually promotes social enterprises to citizens through the Third Sector Co-ordinator role in the Single Point of Access as described above.

Social Services: As above, the way commissioning activities are undertaken encourages social enterprises to bid for contracts. | | |
|---|---|---|---|

Risk management			
Vision	**What we are doing / Comments**	**What can we do better**	**Action Plan**
We regularly review risks associated with our Social Enterprise contract funding	Departments holding SLAs with Social Enterprises will undertakes risk mitigation as part of the contract monitoring process		
We agree risk management plans if risks are not being managed and mitigated.	The risk management process highlights risks which are not being managed and the need for mitigation processes to be put in place		

We have a rolling programme of internal audit systems testing and compliance reviews to ensure the robustness, efficiency and effectiveness of our contract funding of Social Enterprise services.	Where SLAs are in place, FCC sponsoring officers monitor the SLA holders performance and quality assure the accuracy of their report prior to being uploaded onto the system for funding		

Flintshire County Council Social Enterprise Action Plan 2023-2025

Background

Flintshire County Council is a unitary authority located in North-East Wales with a population of approximately 150,000. The authority employs approximately 5,000 people and delivers or facilitates the delivery of a broad and complex range of services. especially to the most vulnerable in society

Flintshire County Council delivers its services directly through its own workforce and through private and third sector organisations. The authority spends over £160 million each year procuring goods and services from over 4,500 suppliers, service providers and contractors.

Flintshire County Council has long been firmly committed to the need for a strong, vibrant local social enterprise economy and recognises within the Council Plan the contribution social enterprises make within the community.

In 2013 Flintshire County Council, in response to the lack of accessible, practical support for social enterprises, created a new post to support the development of a sustainable social enterprise sector within the County This resource, a fully qualified Business Advisor, provides free at the point of delivery business support, advice, and guidance to residents of Flintshire wanting to explore the development of social enterprise.

Over the past 10 years the Council has supported the development of approximately 100 new social enterprises as well as provided business support to grow and sustain existing social enterprises

Following the release of the Welsh Audit Office report, "Social Enterprise - A Wasted Opportunity", the Council undertook a self-assessment process to review its approach to supporting social enterprises and refreshed its action plan to include, wherever possible, the areas for improvement identified through the self-assessment process. The Council consulted with the members of the Flintshire Social Enterprise Stakeholder Group, consisting of social enterprise leaders from across the county, to develop the plan.

What We Do Well

Supporting enterprises

The business support, advice and guidance provided to the sector by Flintshire County Council has resulted the raising of the profile of social enterprise in Flintshire as well as the registration of of14 new social enterprises within the county every year. (Covid 19 lockdown years aside). The resulting social enterprise sector growth in Flintshire is demonstrated by social enterprises accounting for 5.1% of social businesses within Wales where Flintshire accounts for 3% of businesses in Wales. ("Mapping the Social Business Sector in Wales / Census 2022". Social Business Wales)

Flintshire's, free impartial social enterprise support is accessible regardless of whether the business is already established or a new start-up venture. The support provided includes, but is not restricted to, pre-start development, business, and financial planning; identification of appropriate legal structures and business registrations; preparing for investment and cash flow forecasting in addition to support with bid/tender writing; introduction to crowd funding; revenue modelling; marketing and governance and the development and delivery of bespoke training to meet the needs of social enterprises in Flintshire.

Within Flintshire we delivered a successful Community Asset Transfer (CAT) programme. The programme enabled 15 buildings owned by the Council, which were faced with closure, to be transferred to community ownership through the social enterprise model. Through the CAT, 30 community organisations are being supported to develop a business case for the activities to be delivered from within the buildings, providing amenities and services for the residents of Flintshire. All of these buildings have been transferred to community ownership on a 'peppercorn rent' allowing them the greatest opportunity of sustaining their activities and delivering necessary services identified by members of the communities in which they are based.

All Local Authorities have faced major budget pressures and will continue to do so for the foreseeable future. In Flintshire we see alternative delivery models as a flexible way to control costs, build sustainable income growth for social enterprises, thus protecting and even improving local services by involving local people in new and engaging ways. Flintshire County Council's successful ADM programme safeguarded the future of libraries and leisure centres by converting them to employee-owned cooperative organisation, whereas the FCC catering and cleaning departments were converted into community led community Interest Company. Flintshire County Councils reprographics and printing

services were also converted into a Community Interest Company and now combines the provision of professional design and print services to any business whilst supporting mental health in the community. To achieve this, they create employment, work experience, training, and volunteering opportunities within a supportive and inclusive environment for those who face significant barriers to employment.

A number of social enterprises deliver services on behalf of FCC. For example, Double Click Design and Print Community Interest Company (CIC) deliver support to individual affected by mental health issues to help them develop the confidence and skills to secure meaningful employment. Dangerpoint in Talacre provide safety education through a Service Level Agreement (SLA) which provides the opportunity for schools to visit the centre and take a structured guided tour around the life-like scenarios. The centre has been designed to link in with the current curriculum, PSE curriculum, Healthy Schools Programme and fits in with the Estyn Common Inspection Framework.

Flintshire Council has worked collaboratively with social enterprise leaders from across the county to develop a support network. The now well-established Flintshire Social Enterprise Partnership meets regularly to give members the opportunity to share experiences, celebrate successes, develop collaborations, network with like-minded organisations, and share models of best practice with other members. A key outcome from the network has been the development of the Social Enterprise Stakeholder Group who work with collaboratively with the Local Authority on projects such as securing 'Social Enterprise Places' and the development of the 'Flintshire Social Impact Toolkit.'

All social enterprises who hold a Service Level Agreement (SLA) with Flintshire Council have an appointed Sponsoring Officer. This enhanced level of communication benefits both parties through regular SLA progress monitoring which is turn maximises the success of prescribed aims and outcomes within the SLA as well as create further opportunities for the social enterprises.

Recognition

In 2020 Social Enterprise UK officially recognised Flintshire as a registered 'Social Enterprise Place.' This registration acknowledges the range, quality, and level of social enterprise activity within the county and serves to raise the profile of Flintshire and the sector at a national level.

Working in partnership with the Flintshire Social Enterprise Network Stakeholder Group, an innovative "Flintshire Social Impact Toolkit" was designed, developed, and piloted by Flintshire County Council and the sector. The on-line toolkit identifies the social value of work being carried out and the financial impact that Flintshire based social enterprises are

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generating as a result of their daily activities. This toolkit demonstrates the financial value of the social impact generated by social enterprises within Flintshire. During the 18 months pilot project, using 7 social enterprises, the toolkit identified almost £3m of social benefit within Flintshire. By 2024/25 we intend to increase the number of toolkit users to 30. Now fully audited by Flintshire County Council, participating businesses can accurately quantify their value of social benefit when applying for contracts, investment, finance, and sector awards. To date the financial year2023/2024 the Impact Toolkit has identified £595,015 of social value achieved in Flintshire.

As part of Flintshire County Council's commitment to social enterprise, we introduced 'Social Enterprise of the Year' and 'Most Socially Responsible Business' categories to our annual Flintshire Business Awards. Sponsored and judged by independent organisations, these awards recognised the contribution social enterprises and socially responsible businesses made to Flintshire's economy and community.

As Flintshire is one of the few Local Authorities which has invested in a dedicated support for social enterprises, the Social Enterprise officer has provided, on an informal basis, support, advice, and guidance to other organisations across the region, including Wrexham Borough Council, Isle of Anglesey County Council and University of Chester.
This support has included mentoring, providing models of best practice, and promoting social enterprise to degree students.

Flintshire Social Enterprise Action Plan 2023 - 2025

Aims of the action plan are:
- Aim 1: Social enterprises will be better able to support each other
- Aim 2: Social enterprises will be better able to evidence their impact
- Aim 3: Social enterprises will have a higher profile
- Aim 4: Social enterprises will deliver more services on behalf of the public sector

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	Actions	Lead	Timescale	Measured	Action source
1. Social enterprises will be better able to support each other					
1.1	Create a Terms of Reference for the network group and develop increased membership	FCC SE Officer & Social Ent Network	Annual Review	Numbers of social enterprises within the Network	Stakeholder Group
1.2	Develop a strong media focus to raise the profile of the sector and to promote social enterprise as a business model that significantly contributes to the local economy: e.g. Promote social enterprise events, regular press releases and the development of appropriate social media platforms (Twitter, Facebook business page, Instagram.)	FCC SE Officer & Social Ent Network	2023 and ongoing	Development of Business Facebook Page Number of press releases Number of events delivered	Stakeholder Group Response to WAO Report Updated from previous SE Plan
1.3	Maintain mentoring and business support to strengthen the social enterprise sector and to help existing social enterprises to grow and sustain their organisations.	FCC Officer & Social Enterprises	Continual	Annual Reporting - Number of mentoring relationships and support sessions delivered	Stakeholder Group Updated from previous SE Plan
1.4	Develop opportunities for social enterprises to	FCC	On an as	Number of	Stakeholder

			Officer	and when Basis	mentoring relationships developed	Group
		provide mentoring for other social enterprises to share best practice and promote business growth.				
2. Social enterprises will be better able to evidence their impact						
	2.1	Continue to develop Social Impact Reporting toolkit in order to increase the number of 'activities' measured as well as secure a more accurate snapshot of the social impact value of social enterprise in Flintshire Increase the number of social enterprises accessing the social Enterprise Impact Toolkit Increase the number of activities measured by the toolkit	FCC Officer & Social Ent Stakeholder Group	To be reviewed annually	Value of social benefit captured Number of SEs using the toolkit Number of activities reported within the toolkit	Stakeholder Group
	2.2	Deliver training workshops for the sector specific to their needs. Develop and advertise a suite of training sessions including; • Business Planning • Preparing for Investment • Cash Flow Forecasting • Bid Writing • Introduction to Crowd Funding • Revenue Modelling • Marketing • Governance This training is tailored to the specific needs of social enterprises, developing new business skills within the social entrepreneurs leading to increased business confidence and enhanced	FCC Social Enterprise Officer	To be reviewed annually	Number of entrepreneurs accessing training sessions Improved business confidence of social enterprises Continued social enterprise growth	Stakeholder Group Update from previous Action Plan

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		sustainability				
2.3	Identify opportunities to work with private sector contractors to achieve the community benefits elements of their contracts by providing support to the social enterprise sector in Flintshire. Work with Flintshire colleagues to increase the number of social enterprises attending 'Meet the Buyer' events to encourage working with the private sector as part of their supply chain.	SE Officer FCC/ Community Benefits Officer FCC Private Sector contractors	To be reviewed annually	Level of support and number of interventions received by social enterprises from Private Sector contractors	Stakeholder Group Update from previous Action Plan

3. Social enterprises will have a higher profile

3.1	Explore opportunities for social enterprises to present at Strategic Boards e.g. Regional Boards, Welsh Government Groups etc in order to raise both the profile and awareness of social enterprise as potential service delivery partners	Flintshire Social Enterprise Partnership	To be reviewed annually	Number of Regional/strategic boards attended	Stakeholder Group Update from previous Action Plan
3.2	Develop increased understanding of the opportunity that social enterprise presents as service delivery partners through development and delivery of awareness raising events delivered by social enterprises for: • Local Authority Officers • Elected Members • Jobcentre + • Other potential partner organisations	SE Officer FCC / Flintshire Social Enterprise Network	To be reviewed annually	Number of events delivered Number of Officers attending Number of Elected Members attending	Stakeholder Group Response to WAO Report

4. Social enterprises will deliver more services on behalf of the public sector					
4.1	Review procurement strategy to enable social enterprises to compete for contracts with the Local Authority. In line with new guidelines as they are developed and released	Flintshire County Council	2023 onwards	Number of contracts tendered for by Social Enterprises	Stakeholder Group Response to WAO Report
4.2	Mapping of the social enterprise sector in Flintshire including areas of work by developing an interactive social enterprise directory on FCC Website in order to enable social enterprises to advertise their goods/services. explore partnership working and collaborative working opportunities	Social Enterprise Officer	2023 and ongoing		Stakeholder Group
4.3	Support Social Enterprises to increase procurement opportunities by developing awareness raising events for collaborations between social enterprises to be formed ahead of a contracting opportunities.	Flintshire County Council	To be reviewed annually	Number of events delivered/attended by SEs Number of contracts tendered for by Social Enterprises Number and value of contracts secured by Social Enterprises	Stakeholder Group Response to WAO Report
4.4	Nominate 'Sponsoring Officers' from relevant departments to signpost colleagues and or service users to social enterprises with the	Flintshire County Council	To be reviewed annually	Number of 'Sponsoring Officers'	Stakeholder Group

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		potential to become service providers to: • Make social enterprises aware of upcoming contracting opportunities • Raise awareness of social enterprise service providers and their offer among colleagues to increase their potential to secure contracts with the LA • Promote social enterprise activity to current clients/beneficiaries in order to increase uptake of the social enterprise offer			nominated Number of contracts secured by social enterprises	Response to WAO Report
4.5		Flintshire County Council to deliver awareness Sessions around subjects including: • Dynamic Purchasing System • Social Prescribing • Section Social Welfare Act 2016 • Social Partnership and Public Procurement (Wales) Act (SPPP) • Changes to procurement guidelines • Health and Social Care Regional Integration Fund	Flintshire County Council	To be reviewed annually	Number of awareness sessions delivered Number of social enterprises attending awareness sessions	Stakeholder Group Response to WAO Report
4.6		Publish, and share the FCC Social Services Report on 'Improvement Journey in providing services to people in its area' allowing Social Enterprises to contribute to the outcomes	Flintshire County Council	2023 and annually	Production of the report Number of social enterprises contributing to the outcomes	Stakeholder Group Response to WAO Report

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Delivering the Action Plan

Day to day responsibility for co-ordinating the delivery of the Action Plan will rest with the Council Business Development team. Progress will be reported on a regular basis to:

- FCC Cabinet and Scrutiny through the Council Plan reporting process
- Flintshire Economic Recovery Group
- Flintshire Social Enterprise Stakeholder Group

The Action Plan will be reviewed at least annually and updated as required based on performance, responding to external drivers and feedback from stakeholders.

Cyngor
Sir y Fflint
Flintshire
COUNTY COUNCIL

Environment and Economy Overview and Scrutiny Committee

Date of Meeting	Tuesday, 14 November 2022
Report Subject	Shared Prosperity Fund
Cabinet Member	Cabinet Member for Climate Change and Economy
Report Author	Chief Officer (Planning, Environment and Economy)
Type of Report	Operational

EXECUTIVE SUMMARY

The Shared Prosperity Fund (SPF) will deliver £2.5bn of investment until March 2025 across the UK. The aim of the programme is "to build pride in place and increase life chances". United Kingdom (UK) Government have allocated £126m to North Wales to deliver the programme between 2022/2023 and 2024/2025, with £11m allocated to Flintshire for the core programme.

Cabinet approved the criteria and process for allocating funding from the programme to projects on 22 November 2022 and gave delegated authority to the Chief Officer (Planning, Environment and Economy) and Cabinet Member for Climate Change and Economy to do so.

The report provides an update on the allocation of SPF funds to projects and what the expected outcomes of the programme are for Flintshire communities. In addition, the report sets out recommendations for how the residual SPF funding and any unallocated funding arising during the delivery of the programme should be allocated.

RECOMMENDATIONS	
1	Members are asked to note the progress made in developing the SPF programme both regionally and locally.
2	Members are asked to review the recommended approach to allocating any residual SPF money and to support the proposed delegated authority to the Chief Officer (Planning, Environment and Economy) and the Cabinet Member for Climate Change and Economy to operate this approach and to manage changes within the projects approved.

REPORT DETAILS

1.00	Explaining the Shared Prosperity Fund
1.01	The guidance for the Shared Prosperity Fund (SPF) programme was released on 13 April 2022. The programme is being managed by local government across the UK. A Regional Investment Strategy setting out the approach to delivering the programme in North Wales was submitted to UK Government on 1 August 2022 and approved in late 2022.
1.02	The Shared Prosperity Fund will deliver £2.5bn of investment until March 2025 across the UK. The aim of the programme is "to build pride in place and increase life chances". The investment priorities set by UK Government are: • Community and Place - Strengthening our social fabric and fostering a sense of local pride and belonging. To build resilient and safe neighbourhoods. • Supporting Local Business - Creating jobs and boosting community cohesion by supporting local businesses. Promoting networking and collaboration and stimulating innovation and growth. Targeted support to help businesses grow - e.g. innovation, productivity, energy efficiency, low carbon and exporting. • People and Skills - Boosting core skills and support adults to progress in work. Supporting disadvantaged people to access the skills they need. Funding local skills needs and supplementing local adult skills provision. Reducing levels of economic inactivity and supporting those furthest from the labour market. In addition to this "core" programme, there is funding to deliver the Multiply programme which is targeted solely towards accredited training for adult numeracy. There are ongoing discussions with UK Government, Welsh Government and the Welsh Local Government Association about this latter programme as the criteria are felt to be overly restrictive and adult numeracy is a devolved area with existing Welsh Government programmes already in place.
1.03	Gwynedd County Council act as the regional administrative body for the SPF programme through an agreement between the six Councils which establishes programme governance, operating procedures and risk management arrangements. The regional administrative body is responsible for the operation and financing of the programme through contracts with each project sponsor and with UK Government. Each Council retains decision-making power for the allocation of the SPF funds.
	Project selection process

1.04	Cabinet approved the criteria and process for allocating funding from the programme to projects on 22 November 2022 and gave delegated authority to the Chief Officer (Planning, Environment and Economy) and Cabinet Member for Climate Change and Economy to do so.
1.05	In preparation for the submission of the Investment Strategy, each local authority held consultation events locally to identify priorities for the programme. In addition, regional events were held to identify skills and employment priorities. The local priorities identified by stakeholders were: • Support for town centre regeneration and street markets • Creating and improving green spaces and green infrastructure • Support for local arts, cultural, heritage and creative activities • Investment in capacity building and infrastructure support for local civil society and community groups • Contributing to tackling cost of living crisis • Improving digital infrastructure • Improving tourist facilities • Support for business innovation, learning and decarbonisation • Supporting social businesses • Providing support to those furthest from labour market • Meeting local business skills needs • Support for young people post-Covid • Tackling mental ill-health These priorities are consistent with the priorities of the Council Plan and the Flintshire Wellbeing Plan. Cabinet approved the use of these local priorities in selecting projects to receive support from the programme in Flintshire.
1.06	Each project proposal was asked to demonstrate: • its ability to meet the UK Government criteria for the programme and deliver outcomes from the programme framework; • fit with local needs and that it will complement and not duplicate existing local provision; • thorough engagement with local stakeholders and potential beneficiaries; • its contribution to meeting the strategic needs of the area as set out in the Council Plan, Wellbeing Plan and other relevant strategies; • deliverability within the short timeframe for the programme; • the experience and capability of the project sponsor; • an ability to identify and manage risks effectively; • value for money, match funding availability and confirmation that the project can't be funded elsewhere; • that UK Government subsidy control regulations can be complied with; and • that delivery will take account of equality duties, the Welsh language and environmental good practice. Due to the relatively small scale of the programme in Flintshire large capital build projects, although technically eligible, were not supported. Capital expenditure as a smaller element within a wider revenue-based

	project was accommodated as were projects which disburse small capital grants or works across multiple communities, groups or businesses.
1.07	In line with UK Government expectations, each County has established a multi-agency partnership (or panel) to advise on the selection of projects and the management of the programme. In Flintshire, Cabinet agreed that the existing Economic Recovery Group should act in this capacity and the membership and terms of reference of the group were amended to enable it to fulfil this role.
1.08	The process used to select projects for SPF support is summarised below. In advance of the process operating, the Council hosted a series of online briefing sessions for potential project applicants to enable them to ask questions and to be kept up to date with the programme's development. These were very well-attended.
1.09	Stage One • The application window opened 31st January 2023 with a closing deadline of 24th February. • All applications were submitted on-line using a portal hosted by the Isle of Anglesey Council and operated by the regional administrative body on behalf of all six local authorities. • Flintshire received 90 applications (including 3 duplicates) requesting an SPF total in the region of £30m compared to an available budget of £12.7m.. • Initial assessment and appraisal of Stage 1 applications was undertaken by Council officers using the criteria agreed by Cabinet. • Where relevant, applications were shared with other FCC services and the Department for Work and Pensions (DWP) to ensure that there is no duplication with existing provision, to confirm whether any local engagement had taken place and clarify whether the project would address local needs. • Regional projects were circulated by the regional administrative body to regional stakeholders including the DWP, North Wales and Mersey Dee Business Council, the Regional Skills Partnership and Welsh Government for their opinion on strategic fit and potential duplication. • Several applications were rejected on the basis that they did not meet significant gateway criteria, for example, not meeting the minimum project value or implementing activity beyond the programme end date. • The Economic Recovery Group met in March 2023 to consider the project assessments and to recommend projects for refusal or further development. • The Chief Officer for Planning, Environment & Economy and Cabinet Member for Climate Change and Economy also then met in March to consider the recommendations of the Economy Recovery Group and to agree which projects should be rejected and which ones should be invited to submit a Stage Two application

	• As a result of the process 31 projects (14 Flintshire only, 17 regional) were shortlisted requesting a total value of just under £16 million of SPF funding. Appendix 2 lists the unsuccessful projects.
1.10	Stage Two • All projects were given 30 days to submit their Stage Two applications following notification of success at Stage One. Projects covering more than one county needed to wait for Stage One decisions from all counties in North Wales before they could be invited into Stage Two. • Some regional projects were unable to proceed because too few counties supported them at Stage One for them to be operational and/or eligible. One regional project opted to become a Flintshire-only project. • Applicants were encouraged to reduce the value of their SPF requirements to help the limited budget stretch to more projects and many applicants proactively did this. • The assessment process and criteria were similar to those for Stage One. Projects were considered in more detail in three tranches. The key areas for appraisal were project impact, project risk, value for money and management / governance / exit strategy. • For private sector and third sector applicants a more comprehensive due diligence exercise was undertaken including a review of insurance policies, governance documents and structures. In addition, two years' accounts were appraised by FCC Finance to provide an indicator of risk. None of the applicant organisations were identified as being a likely risk. • Initial feedback was provided to applicants on technical issues, such as key information or documentation missing, inaccuracies with spreadsheet numbers, costings, targets etc and applicants were given the opportunity to respond within a few days • The appraisal of projects was based solely on the content of the application and the responses provided to key questions. Even where the assessment team had a thorough knowledge of the project sponsor or the project proposed, assumptions on the merits of the project or the organisation's capability were not made or taken into consideration. • The Economic Recovery Group met three times to consider the Stage 2 assessments, scoring and proposed budget allocation. The Chief Officer for Planning, Environment & Economy and Cabinet Member for Climate Change and Economy also met three times to consider the recommendations of the Economy Recovery Group and to agree which projects should be approved. • As a result of the process, 23 projects (14 Flintshire only, 9 regional) were approved requesting a total value of just over £11 million of SPF funding. Appendix 2 lists the unsuccessful projects.
1.11	The Council submitted its approval decisions and project assurance to the regional administrative body who undertook further checks on applications. The regional administrative body has now issued SPF Grant Funding

	Agreements to each project sponsor and, in most cases, delivery is already underway.
	The SPF programme in Flintshire
1.12	A summary of the projects approved for operation in Flintshire is appended (Appendix 1). The project sponsors' sectors are shown below.

Organisation Type	Number of projects
College/University	8
Local authority	5
Public Body	2
Private not for profit	2
Voluntary organisation	2
Social enterprise/cooperative	1
Community group	1
Charity	1
Private for profit	1
TOTAL	**23**

1.13	The allocation of funding against the indicative profile provided in the Regional Investment Strategy is shown below.

Theme	Indicative profile	Allocated	Balance
Communities and Place	£5,097,808	£3,243,874	£1,853,934
Supporting Local Business	£2,532,996	£2,810,331	-£277,334
People and Skills	£3,459,856	4,312,720	-£852,864
Total core programme	**£11,090,660**	**£10,366,925**	**£723,735**
Multiply	**£1,578,666**	**£865,122**	**£713,544**

The Council, in allocating any the residual SPF funding, will need to give priority where possible to activities which contribute to the Communities and Place theme as this is currently under-resourced compared to the original indicative profile.

1.14	A summary of the outputs to be delivered by the approved SPF projects in Flintshire is shown below.

Number of enterprises receiving non-financial support	**457**
Number of enterprises receiving grants	**151**
Number of people supported to access basic skills courses	**123**
Number of people supported to participate in education	**650**
Number of people attending training sessions	**1983**

Number of people participating in Multiply funded courses	**165**
Number of people supported to engage in life skills	**1535**
Number of people supported to gain a qualification	**898**
Number of volunteering opportunities supported	**825**
Number of organisations receiving non-financial support	**60**
Number of organisations receiving grants	**52**
Number of commercial buildings completed or improved	**20**
Amount of green or blue space created or improved (sq m2)	**280224**
Number of amenities/facilities created or improved	**38**
Number of Tourism, Culture or Heritage assets created or improved	**49**
Number of local events or activities supported	**69**
Number of feasibility studies developed as a result of support	**21**

1.15	Project sponsors will each be in a contractual arrangement with the regional administrative body who will process their claims for payment and will monitor their delivery in line with the project application. In addition, each Council will support those projects operating in their area to maximise their chances of success and ensure their work dovetails with wider provision. Local Councils will also monitor progress to get the earliest possible warning if projects face risks to delivery or if they cannot use their full funding allocation.
	Delivering the remainder of the Shared Prosperity Fund programme
1.16	There is £723,735 unallocated in the core SPF programme and a further £713,544 unallocated within Multiply. In addition, due to the very short duration of the programme there is a risk that projects will not be able to fully achieve their planning activities and expenditure before the programme closes which would leave the Council with funding to reallocate very late in the programme lifespan.

The UK Government guidance allows the Council to allocate SPF funding through three mechanisms:
1. Open call for proposals – this is now complete and there is no time to repeat the exercise. The Council is also able, through the regional administrative body, to allocate further funding to existing approved projects
2. Direct delivery by the Council
3. Direct commissioning by the Council |
| 1.17 | The Council will need to be very responsive to changes in project performance and to decisions by UK Government about the use of funding to ensure that the unallocated funding in the SPF programme is used effectively. It is therefore proposed that delegated authority is given to the Chief Officer (Planning, Environment and Economy) and Cabinet Member for Climate Change and Economy to establish processes to proactively manage any unallocated funds in line with the UK Government guidance above and in consultation with the regional administrative body. |
| 1.18 | It is anticipated that this could include: |

	- Deallocation – the Council and the regional administrative body will closely monitor projects and will encourage project sponsors to decommit money from their projects where they do not have a clear plan to spend all of it. This will enable it to be reallocated to other activities on a timely basis. - Allocate additional money – if projects are overachieving compared to their original applications and could achieve more with additional money then this could be allocated to them. - Managing risks – if projects are facing overspends or cost over-runs due to circumstances outside of their control then additional money could be allocated to them to enable the project to still be delivered and its outputs achieved. - New activities – new activities could be delivered or commissioned by the Council that contribute to the programme priorities (above). This would be subject to ratification by the Economic Recovery Group and approval by the regional administrative body.
1.19	The delegated authority would also include the establishment of processes to consider and approve change requests by project sponsors, in liaison with the regional administrative body.
1.20	Reports will be brought to Cabinet and to Scrutiny Committee on a six monthly cycle to highlight the allocation and expenditure of the programme, progress towards achieving targets and any significant risks and issues arising.

2.00	**RESOURCE IMPLICATIONS**
2.01	Four percent of the value of the programme can be drawn down by the regional lead body for programme governance, administration and monitoring and evaluation. Funds can be allocated from this sum to each local authority to cover programme management costs so the programme should not present an additional burden to Council finances.
2.02	Match funding is not required by UK Government for the SPF programme. The Council therefore does not face any additional financial pressures from the delivery of the programme.

3.00	**IMPACT ASSESSMENT AND RISK MANAGEMENT**
3.01	**Ways of Working (Sustainable Development) Principles Impact**

Long-term	The Council has prioritised projects that can demonstrate an impact beyond the two and a half year duration of the programme.
Prevention	The Council has prioritised projects that can demonstrate that they address underlying issues rather than merely tackling their symptoms.
Integration	The Council held consultation on the priorities for

	Collaboration	the programme. The Council established open calls for proposals so that a wide range of organisations could contribute to the delivery of the priorities. The Council used the existing multi-sector Economic Recovery Group to provide oversight of the programme and link it to wider programmes and initiatives.
	Involvement	
		The Council prioritised projects that could demonstrate that they were integrated into wider local partnerships and programmes rather than established solely for the purpose of securing funding from this programme.

Well-being Goals Impact

Prosperous Wales	The Council asked projects to set out how they could contribute towards the Well-being Goals.
Resilient Wales	
Healthier Wales	
More equal Wales	
Cohesive Wales	
Vibrant Wales	
Globally responsible Wales	

Risk management

Risk	Mitigation
Short timescale for delivery leading to money not being spent	The report sets out how the Council will proactively manage the funding to ensure that underspends are minimised as far as practicable.

4.00	CONSULTATIONS REQUIRED/CARRIED OUT
4.01	Consultation events were held with stakeholders in May 2022 as part of the development of the regional investment strategy. The Council met again with consultees in October 2022 to provide an update on the development of the programme and raise awareness of forthcoming funding opportunities.

5.00	APPENDICES
5.01	Appendix 1 Flintshire SPF projects Appendix 2 Projects not awarded SPF funding

6.00	**LIST OF ACCESSIBLE BACKGROUND DOCUMENTS**
6.01	UK Government Shared Prosperity Fund prospectus https://www.gov.uk/government/publications/uk-shared-prosperity-fund-prospectus/uk-shared-prosperity-fund-prospectus

7.00	**CONTACT OFFICER DETAILS**
7.01	**Contact Officer:** Niall Waller Enterprise and Regeneration Manager **Telephone:** 01352 702137 **E-mail:** niall.waller@flintshire.gov.uk

8.00	**GLOSSARY OF TERMS**
	Match funding – money provided by a project applicant towards the costs of delivering their project. Multiply – a mandatory element of the Shared Prosperity Fund programme to tackle adult numeracy. Regional administrative body – the lead local authority for North Wales (Gwynedd County Council) who will administer the programme on behalf of the region under a formal agreement between the six authorities. Regional Investment Strategy – a high level strategy produced for UK Government indicating how the SPF programme will be delivered in North Wales Shared Prosperity Fund – a funding programme from UK Government operating over the 2022-2025 financial years "to build pride in place and increase life chances".

Appendix 1
Flintshire Shared Prosperity Fund projects
November 2023

Flintshire only projects

Accelerating Decarbonisation and Productivity through Technology and Skills (ADAPTS)
Supporting Local Business
£811,083 SPF
ADAPTS is a business intervention program that will provide Flintshire manufacturers with unparalleled access to advanced manufacturing technology engineers and demonstrators, knowledge transfer, training and upskilling in digital and decarbonisation strategies.
AMRC Cymru are the primary deliverer of the support, alongside partners in Small World Consulting & College Cambria.

Flintshire Sustainable Decarbonised Future (FAST)
Supporting Local Business
£623,322 SPF
The FAST project aims to not only legally incorporate the already-established decarbonisation forum, but also targets the development of a bespoke deliverable roadmap which informs and empowers all sectors to catalyse and accelerate the transition to Net Zero. This project will deliver on a number of key areas with immediate and visible primary benefits. ARMC Cymru is Project Lead with the project managed through a cross-sector, multi organisation management board.

The Flintshire Fund
Supporting Local Business
£297,294 SPF, £37,500 match funding
The project proposal is the provision and management of 3 grant funds to provide first stage support. Antur Cymru is the Lead Partner, and the grants are designed to support businesses to take their first steps on the zero carbon and R and D journeys and to provide funding to support local business networks which provide peer to peer support and information sharing and will add value to the business grants by both providing peer to peer support.

Flintshire Green Digital Academy
Supporting Local Business
£273,867 SPF
This project expands the highly successful Green Digital Academy UKCRF pilot project to businesses in Flintshire. It provides expert evaluation and mentoring support to SMEs to improve their Digital and Net Zero capabilities in line with their core business strategy, supporting businesses to accelerate efficiency, productivity, carbon reduction and to reduce costs. Activities will be delivered and led by Grwp Llandrillo Menai (GLLM)

Supporting Tourism and Sector Key Fund
Supporting Local Business
£679,000 SPF, £195 match funding
The project will be delivered by Cadwyn Clwyd and deliver across Flintshire with particular focus on the tourism and experience economy (as defined in the North Wales Economic Framework), the project will contribute towards the Levelling Up agenda in boosting productivity, pay, jobs

and living standards by growing the private sector, especially in those places where they are lagging.

Town Centre Investment Programme
Community and Place
£1,178,452 SPF, £630,311 match funding
The proposed programme comprises 8 projects that will be delivered by Flintshire County Council and implemented across 7 town centres/ adjacent communities. Projects consist of Town Centre Property Investment Grant Scheme, Development of projects for future investment, Investment in Green Spaces, Employment of Promotion and Engagement Officer for Town Centre Markets Team, Town Centre Events & Activities Grant Scheme, Place Making Plan Development, Tailored Business Support Provision, and Communications & PR Project. In addition to the programme of 8 above projects there is an external evaluation of the programme.

Connecting to Coast and Countryside
Community and Place
£335,040 SPF, £18,500 match funding
Flintshire County Council will focus on connecting people to our coast and countryside, and our cultural & heritage assets by delivering two main areas of interventions.
1. Building foundations for an accessible Coast Park in Flintshire which celebrates the natural environment and heritage of our Welsh coast
2. Improving the visibility of our assets through implementing a programme of new & upgraded tourist and boundary sign packages for sites of cultural, heritage & natural significance and to develop use of open spaces along the Dee Coastline.

Greenfield Valley Heritage Park Improvement Programme
Community and Place
£597,500 SPF, £33,000 match funding
This project constitutes a programme of nine related revenue projects which have been identified as key building blocks and enablers to the delivery of the 10-year strategy for the Greenfield Valley. The programme will be delivered by Greenfield Valley Trust with the dual aims of providing important benefits for the local community and visitors in the short term, whilst also facilitating progress on the Strategy's longer term overall objectives by doing the groundwork to enable larger scale investment, (particularly capital investment) in future years.

Flintshire Community Key Fund
Community and Place
£703,850 SPF
The project will be delivered across the whole of Flintshire by Cadwyn Clwyd and Flintshire Local Voluntary Council (FLVC) with particular emphasis on local communities and grass roots services within Flintshire. The project will support community led and / or community owned venues / facilities / spaces / groups to develop, strengthen and enhance community infrastructure and community-based projects.

LEAP (Learn Explore, Achieve, Perform)
People and Skills
£913,847 SPF
Flintshire County Council will deliver a wide number of education services and interventions that will be tailored to individual needs. The project seeks to improve the life chances of Flintshire residents through the provision of new education support packages not currently available. The needs of our

children and our more vulnerable adult population have changed greatly since Covid, and this programme will allow the authority to provide a comprehensive package to support children and adults into a positive outcome.

Project 11
People and Skills
£497,392 SPF
Flintshire Youth Justice Services will lead a multi-agency and multi-modal approach to reducing exploitation, violence and organised crime in order to create safe neighbourhoods. The project will provide specialist targeted 1:1 intervention and community outreach as well as responding to community profile information to support, deter and promote positive engagement and purposeful activity/skills development / volunteering for those engaging or at risk of criminal activity / Exploitation in our communities. The project will promote peer mentoring, diversionary activities and re-engagement in positive opportunities including education, training, sport and employment.

Minding the Gaps of the Young People in Flintshire
People and Skills
£562,600 SPF, £50,000 match funding
WeMindTheGap will deliver pathway of programmes to support a gap in engagement provision to meet the post covid needs of young people aged 16 – 25. From working in community and digitally to demonstrate a clear demand for a pathway of programmes designed to meet the needs of the post covid generation. Starting with digital, moving to employability programmes, and finally an alumni family to create a unique continuum of opportunities and support.

Camau Cefnogol – Supportive Steps
People and Skills
£767,381 SPF
To be delivered by Coleg Cambria Supportive Steps will provide a bespoke package of mentoring support for participants aged 16-25 transitioning into Further Education, who require additional help, supporting their learning journey through college utilising progression routes into potential employment. The project seeks to achieve a reduction in the number of learners dropping out of FE and becoming NEET.

Strength in Numbers
Multiply
£640,400 SPF
The Strength in Numbers project will be delivered by Flintshire County Council and deliver targeted interventions and provision to start adult learners on their numeracy journey, develop learners' numeracy skills, offer creative and personalised programmes of study with accreditation, promote the importance of numeracy and establish a robust numeracy workforce. The Project will offer free, flexible opportunities for adults aged 19 or over to improve their numeracy skills and gain a qualification.

Regional projects

Employer Skills North Wales/Sgiliau Cyflogwyr Gogledd Cymru
People and Skills
£1,840,398 Total SPF, £975,893 Flintshire SPF
As project partners Coleg Cambria and Grwp LLandrillo Menai will support employers in identifying and meeting training needs and skills gaps to achieve future growth and strategic objectives within

their business. The project will ensure that employers can access support for the skills that will help their business and allow their employees to develop additional skills. This will increase the skills base of the local economy.

Working Sense
People and Skills
£437,786 Total SPF, £143,578 Flintshire SPF
Working Sense is a project that will be delivered by Centre of Sign-Sight-Sound to enhance the employability of people over 25 with a sensory loss or disability, by providing specialist support to enable the target group to enter/re-enter and remain in employment or move closer towards employment using a holistic one to one approach utilising Employment Advisors and Support Workers.

North Wales Active, Happy and Healthy
Community and Place
£521,805 Total SPF, £134,000 Flintshire SPF
Gogledd Cymru Actif North Wales will develop and build capacity, skills, resilience, and confidence in the communities that need the support most and have most to gain from this bespoke support. The aim is to build and enable social capital, encouraging local people to take part in opportunities to develop their community (civic participation) and give them the tools and power (and create local capacity) to drive and sustain the change and improvements in their local area (citizen power) that allow and enable them to active every day in a way that works for them.

North Wales Growth Vision Opportunities
Community and Place
£1,057,713 Total SPF, £211,543 Flintshire SPF
Ambition North Wales the project aims to maximise the benefits and opportunities to residents, businesses, and communities across North Wales through investments aligned to the Growth Vision including the North Wales Growth Deal. The project will empower local leaders by increasing the capability and capacity to deliver growth-led projects.

Horticulture Wales
Community and Place
£308,750 Total SPF, £135,451 Flintshire SPF, £37,848 match funding
Wrexham University Horticulture Wales (North East) builds on the successful all-Wales EU-funded Horticulture Wales project through the SPF Community and Place investment priority. It will continue to deliver increases in productivity, profitability, collaboration and resilience in the horticulture sector based in Denbighshire and Flintshire. By facilitating cluster member collaboration and blending latest growing technology and knowledge with traditional methods, the project will work with local SMEs, Community Interest Companies and schools across the two Local Authorities.

Caru Cymru
Community and Place
£502,974 Total SPF, £103,946 Flintshire SPF, £91,137 match funding
Keep Wales Tidy (KWT) will deliver a range of tried and tested activities to create and support a number of volunteer roles and opportunities, including litter champions/litter hub managers, it will establish new community groups to take local action and set up litter free zones for schools and businesses.

The Regional Innovation and Skills Network

Supporting Local Business
£447,438 Total SPF, £99,986 Flintshire SPF, £147,480 match funding
The North East Wales Innovation and Skills Network project builds on Wrexham University's (WU) existing Ladder of Innovation business engagement programme by enhancing participation in Knowledge Transfer activities. Through this proposal, up to five additional **Knowledge Transfer Vouchers** worth £500 each will be available to businesses in the counties of Denbighshire, Flintshire and Wrexham as a contribution towards collaborative R&D activities, pilot studies, proof of concept activities, etc.

Skills Innovation Voucher Scheme
Supporting Local Business
£360,000 Total SPF, £76,000 Flintshire SPF
The Skills and Innovation Voucher (SIV) scheme delivered by Bangor University will support small or medium-sized business (SMEs) and graduate entrepreneurs in the counties of Gwynedd, Isle of Anglesey and Flintshire to access Bangor University expertise, facilities, skills and talent relevant to their research and development (R&D), innovation and skills needs. This project has been designed to help businesses take that first step with accessing University expertise, facilities and talent.

Multiply (North Wales Training)
Multiply
£599,260, £224,722 Flintshire SPF
North Wales Training will be working in partnership with Achieve More Training to deliver a 'Numeracy for Life' Programme for employed and unemployed residents of Wrexham and Flintshire designed to provide flexible courses, digital learning, and personal tutoring to support people to transform their lives by improving their daily numeracy skills. Numeracy for Life will be delivered via an online platform, e Assessor Pro which allows multiple choice, self-marking quizzes, self-reflection activities, and non-linear games providing learners with a rounded online learning experience.

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Appendix 2

Flintshire Shared Prosperity Fund - Projects applications submitted but not awarded Flintshire funding

November 2023

Project Sponsor	Project Title	Theme
Projects not selected at Stage One		
TGP Cymru (Tros Gynnal Plant)	Sgiliau	People and skills
Deeside Business Forum	Business and Employment Advice Hub.	People and skills
Resource Denbighshire CIC	Cyrraedd Reach	People and skills
RCS (Rhyl City Strategy)	Thrive	People and skills
Menter a Busnes	Cronfa Cynaladwyedd a Datgarboneiddio	Supporting local business
Menter a Busnes	Rhaglen Arweinyddiaeth Cymunedol	Supporting local business
RCS (Rhyl City Strategy)	iCAN Work	People and skills
Programus Limited (trading as bubltown)	North Wales' Digital Places: powered by bubltown's global award-winning business support & community success platform	Supporting local business
Check Communications Limited	THRIVE - Technical Help, Resources, Investment, Value and Education for Digital Transformation in North Wales	Supporting local business
Bangor University	North Wales Skills for leadership, digital futures and the Freeport Economy	People and skills
The Wallich	Steps to Progress	People and skills
Cwmpas	Specialist Support for Social Enterprises in North Wales	Supporting local business
Small Woods – Coed Lleol	Connecting People, Nature and Place	Community and place
Into Film	Screenworks Cymru	People and skills
Innovation Strategy	Innovation Net Zero	Supporting local business
North Wales Mersey Dee Business Council	Net Zero North Wales Network	Supporting local business
BIC Innovation	P4RP (Productivity for Resilience Programme	Supporting local business
The Wales Council For Voluntary Action	Social Business Investment Readiness Fund	Community and place
The Royal Mencap Society (Mencap)	Changing Places – Changing Lives/ Lleoedd Newid – Newid Bywydau	Community and place
NDNA Cymru	Childcare Works – delivering Early Years training and paid employment opportunities	People and skills
The Little Learning Company	North East Wales Heritage Skills Partnership	People and skills
Warm Wales	Warm Wales- Supporting Communities	Community and place
Ramblers Cymru	Ramblers Community Outeach (North Wales)	Community and place
Volunteer It Yourself CIC	Volunteer It Yourself (VIY for short)	Community and place
Mike Ford (Pen-y-Lan Pork)	Pen-y-Lan pork Growth Plan	Supporting local business
The Inclusion Curriculum Ltd	The Inclusion Curriculum	Supporting local business
Discount Concrete Garages Ltd	Patent Granted New Concrete Resin Finishes	People and skills
ACS Air Conditioning	ACS Fly Forward	Supporting local business

Enbarr Foundation CIC	Beacon Of HOPE - Building tomorrows world	People and skills
The Circular Economy Developments Ltd (TCE)	Deeside Waste-to-Fuel/Energy Plant	Supporting local business
Polish Integration Support Centre	Bridge of Hope	Multiply
HOLYWELL LEISURE CENTRE/CANOLFAN HAMDDEN TREFFYNNON	Health Suite	Community and place
Aura Leisure and Libraries Limited	Aura - Improving Access to Physical Activity Opportunities and Tackling Health Inequalities	Community and place
Cardiff Metropolitan University	Leading and Growing Businesses	Supporting local business
North Wales Tourism	Regional Marketing - North Wales	Supporting local business
Flintshire County Council	Community Support Model - Cost of Living Crisis	Community and place
Flintshire County Council, Early Intervention Service.	Early Intervention Community Team (EICT)	People and skills
Business in Focus	Focus Futures	Supporting local business
BIC Innovation	Support2Xport (International Trade Business Support Service)	Supporting local business
Business in Focus	Grant Management Service	Supporting local business
Beam Up Ltd	Beam	People and skills
APCYMRU LIMITED (MPCT)	Numeracy for Life	Multiply
The Little Learning Company Limited	Counting Up - Wrexham and Flintshire	Multiply
1st Mynydd Isa Scout Group	Scout HQ / Argoed Sports and Social Complex development plan	Community and place
Business in Focus	Focus Futures- Community engagement and early stage business support	Supporting local business
Rebel Business School	Business Bootcamp	Supporting local business
Menter a Busnes	Arloesedd Trwy Dysgu Gweithredol	Supporting local business
Adferiad Recovery	ENGAGE – North Wales Social Enterprise Development	Supporting local business
Jones Bros Civil Engineering Uk	Plant Operator Training Scheme	People and skills
Menter a Busnes	Adfywio'r Stryd Fawr	Supporting local business
North Wales Police and Community Trust (PACT)	Safer Communities Grants Fund	Community and place
Rewise Learning	Tune Into Your Potential North Wales	People and skills
Haywire Theatre	How To Feed A Town: A Community Co-Produced Play	Community and place
Llangollen International Musical Eisteddfod	Llangollen International Musical Eisteddfod Recovery and Growth Plan	Community and place
Maybe Solutions Limited	Maybe* - North Wales Business Support	Supporting local business
Jones Bros Civil Engineering Uk	External Plant Operator Training Scheme	People and skills
Projects selected at Stage One but insufficient regional interest to continue		
Litegreen Ltd and Pathway to Carbon Zero Ltd	SME Decarbonisation North Wales Partnership	Supporting local business
Engineering Education Scheme Wales	Transforming Young Minds	People and skills
Chwarae Teg	North Wales Women's Leadership Programme	People and skills

Social Farms and Gardens/ Ffermydd a Gerddi Cymdeithasol	Tyfu Pobl	Community and place
Menai Science Park Ltd T/A M-SParc	Igniting Innovation // Tanio Arloesedd	Supporting local business
Projects not selected at Stage Two		
Flintshire County Council	Y Maes - The Field	Community and place
North Wales Police and Community Trust (PACT)	Justice in a Day Programme	Community and place
Well-Fed (Services) Ltd	Well-Fed Kitchen Expansion	Community and place

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Cyngor Sir y Fflint Flintshire COUNTY COUNCIL

ENVIRONMENT AND ECONOMY OVERVIEW AND SCRUTINY COMMITTEE	

Date of Meeting	Tuesday 14th Nov 2023
Report Subject	Council Carbon Footprint Update 2022/23
Cabinet Member	Collective Responsibility
Report Author	Chief Officer (Planning, Environment & Economy)
Type of Report	Operational

EXECUTIVE SUMMARY

The Council calculates its carbon footprint annually to measure the quantity of greenhouse gas emissions it is responsible for to monitor and direct decarbonisation efforts towards Net Zero Carbon by 2030. In September 2023, the calculation for the period 1st April 2022 – 31st March 2023 was completed and submitted to Welsh Government.

The Carbon Emission Update 2022/23 presents the results of the 2022/23 calculation while comparing them against figures from the Council's baseline year of 2018/19, in this case showing a reduction of greenhouse gas emissions in 2022/23.

The report also provides explanation as to why emissions have changed, as well as noting any improvements or difficulties relating to the data and methodology. The end of the report concludes with a brief recommendation to investigate the use of digital technologies such as Microsoft Power BI to improve data quality for greater emissions management and reduce the time staff spend collecting the data and also key considerations for the Climate Change Strategy review in 2024/25, in particular baseline emissions and targets for Supply Chain and targets for Mobility & Transport

RECOMMENDATIONS	
1	To note the contents of the report, and supports the progress made in the past year to improve data collection for the Council's carbon footprint.

REPORT DETAILS

1.00	EXPLAINING THE REPORT
1.01	**Background** The Carbon Footprint Update 2022/23 presents the results of the Council's 2022/23 emissions calculation, compares them against the figures from the Council's baseline year of 2018/19 and provides explanations for any changes seen as well as commenting on the work itself.
1.02	**Purpose** The Council calculates its carbon footprint annually to measure the quantity of greenhouse gas emissions it is responsible for to monitor and direct decarbonisation efforts towards Net Zero Carbon by 2030. In September 2023, the calculation for the period 1st April 2022 – 31st March 2023 was completed and submitted to Welsh Government.
1.03	Total carbon emissions for the period 2022/23 were 32,328 tCO$_2$e, a 30.4% decrease in emissions compared to the 2018/19 baseline. These reductions are mostly due to a decrease in emissions from Procurement; 34.5% lower than the 2018/19 baseline. Additionally, Buildings, and Mobility and Transport, saw reductions of 27.8% and 17.9% respectively.
1.04	There remain significant limitations with some of the methodology used, most significantly relating to emissions from Procurement which remains based on the value of spend. However, Welsh Government have updated the emission factors for each of the spend categories. The previous emission factors were calculated by the Centre for Sustainable Accounting last updated in 2011. The new emission factors were calculated by University of Leeds and are better reflective of the current economy. This has demonstrated an average 32%

	reduction across the spend categories resulting in the reduced carbon emissions from procurement. This gives the impression that we have actively reduced our emissions from supply chain beyond our 2024/25 target, however, the column labelled '22-23 Spend w.2011 EF' in the Section 1.03 graph demonstrates this is not the case by applying the 2011 supply chain emission factors to 2022/23 spend data. Supply chain emissions in 2022/23 with the new emission factors are 18,894 tCO2e, however, if emission factors from 2011 had remained, then supply chain emissions would have been 30,838 tCO2e. This would have resulted in a total 2022/23 carbon footprint of 44,183 tCO2e, which is still a reduction on the 2018/19 baseline by 4.8% due to reductions achieved elsewhere, but much less than the 30.4% seen. Utilising spend value as a means to calculate emissions is still an inaccurate measurement of the real emissions from our supply chain and therefore we must not take this as a reason to discontinue focussing on reducing actual emissions from our supply chain. On the contrary, the targets within each key theme will be reviewed and considered within the Strategy's full review in 2024/25 to ensure we are aiming for ambitious but achievable targets towards net zero carbon. We will move away from the calculation methodology of emissions associated with spend value by working with our suppliers to better understand the emissions associated with the individual contracts we procure. This work will now be accelerated following the recruitment of a Joint Procurement Business Partner for Decarbonisation in Sept 2023 – part funded by Flintshire Council and part funded by Denbighshire Council.
1.05	There have been improvements in methodology for other emission sources thanks to the availability of more reliable data. In terms of Business mileage, 67% of miles claimed by staff now state the car size. This data allows us to use a more specific emission factor for each car size and fuel type (as for example a large diesel engine will generate more emissions than a small petrol engine). Prior to capturing this data we had to use an emission factor for an 'average car' which is an average of all car size types and therefore could have been either over or underestimating our emissions from business travel. This more accurate data is expected to improve further as more staff have access to online recording. Water data has also improved for the 2022/23 period where we are now able to utilise a higher-tier methodology with a lower standard of deviation based on actual water consumption figures. Prior to this period, we were calculating our water usage based on invoice amounts and then converting this into m^3 usage based on that year's standard volume charge (£/m^3). For 2022/23, actual meter reads were used for 76% of total water consumption. In November 2023 we will be launching an employee travel survey that will help us to gain a better understanding of how and how often our employees are travelling into their places of work. This will help us to

	better determine the carbon emissions from employee commuting and home working. These emission data sets were highlighted in the 2021/22 report as areas for improvement, so it is encouraging to see the progress made to ensure we have a clearer understanding and accuracy over our carbon emissions.
1.06	Other headline figures are also provided in the update; 2022/23 Emissions v 2018/19 Baseline Year and Targets - Building emissions have reduced 27.8% since 2018/19, aiming for a 35% reduction by 2024/25. - Mobility and Transport emissions have reduced 17.9% since 2018/19, aiming for a 50% reduction by 2024/25. - Procurement emissions have reduced 34.5% since 2018/19, aiming for a 30% reduction by 2024/25. 2022/23 Emissions v 2021/22 Emissions - Building emissions: Reduced 8.4% (with a 9% YOY target) - Mobility and Transport emissions: Increased 0.2% (with a 9% YOY target) - Procurement emissions: Reduced 41.5% (with an 8% YOY target) Land-use Emissions - Our land is estimated to have removed 1,513 tCO2e - This figure continues to use our baseline methodology and noting any substantial land changes for the year. - Welsh Government are developing an improved methodology to better account for our land assets so that we can ensure this data is accurate and better reflects the assets that we have within Flintshire both as an emitter and captor of carbon. Renewable Energy Generation - Total generation from renewables increased by 15% from the 2021/22 period with 3,522,138 kWh generated. - This improvement is due to investments in solar generation, with both roof-mounted and ground-mounted increasing generation by 9% and 60% respectively. This reflects the generation from the new solar farms at Flint former landfill and Crumps Yard, Connah's Quay. - Renewable generation from Wind and Landfill Gas reduced in this period by 10% and 76% respectively, mostly due to lower wind speeds and maintenance regimes.
1.07	Data collection for certain emission sources still requires improvement for future calculations, whether to improve methodology used to increase

accuracy, provide greater detail or reduce the burden on staff. Work is already underway to improve data for business travel, employee commuting and homeworking, as well as a new officer to address emissions from procurement.

The use of Microsoft Power BI will be investigated to discover how data requests and manual collection can be minimised to reduce demand on staff resource.

With the review of the Council's Climate Change Strategy due in 2024/25, a number of items in need of particular consideration have been identified and are detailed below.

- Review of the Baseline and interim emissions target for supply chain as knowledge to decarbonise improves and methodology is updated;
- Update of the total 2018/19 baseline emissions figure following updates to supply chain baseline;
- Review of the interim emissions target for Mobility & Transport following greater understanding of barriers at Alltami Depot to decarbonise fleet and improvements to staff commute methodology

2.00	RESOURCE IMPLICATIONS
2.01	Staff time and collaboration with other Council departments (e.g., IT) to identify digital tools to streamline the collection of raw data (e.g., electricity use in buildings).
2.02	Some costs may be involved if a suitable digital tool is identified, but it is currently not clear whether that would be the case or how much.

3.00	CONSULTATIONS REQUIRED / CARRIED OUT
3.01	Not Required/ None

4.00	RISK MANAGEMENT
4.01	There are risks when calculating carbon emissions that the quality or lack of raw data or the way in which it is processed and reported may reduce reliability through error or availability. To address this risk, the Climate Change team review the work in detail and is supported by neighbouring local authorities through peer review.

Regarding the Carbon Emissions Update 2022/23 report, risks are considered low but issues such as poor use of terminology or presentation of data creating confusion or misunderstandings. To address this, language is carefully considered and a glossary at the end of the report is provided. Data is presented in simple tables and detailed further where it is felt useful for the reader. |

4.02	**Ways of Working (Sustainable Development) Principles Impact**	
	Long-term	Positive: Climate Change Committee will be informed of the council's progress towards Net Zero Carbon by 2030 as well as successes and barriers involve. In doing so, Climate Change Committee will be informed enough to advise and support on potential solutions to barriers identified.
	Prevention	Positive: The update will inform of emissions that have been prevented in the reporting year and how future emissions can be prevented by addressing issues identified.
	Integration	Positive: The Carbon Emission Update 2022/23 forms part of the carbon emission calculation, decarbonisation and reporting process, which in turn integrates with the following priorities under the Council Plan; Green Council, Ambitious Council and Supportive Council. It integrates with the public service board objectives in the Environment priority of the Wellbeing Plan as well as the Smart Access to Energy project in the North Wales Growth Deal. It also integrates with the Environment (Wales) Act 2016 and Welsh Government's decarbonisation of the public sector agenda.
	Collaboration	Positive: The update recommends investigating how digital technology can support the data collection process, thus requiring the support of other council departments such as IT. Additionally, other local authorities may already have solutions to this matter, thus presenting opportunities to learn and progress.
	Involvement	Positive: The update highlights the need to improve data quality such

		as staff commute miles. In this example it will require staff to provide information relating to how they travel to work and presents further opportunities to collect additional insights to support decarbonisation.
4.03	**Well-being Goals Impact**	
	Prosperous Wales	Positive: Decarbonising the council brings benefits of reduced energy costs, increased generation from renewables and greater control of activities through improved monitoring.
	Resilient Wales	Positive: Resilience can be increased through reduced energy demand and reliance on fossil fuels. Through the monitoring of emissions and data quality, we can improve decarbonisation strategies and target areas which are less resilient than others.
	Healthier Wales	Positive: Realising progress towards Net Zero Carbon 2030 goals promotes positivity towards climate change helping to address related issues such as climate anxiety and stress. Addressing emissions from the local area (e.g., transport) will also benefit people's physical health.
	More equal Wales	Neutral: No impact identified.
	Cohesive Wales	Neutral: No impact identified.
	Vibrant Wales	Neutral: No impact identified
	Globally responsible Wales	Positive: The update reports on how the council is reducing its contribution to global warming through reduced emissions and makes recommendations on how to progress further.

5.00	**APPENDICES**
5.01	**Appendix 1 –** Carbon Footprint Update 22-23

6.00	**LIST OF ACCESSIBLE BACKGROUND DOCUMENTS**

6.01	None

7.00	**OFFICER CONTACT DETAILS**
7.01	**Contact Officer:** Ben Turpin – Climate Change Project Officer **Telephone:** 01352 703393 **E-mail:** ben.turpin@flintshire.gov.uk

8.00	**GLOSSARY OF TERMS**
8.01	**Baseline Year**: The emissions that occurred in the period of 1st April 2018 – 31st March 2019 are what targets are based on and all future carbon emission calculations compared to. **Capital Funding:** Capital funding is usually utilised to acquire or improve a long-term asset such as equipment or buildings. **Carbon emissions**: Used interchangeably with greenhouse gas emissions; meaning emissions of carbon dioxide, methane etc from human and natural activities and sources. Wider greenhouse gas emissions are collectively calculated into a 'carbon dioxide equivalent' displayed as CO2e. **Carbon Footprint**: A measurement of the council's carbon emissions during a defined period of time, given as tonnes of carbon dioxide equivalent (tCO_2e) **Carbon sequestration**: the process involved in carbon capture and the long term storage of atmospheric carbon dioxide. **Decarbonisation –** Reduction of carbon emissions that result from an activity, material or product **Greenhouse Gas/ Carbon emissions**: Emissions of carbon dioxide, methane etc from human and natural activities and sources. Wider greenhouse gas emissions are collectively calculated into a 'carbon dioxide equivalent' displayed as CO_2e. **Methodology**: How the collected raw data used for carbon emission calculations is managed and rated in terms of its reliability. This is governed by Welsh Government. **Microsoft Powe BI**: A collection of software services, apps, and connectors that work together to turn unrelated sources of data into coherent insights. **Net Zero Carbon –** Reduce carbon emissions and balance any that remain with carbon dioxide removal activities. **Raw Data**: The most basic of data units used for carbon emission calculations. Examples include units of energy (kWh of electricity), vehicle type and mileage, tonnes of a particular waste, etc.

	Revenue Funding: is utilised for items that will be used within a year. Examples include salaries, heating, lighting, services and small items of equipment. Routine repairs are revenue expenditures and can include significant repairs that do not extend the life of the asset or do not improve the asset.

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Carbon Emission update 2022/23

Contents

Table of Figures

1 Executive Summary

Flintshire County Council's target is to become net zero carbon by 2030.

In order to gauge progress towards this target, carbon emissions are tracked and reported on an annual basis. By understanding what the sources of carbon emissions are, the Council can formulate strategic priorities to mitigate climate change.

The progress detailed within the report allows us to pinpoint areas where data collection methods need to be improved, focus investment and decision making on areas that are not performing as expected, and review projected forecasts to take us to our 2030 goal.

The methodology used to determine the Council's carbon footprint is based on Welsh Government guidance 'Welsh Public Sector Net Zero Reporting Guide Version 3, 2023'.

Some of the methodology used within this process has already changed year on year since the baseline calculation was made in 2018/19. Introduction of new measures into the calculation can confuse and undermine the progress that the Council is making in its carbon reduction activities. Due to this, this progress report follows the sources of carbon emission as detailed in our in-scope baseline footprint calculations.

The total carbon emissions for 2022/23 before removing carbon offsets from our land was 32,328tCO$_2$e. This is a 30.5% decrease on carbon emissions reported in 2021/22, and 30.4% decrease based on our 2018/19 baseline. These reductions are mostly due to a decrease in emissions from Procurement, 41.5% from the 2021/22 period and 34.5% based on our 2018/19 baseline. The methodology adopted for emissions from procurement remains based on value of spend, therefore an increase in Council spend will reflect an increase in carbon emissions. However, for the 2022/23 period, updated emission factors for each spend category (originally set in 2011 and now using 2019 data) were provided by Welsh Government resulting in an average emission factor decrease of 32% for the goods and services the council purchased.

Carbon emissions from Buildings reduced by 8.4% compared with 2021/22 figures, however, carbon emissions from Mobility and Transport increased by 0.2% due to greater staff commute and business travel. For buildings, this is close to annual reduction targets as detailed in the climate change strategy. Overall, there have been reductions of 27.8% and 17.9% for Buildings and Mobility and Transport respectively based on our 2018/19 baseline.

There remains a need to improve data collection methodologies for some emissions sources so to improve accuracy and detail. With relation to Procurement emissions, progress has been made with the employment of a new Joint Procurement Business Partner – Decarbonisation who is funded by both Flintshire and Denbighshire County Councils and will work to move away from the inaccurate spend-based methodology, allowing the council to have greater influence and control on emission reductions from this source.

Considerations have also been noted to review the baseline emissions and interim targets for Supply Chain following methodology updates, and the interim targets for Mobility and Transport following identification of barriers delaying progress against these targets. These will be addressed within the full Climate Change Strategy review in 2024/25, as described within the strategy.

2 Our Baseline

Everything we do has an effect on the environment we live in; from burning fossil fuels for heating to collecting kerbside waste and recycling. Flintshire County Council reports its carbon footprint to Welsh Government as tonnes of carbon dioxide equivalent (tCO_2e) within its organisational and operational boundaries. This plan relates to the Council's internal operations which are:

- Buildings owned and operated by the Council including offices, depots, schools, community centres, care homes, public conveniences and street lighting. This includes heating, electricity and water use within these facilities.
- Fleet vehicles owned by the Council,
- Business travel for work,
- Employee commuting,
- Procurement of goods and services.

The scope excludes:
- Domestic properties,
- Buildings owned by us that are leased out and operated by third parties,

In order to establish where we are and where we need to be, we first need to look at our baseline figures. In 2018/19 we were able to capture the data set out below. Figure 1 below shows a breakdown of GHG emissions by emission source for 2018/19.[1]

Flintshire County Council's greenhouse gas emissions (tCO2e) for 2018/19

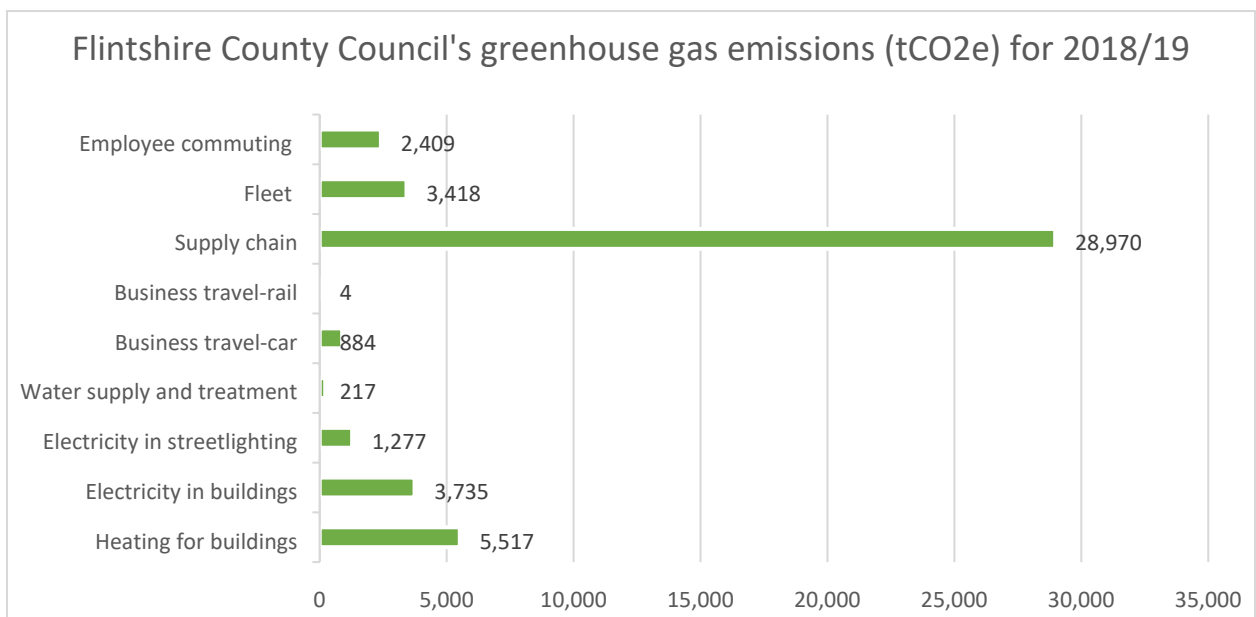| Emission source	tCO2e
Employee commuting	2,409
Fleet	3,418
Supply chain	28,970
Business travel-rail	4
Business travel-car	884
Water supply and treatment	217
Electricity in streetlighting	1,277
Electricity in buildings	3,735
Heating for buildings	5,517

Figure 1: Flintshire County Council's GHG emissions for 2018/19 baseline

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[1] *It should be noted that the data has been collected using the best available methods at that time, and therefore the expectancy is that data accuracy will improve with emerging methodologies.*

As these figures suggest, the biggest contributors to the Council's carbon footprint in 2018/19 were:
- Supply chain; procurement of goods and services: 62%
- Heating for buildings: 12%
- Electricity in buildings: 8%
- Fleet: 7%
- Employee commuting: 5%[2]

The Council produced 1,664 tonnes of waste in 2018/19 from its operations, however all waste collected by the Council, including operational waste, was either recycled or sent to energy from waste plants for incineration when it cannot be recycled. All green waste is composted. Therefore the only carbon emissions related to waste are included in the 'Fleet' data through waste collection vehicles.

Supply chain; procurement of goods and services equates to 62% of our baseline carbon emissions total. The Council understands that there are actions that can be taken to reduce these emissions through decision making processes and supplier engagement, of which the new Procurement Business Partner – Decarbonisation will work towards. However, this figure will only see significant reductions if the appropriate investment, policy and infrastructure is provided and developed by the Government.

From this data we understand that our baseline carbon emissions for 2018/19 were 46,434 tCO2e.

In 2018/19, the Council reported an estimated 1,500 tCO_2e absorbed from its land assets. However, this figure has been estimated based on two specific land types – grassland and woodland/forest – with a common value factor used to determine the absorption of carbon. As yet, no formal baseline figures have been calculated for our land assets to determine more accurate absorption figures and therefore this action is a priority in realizing the true benefits of our land to both carbon sequestration and wider habitat richness.

The 2018/19 carbon absorption total can be removed from our emissions total as a 'carbon offset'. Therefore to meet our net zero carbon goal, the total carbon emitted by the Council, minus the total carbon absorbed from Council owned and operated land, must equal zero by 2030.

In 2018/19 the balance of carbon emissions was 44,934 tCO_2e.

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[2] *Note this data has a high level of inaccuracy due to the calculation methodology used*

3 Carbon Emissions for 2022/23

The Council now has carbon emission data for five financial years as shown in Figure 2 below. The total carbon emissions for 2019/20 saw a 1% reduction on the 2018/19 baseline. The total carbon emissions for 2020/21 saw a 17% reduction on the 2018/19 baseline. The total carbon emissions for 2021/22 saw a 1% increase on the 2018/19 baseline. The total carbon emissions for 2022/23 are 32,328 tCO_2e giving a 30.4% decrease on the 2018/19 baseline with emissions reductions achieved across all sources.

The methodology adopted for calculating our carbon emissions is mandated by Welsh Government. The methodology for calculating carbon emissions from supply chain remains based on the value of spend, meaning if the Council spends more money one year than a previous year (including high inflation), then the consequential emissions may be higher.

However, for the 2022/23 period, updated emission factors for each spend category (originally set in 2011 and now using 2019 data) were provided by Welsh Government resulting in an average emission factor decrease of 32% for the goods and services the council purchased. This is expected to be due to decarbonisation across other sectors and improved accuracy in emission factors.

The result of this demonstrates a reduction in carbon emissions from supply chain beyond our 2024/25 target - however, this is not due to any positive actions the Council has made to decarbonise supply chain, and therefore does not preclude us from prioritising action in this area.

The column titled '22-23 Spend w. 2011 EF' in Figure 2 demonstrates how the council's 2022/23 carbon footprint would look if the 2011 supply chain emission factors had been utilised. Supply chain emissions in 2022/23 using the new emission factors are 18,894 tCO_2e. However, if supply chain emission factors from 2011 had remained, then emissions would have been 30,838 tCO_2e. This would have resulted in a total 2022/23 carbon footprint of 44,183 tCO_2e, which is still a reduction on the 2018/19 baseline by 4.8% due to reductions achieved elsewhere, but much less than the 30.4% seen.

Following 5 years of carbon data, we now have a clearer understanding of our emission sources and the impact we can have in reducing these. The targets within each key theme will be reviewed and considered within the strategy's full review in 2024/25 to ensure we are aiming for ambitious but achievable targets towards net zero carbon.

Over the coming years we will move away from the calculation methodology of emissions associated with spend value by working with our suppliers to better understand the emissions associated with the individual contracts we procure. This work will now be accelerated following the recruitment of a Joint Procurement Business Partner for Decarbonisation in Sept 2023 – part funded by Flintshire Council and part funded by Denbighshire Council.
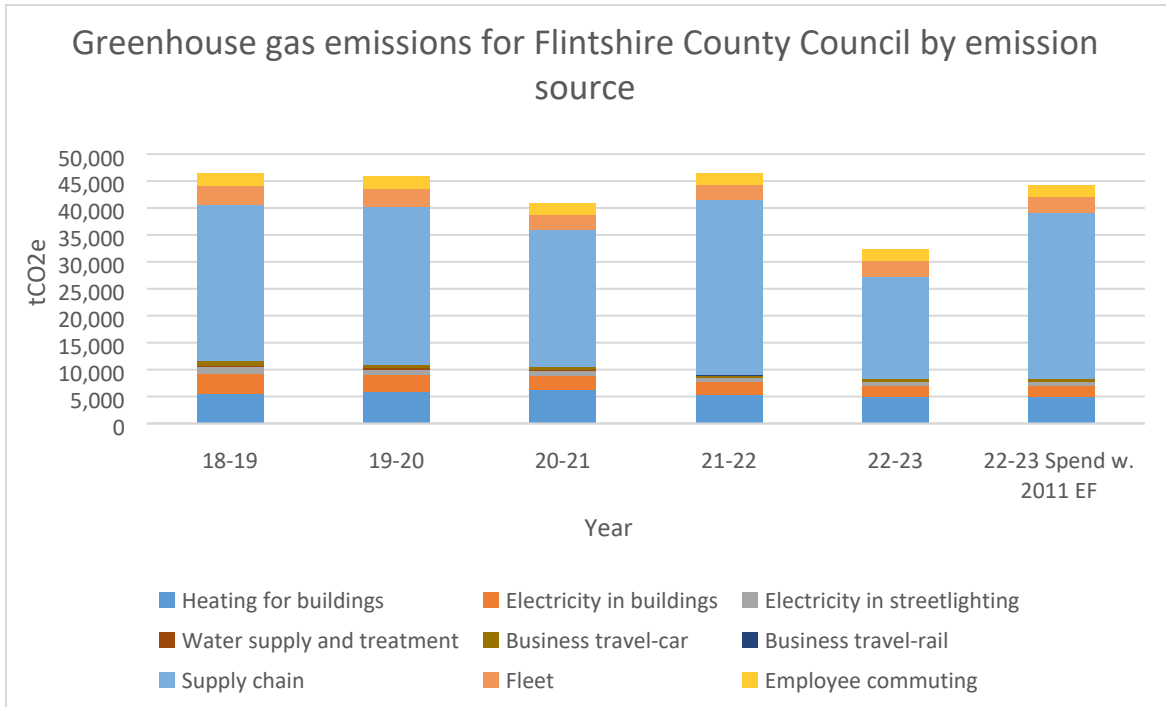
Figure 2: Flintshire County Council GHG emissions over past 5 financial years by emission source, including 2022/23 supply chain comparison using previous years' supply chain emission factors.

Aside from supply chain, compared to 2018/19 baseline emissions, we saw a 9.9% reduction in heating from buildings, 44.4% reduction in electricity in buildings, 49.3% reduction in electricity from street lighting, 46% reduction in business travel and 17% reduction from fleet. This is reflective of the projects carried out in the 2022/23 reporting year by further reducing emissions from buildings through greater efficiency measures such as LED lighting, building management systems and generation of solar electricity. Additionally, the need to ventilate buildings for Covid-19 was also removed helping to retain heat.

The methodology used to determine emissions from business mileage has improved with 67% of miles claimed now stating car size and is expected to improve further as more staff have access to online recording. Methodology for employee commuting continues to have a high level of deviation due to gaps in data records. An employee survey to determine distance, travel methods and frequency to the workplace is due in October 2023 allowing for improved, council-relevant estimates.

The methodology to determine emissions from water has also been improved for the 2022/23 period, where meter read data has been used for 76% of the water used. The remaining data remains calculated using invoice cost values and is considered lower accuracy. Being able to capture all water usage from meter reads would improve the accuracy of emissions from water usage across our buildings.

Figure 3 below shows our actual emissions and the milestones we hope to reach between now and 2030. We are currently aiming for a 60% emission reduction in Buildings, 80% emission reduction in Mobility & Transport and 60% reduction in Procurement by 2030.

Theme	Baseline tCO_2e	Actual Emissions tCO_2e (reduction %)	Targeted Reduction	
	2018/19	2022/23	2024/25	2029/30
Buildings	10,747	7,827.6 (27.8%)	35%	60%
Mobility & Transport	6,716	5,517 (17.9%)	50%	80%
Procurement	28,970	18984 (34.5%)	30%	60%

Figure 3: Flintshire County Council Carbon Emission Milestones to 2030

To achieve these milestones, we set annual targets in each theme as detailed below in Figure 4. The target percentage reduction is compared to the previous year (2021/22). The reduction target for Buildings was almost achieved, however Mobility & Transport saw a slight increase in emissions from the previous year. The reduction target for Procurement was achieved many times over compared with 2021/22 and is mostly explained by the revision of emission factors.

Theme	2021/22 tCO_2e	2022/23 reduction target (%)	2022/23 tCO2e	2022/23 actual reduction (%)
Buildings	8,543	9%	7,827	8.4% reduction
Mobility & Transport	5,504	9%	5,517	0.2% increase
Procurement	32,446	8%	18984	41.5% reduction

Figure 4: Flintshire County Council Carbon Emission Targets for 2022/23

4 Land Use emissions

Land use emissions are determined using the Welsh Government's methodology, emission factors for each land type, and our internal knowledge of land types under our ownership and control. Depending on usage, land can have positive or negative net carbon emissions. Settlements and croplands are net emitters while forests and grassland absorb and store carbon. Wetlands and peatlands also have the potential to absorb and store carbon depending on their condition, however the Welsh Government methodology does not currently include emission factors for these land types.

The emission breakdown from our land types in 2022/23 can be seen in Figure 5 and remains unchanged from 2021/22.

Land Type	Area (Ha)	Emission Factor	Total kgCO2e
Forest	151.68	-5.42	822,135
Grassland	479.91	-1.44	691,402
Settlements	1.23	2.1	2,589
Wetlands	78.91	/	/

Figure 5: Breakdown of Flintshire County Council Land Types and Carbon impact 2022/23

Figure 6 shows the 2022/23 emissions and removals of kgCO2e based on the above methodology. By increasing the quantity of forest land and grassland we can increase the amount of carbon that we absorb and store.

Welsh Government are developing an improved methodology to better account for our land assets so that we can ensure this data is accurate and better reflect the assets that we have within Flintshire.

Land-based emissions	Units of kgCO$_2$e	
	Emissions	Removals
Total land-based emissions	2,589	1,513,538

Figure 6: Summary of Flintshire County Council land-based emissions/removals 2022/23

5 Renewable Energy generation

The Council continues to invest in renewable energy generation both within its building assets and large scale solar farms. Investing in renewable energy that is consumed onsite allows a reduction in energy used from the grid. This saving is demonstrated in the emissions from electricity use. Investing in renewable energy that is exported into the grid assists in the local and national decarbonisation of energy provision moving us away from reliance on energy generated by burning of fossil fuels.

Figure 7 below shows the energy generated from renewables in 2022/23 compared to 2021/22, generation comparison against 2021/22, and exported. The commissioning of both Flint solar farm and Crumps Yard in Connahs Quay has elevated our energy generation from ground mounted solar PV. Weather variations, down-time of both wind turbines and biogas generators, and the natural decline of methane production from former landfill sites explains the decrease in both wind and biogas energy generation.

Renewables	Units of kWh		
Categories	Total Generated	Generation Change from 2021/22 (%)	Total Exported
Solar PV (roof mounted)	700,097	9% increase	175,025
Solar PV (ground mounted)	1,801,633	60% increase	1,801,633
Wind	9,918	10% decrease	2,480
Biogas CHP (landfill gas turbines)	915,184	76% decrease	915,184
Renewables	3,522,138	15% increase	2,894,322

Figure 7: Flintshire County Council Renewable Energy Generation 2022/23

The Welsh Government required all public sector buildings be supplied with renewable electricity by 2020, or as soon as contractually able. In 2022/23, the council purchased all electricity from renewable sources through the use of REGOs (Renewable Energy Guarantees of Origin certificates). However, this is not reflected within our electricity emissions as per Welsh Government reporting methodology.

Green Energy Tariff	Units of kWh
Purchased Renewable Electricity	10,648,030

Figure 8: Flintshire County Council Renewable Electricity Purchased 2022/23

6 Next steps and recommendations

It is the role of the Climate Change Committee to oversee and review the progress made against the Council's ambition to become net zero carbon by 2030. The Committee will continue to develop the Climate Change strategy and action plan and oversee implementation of its delivery.

Data collection for certain emission sources still requires improvement for future calculations, whether to improve methodology used to increase accuracy, provide greater detail or reduce the burden on staff. Work is already underway to improve data for business travel, employee commuting and homeworking, as well as a new officer to address emissions from procurement.

The use of Microsoft Power BI will also be investigated to discover how data requests and manual collection can be minimised to reduce demand on staff resource.

With the review of the council's Climate Change Strategy due in 2024/25, a number of items in need of particular consideration have been identified and are listed below.

- Review of the Baseline and interim emissions target for Supply Chain as knowledge to decarbonise improves and methodology is updated.
- Update of the full 2018/19 baseline emissions figure following updates to supply chain baseline.
- Review of the interim emissions target for Mobility & Transport following greater understanding of barriers at Alltami Depot to decarbonise fleet, and improvements to staff commute methodology.

Appendix 1 - Glossary

Biodiversity: The variety of plant and animal life that make up our natural world or a particular habitat.

Building Management System (BMS): Computer controlled system that can be used to monitor and manage building functions such as heating.

Carbon Dioxide Equivalent (CO_2e): the equivalent amount of carbon dioxide that would produce the same amount of global warming over a 100 year timescale.

Carbon Store: the amount of carbon stored in the natural environment such as soil, woodland, peatland etc. These may also be described as carbon sinks.

Council assets: buildings and land owned by Flintshire County Council.

Decarbonisation: reducing the carbon intensity and greenhouse gas emissions of an activity or service or wider organization.

Emission Factor: The quantity of greenhouse gas emissions per unit of an activity (e.g. kWh, Mile, £)

Landfill Biogas: The gases created by the action of microorganisms within a landfill as they decompose organic waste, including for example, food waste and paper waste.

Net Zero Carbon: Emissions of greenhouse gases are balanced by the removal of greenhouse gases from the atmosphere such as by trees, peatland and carbon capture and storage technologies.

Offsetting: A reduction in GHG emissions (e.g. wind turbines replacing coal) or an increase in carbon storage/GHG removal enhancement (tree planting, peatland restoration) outside of the GHG emissions boundary of an organisation that is used to compensate GHG emissions occurring within the organisation's boundary

REGO: Renewable Energy Generation of Origin certificates demonstrate electricity has been generated from renewable sources.

Sequestration: Removing carbon dioxide from the atmosphere and then storing it, usually through environmental processes such as photosynthesis, absorption by soil, oceans etc.

ENVIRONMENT AND ECONOMY OVERVIEW AND SCRUTINY COMMITTEE

Date of Meeting	Tuesday 14th November 2023
Report Subject	Progress update on Local Area Energy Planning in Flintshire
Cabinet Member	Collective Responsibility
Report Author	Chief Officer (Planning, Environment & Economy)
Type of Report	Operational

EXECUTIVE SUMMARY

Following the endorsement of the North Wales Energy Strategy and Action Plan and commencement of the Local Area Energy Planning in early 2023, this report provides an update on the development of Flintshire's Local Area Energy Plan (LAEP).

RECOMMENDATIONS	
1	To note the contents of the report and support the progress made in the development of the Local Area Energy Plan for Flintshire.

REPORT DETAILS

1.00	**EXPLAINING THE REPORT**
1.01	**Local Area Energy Planning** Local Area Energy Planning (LAEP) is a data driven and whole energy system, evidence-based approach that sets out to identify the most effective route for the local area to contribute towards meeting the national net-zero target, as well as meeting its local net zero target.

1.02	LAEP development is being funded by WG and involves dedicated plans being prepared within each local authority area in Wales. These plans are being co-developed by the local authority and local stakeholders with support from partners including (Ambition North Wales), (Welsh Government) and external support.
1.03	The work on LAEP commenced in early 2023. The timeline is to be confirmed but it is likely that the Flintshire LAEP should be completed in Spring 2024.
1.04	The local energy system includes: whole-building retrofit, local onshore renewables, decarbonisation of transport, deployment of heat pumps (where appropriate), reinforced electricity distribution network, decarbonisation of industry and hydrogen networks.
1.05	**Baseline carbon emissions:** Flintshire accounts for 7% of Wales' carbon emissions in 2019, with 10.6tCO2e per capita. These emissions are reducing over time. The largest carbon emission sectors in 2019 were: • Industry 56% • Transport 23% • Domestic 15% In addition, some key statistics of the energy system in 2019: • Proportion of domestic properties with EPC D and below: 58% • High residential energy demand: 72,000 domestic addresses; 6,000 non-domestic • Onshore wind generated 1.8MW • Solar PV generated 53.1MW • Fossil fuel capacity 14MW • Domestic proportion of total gas consumption 45% • Domestic proportion of total electricity consumption 21% • Proportion of properties off the gas grid 18% • Proportion of off-gas properties that use oil or LPG for heat 62%
1.06	In terms of housing infrastructure: - 72,000 domestic addresses - Relatively new housing stock with 72% built after 1930 - Low proportion of flats 9% - Low proportion of social housing 16% - Flintshire has similar connectivity to the gas grid (82%) as the Wales average(79%) - West of region is less connected to the gas grid than the East - Large gas:electricity demand ratio for domestic sector, suggests poor levels of insulation
1.07	In terms of demand for heat, there is higher heat demand in the east of the area with multiple points of significant industrial loads – mainly centred around the Deeside Industrial Park. There is significant demand for other fuels, notably biomass, oil and coal. These fuels form a

	significant proportion of industrial and commercial heating demand (approx 74%).

In terms of demand for electricity, the demand is fairly evenly spread, however there is greater demand again in the industrial areas (Deeside), as well as some areas that are less connected to the gas grid.

In terms of transport demand, there is a high road transport demand across the whole area. 0.24% of registered vehicles are electric/hybrid compared to a Wales-wide value of 1%. Electric charge points for vehicles are few and mostly near towns. Although difficult to disaggregate, higher demand for transport is focussed on areas with the A55 and A494 running through it. |
| 1.08 | The LAEP development has so far seen a number of local and regional workshops. These workshops have been attended by Council officers across portfolios, Members, Town & Community Councils, and external stakeholders. External stakeholders have included large local employers, large local energy providers, large local energy users, the Deeside Decarbonisation Forum, transport providers, Distribution Network Operators, housing providers, and any community groups who are focussing on energy. |
| 1.09 | The workshops have focussed on specific themes in order to capture stakeholders' thoughts and knowledge of the future energy system, and this has helped to determine baseline energy demands, supply and infrastructure from across the county sectors.

The stakeholder group also determined the most effective scenario modelling to be used for the LAEP. This scenario modelling looks at a possible future energy system – its supply and its demand needs in 2050 – and how this could be facilitated. The stakeholder group identified that a high hydrogen scenario would best suit Flintshire due to its high industry and transport demands and the knowledge that there is high potential for hydrogen supply in short – medium term. This scenario model, coupled with a low energy demand model and a high energy demand model allows us to see the extremes of the possible energy system too. The modelling will allow us to develop robust plans that take into account the uncertainty that we know exists.

In the most recent workshop the stakeholders identified enablers and barriers of the different energy components, eg. Solar PV, anaerobic digestion, wind, hydro. |
| 1.10 | The next and final County workshop in the series will build on what has been learnt so far, present the LAEP priorities as indicated through the scenario modelling, and collectively agree what necessary action is needed in the next 3-5 years to achieve the council's vision for the future local energy system. This will highlight key milestones, responsible stakeholders, and funding and resource requirements. |

	Draft report feedback is scheduled for February 2024 to review the draft report and support the shaping of the route map and recommendations.

2.00	**RESOURCE IMPLICATIONS**
2.01	The development of the Local Area Energy Planning is being funded by WG. Consultants ARUP have been appointed by ANW to deliver the LAEP development for Flintshire. Three roles have been recruited to by ANW to support the delivery of these plans working with the Local Authorities in North Wales and ARUP.
2.02	There will be the requirement for both capital and revenue resource in order to deliver on the final LAEP. The purpose of the LAEP development process is to highlight to WG what the needs and requirements of the LAs are, in order to facilitate and support the decarbonisation of the energy system in line with their commitment targets.

3.00	**IMPACT ASSESSMENT AND RISK MANAGEMENT**	
3.01	The likely impact of the LAEP on service areas in the Council are as follows: - Climate Change Team- lead contact for this piece of work for ANW and ARUP, coordinating internal effort and delivering set tasks. - Planning, Housing, Assets, Energy Management, Schools, Fleet – input to the data collection and development of the LAEP.	
3.02	**Ways of Working (Sustainable Development) Principles Impact**	
	Long-term	Positive: Decarbonisation of the Council's activities and services will require long term planning and a long term vision to ensure systems and services are fit for purpose as the climate changes as well as reducing the impact of harmful climate change through mitigation. Decarbonisation activities such as planting trees and developing renewable energy will have long lasting impacts over tens to hundreds of years. These activities also contribute to the climate change targets set by Welsh Government particularly Wales generating 70% of its electricity demand from renewable energy by 2030 and becoming a net zero carbon nation by 2050.
	Prevention	Positive: In order to avoid the harmful effects of climate change it is necessary for the Council to reduce its carbon emissions and increase the amount of carbon sequestered in its land assets.

			Carbon emissions caused by human activities are the main cause of climate change. Mitigating climate change will help to reduce impacts such as extreme weather causing flooding / extreme heat, loss of wildlife and habitats, increased pests and diseases, etc. Adapting to the impacts of climate change now will improve sustainability of our communities as the climate changes.
		Integration	Positive: Becoming net zero carbon integrates with the following priorities under the Council Plan; Green Council, Ambitious Council and Supportive Council. It integrates with the public service board objectives in the Environment priority of the Wellbeing Plan as well as the Smart Access to Energy project in the North Wales Growth Deal. It also integrates with the Environment (Wales) Act 2016 and Welsh Government's decarbonisation of the public sector agenda.
		Collaboration	Positive: The climate change programme offers multiple opportunities to work collaboratively both internally and externally – and this collaboration will determine the success of the programme. Collaboration with the following groups is needed to ensure decarbonisation is integrated into everything that the Council and the wider region does and plans for: - Welsh Government - Other public sector organisations such as local authorities, NRW, health boards, universities. - Private sector - Regional groups such as the North Wales Economic Ambition Board - Local Town and County Councillors - the local communities
		Involvement	Positive: If decarbonisation is to succeed and harmful climate change is to be avoided then everyone at a professional and personal level will need to be involved

Well-being Goals Impact

		Prosperous Wales	Positive: Reducing the Council's carbon emissions should enable strategic

		investment in projects and ways of working that could deliver savings or generate new income streams, therefore supporting delivery of local services. It should also facilitate the development of the low carbon economy through infrastructure projects, sustained tree planting, land management etc which can support local businesses and communities.
	Resilient Wales	Positive: Decarbonisation of the Council's activities and services will promote resilience through actions such as: investment in renewable energy infrastructure which helps to reduce reliance on imports from across Europe and the World and the associated price fluctuations, and increasing ecological resilience through enhancing biodiversity particularly on land with low ecological value. By planning for climate change adaptation the Council's services and its communities will also be resilient.
	Healthier Wales	Positive: Decarbonisation requires a shift to active travel, investment in green infrastructure, support for local and sustainable food sources, and development of renewable energy which are likely to promote healthier lifestyles, improved wellbeing and reduced health impacts from poor air quality.
	More equal Wales	Neutral; No impact identified
	Cohesive Wales	Neutral; No impact identified
	Vibrant Wales	Neutral; No impact identified
	Globally responsible Wales	Positive: Reducing the Council's carbon emissions to net zero helps to mitigate climate change and therefore contributes to the achievement of Welsh Government, UK Government and international climate goals.

3.03	Not anticipated to be any negative anti-poverty, equalities or environmental impacts of the scheme.
3.04	**The Council's Well-being Objectives** Decarbonisation of the Council's activities will support the Green Council objective with a key impact of reducing carbon emissions mitigating climate change, for example, through the development of alternative and renewable energy production, promoting active travel, shifting to electric

fleet vehicles, engaging with the supply chain and promoting a low carbon economy through the goods and services purchased.

It can also contribute towards the success of other Council Wellbeing objectives such as 'An Ambitious Council' and 'A Caring Council' through providing local job creation and apprenticeships and therefore potentially reducing poverty through maximising residents' income and employability.

4.00	CONSULTATIONS REQUIRED/CARRIED OUT
4.01	ANW has shared the draft Action Plan with each proposed lead and enabling organisation identified in the Plan, ANW Energy Programme Board, North Wales Planning Officers Group, North Wales Decarbonisation Group, Welsh Local Government Association, and all workshop attendees (circa 100 individuals representing 60 organisations).

5.00	APPENDICES
5.01	

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	**1.** North Wales Energy Strategy (https://www.gov.wales/regional-energy-strategy-north-wales)

7.00	CONTACT OFFICER DETAILS
7.01	**Contact Officer: Alex Ellis – Programme Manager** **Telephone:** 01352 703110 **E-mail:** alex.ellis@flintshire.gov.uk

8.00	**GLOSSARY OF TERMS**

Anaerobic digestion – Processes biomass (plant material) into biogas (methane) that can be used for heating and/or generating electricity.

ANW – Ambition North Wales (formerly North Wales Economic Ambition Board).

Biomass boiler – Generates heat by burning wood-based fuel (eg. Logs, chippings) in a boiler.

Energy Component - This is a technology or component of the energy system – such as onshore wind, solar PV

Ground PV – Converts solar radiation into electricity using photo-voltaic cells mounted on the ground.

Heat pump – Uses a heat exchange system to take heat from air/ground and increases the temperature to heat buildings.

Hydro – Uses water falling between two reservoirs to turn turbines to generate electricity.

LAEP – Local Area Energy Plan

Onshore wind – Harnesses wind to turn a turbine to generate electricity on land.

Pathway - A pathway is how we get from the current energy system, to the most likely net zero end point. The pathway will consider what is needed from across the scenarios, the supply chain, number of installers etc. The propositions will make up the more certain part of the pathway, whereas the longer-term energy components will need further definition in the future.

Retrofit – Upgrading the performance of an existing building, such as installing more insulation or double glazing.

Scenario - A scenario is a set of assumptions for a particular end point (usually 2050) which are modelled in our optimisation model. We will model 5 different scenarios to see what is common across the scenarios and therefore "no regrets", and what changes between the modelled scenarios.

WG – Welsh Government.

Cyngor Sir y Fflint Flintshire COUNTY COUNCIL

ENVIRONMENT AND ECONOMY OVERVIEW AND SCRUTINY	

Date of Meeting	Tuesday, 14th November 2023
Report Subject	Review of Waste and Recycling Collections on Unadopted Roads
Cabinet Member	Deputy Leader of the Council and Cabinet Member for Streetscene and Regional Transport Strategy
Report Author	Chief Officer – Streetscene and Transportation
Type of Report	Strategic

EXECUTIVE SUMMARY

The purpose of this report is to present proposals for a new policy for waste and recycling collections for properties that are located on private or unadopted roads.

The report provides an overview of the recently commissioned review of waste and recycling rounds and associated risk assessments, specifically focused on properties located on private and unadopted roads. The trigger for this review stemmed from three serious incidents that occurred between October 2022 and January 2023. These incidents not only posed a significant risk of injury to our employees, but also led to considerable damage to the vehicles operated by the Council, all of which can lead to increased costs.

The report proposes changes for some properties to protect employees from injury and to prevent the risk of spending unnecessary money on vehicle repairs and maintenance and damage caused where the roads have fallen into a state of disrepair. The report details the conditions that will need to be met for the private or unadopted road to be a suitable standard for waste and recycling collections to continue to take place from the property boundary.

RECOMMENDATIONS	
1	That Scrutiny notes the risks posed by continuing collections on private or unadopted roads and supports the mitigating action proposed to protect employees and prevent damage to vehicles and property.
2	That Scrutiny supports the proposed new policy for waste and recycling collections for properties that are located on private or unadopted roads and supports the establishment of criteria for assessing the roads and conditions that will need to be met for waste and recycling collections to continue to take place from the property boundary, accepting that suitable indemnity agreements are issued for acceptable roads.

REPORT DETAILS

1.00	**EXPLAINING THE BACKGROUND FOR REVIEWING THE PROVISION OF WASTE AND RECYCLING COLLECTIONS ON PRIVATE AND UNADOPTED ROADS.**
1.01	The Environmental Protection Act 1990 (EPA) places a duty upon local authorities to collect household waste within in its area. As such, Flintshire County Council (the "Council") is classed as a Waste Collection and Disposal Authority. Under Section 46(4) of the Act, the Council has specific powers to stipulate where the receptacle(s) must be placed for the purpose of collecting and emptying in addition to the size and type of the collection receptacle(s) and the waste types that may or may not be placed within each of the receptacle(s).
1.02	Currently, the Council states that collection vehicles will travel along private or unadopted roads allowing residents to present their waste receptacles at the same point on their property as though the road were adopted. Unadopted roads refer to roads that do not have to be adequately maintained by the highway authority under the Highways Act 1980. A legal duty to maintain these roads still exists, but the responsibility lies with the owners of the road, which usually consists of the owners of any properties fronting that road. A private road is a road that is owned and maintained by a private individual, organisation or company rather than by the Council.
1.03	Unadopted roads, despite being private, still retain the legal status of highways and the responsibility of repairs and maintenance for such roads, rests with their respective owners. The costs of upkeep for these roads are not covered by local councils nor the North & Mid-Wales Trunk Road Agency (NMWTRA).
1.04	There are currently a considerable number of households across the county, mainly in the rural areas, which receive a recycling (food waste, garden waste or recyclables) or residual waste collection service that requires vehicles to travel along unadopted roads and private tracks. In some cases, these roads are in poor condition and consequently access and egress can be challenging and potentially hazardous.
1.05	The trigger for this review follows a series of three serious incidents that occurred between October 2022 and January 2023. These incidents not only posed a significant risk of injury to our employees, but also led to considerable damage to the vehicles operated by the Council, all of which leads to increased costs. Brief details of the incidents are provided below: - • The first incident occurred on October 3, 2022, when a waste collection vehicle lost control on an unadopted lane, veering into an adjacent field in Lixwm causing damage to the property and the vehicle had to be recovered subsequently.

	• On December 30, 2022, another waste collection was subject to damage as it became lodged in a grass verge on an unadopted lane whilst manoeuvring to avoid a damaged section of the lane in Mold. Minor damage was caused to the vehicle and the Council incurred costs to recover the vehicle in challenging conditions at the time. The vehicle was repaired immediately and returned to service the following day. • On January 5, 2023, a waste collection vehicle navigating an unadopted road in Flint skidded on wet leaves, which ultimately caused the vehicle to tip onto its side. The vehicle was subsequently written off due to the extent of the damage caused. Fortunately, nobody was injured in the above incidents; however, damage was caused to the vehicles and private property. These incidents also serve to highlight the potential significant risk of injury to our employees.
1.06	As a result of the above incidents, decisive action was taken by the portfolio to initiate a comprehensive review of waste and recycling collections on unadopted and private roads. Immediate measures were put in place to mitigate the risks in the short-term, including toolbox talks to educate crews and enhanced communication to those teams operating in rural areas. A supervisor was seconded to undertake an in-depth review of all waste and recycling rounds that currently access unadopted and private roads and review the risk assessments for all routes.
1.07	The review encompassed detailed site visits to 585 unadopted and private roads in Flintshire, coupled with an extensive site-specific risk assessment conducted at each location (referred to in **Appendix 1**).
1.07	Sites were assessed against the following criteria: • Road width dimensions • Safe turning area for vehicle • Soft verges • Ditches at side of roadway • Overhanging trees • Potholes / condition of the road surface • Number of properties on lane • Road condition at time of visit • Any restrictions on the lane (weight limit, parked vehicles etc) • Suitable area for collection point • Road surface type / structure of the road (loose gravel/stone, tarmac, concrete, unmade track)
1.08	The outcome of the review has concluded that a new policy is required for waste and recycling collections on unadopted and private roads, for which a draft is provided for consideration in **Appendix 2**. The draft policy details the conditions that will need to be met for the road to be a suitable standard for waste and recycling collections to continue to take place from the property boundary.

1.09	Most of the properties assessed are located on roads that are already at this standard and the Council requires an indemnity form **(Appendix 4)** to be signed to continue collections in the same way and ensure that the local authority will not be liable for any damage due to wear and tear to the road surface which may not have been built to highway standard. If the Council agrees to collect waste from an unadopted or private road then any indemnity agreement would need to be clear in respect of land ownership and responsibility, ensuring the safety of collection crews and the public, and indemnify the Council from any damage the collection vehicles may cause using the roads. It would also need to be clear that the Council could cease to access such roads to collect waste at any time should it be necessary to do so. If the landowner of the unadopted/private road does not sign an indemnity agreement, then a collection from the nearest adopted highway will be necessary.
1.10	Recommendations were formulated for each site based on the comprehensive assessment undertaken. These recommendations predominantly fall under three categories: - 1. No action required 2. Introduction of collection points on the adopted highway 3. Engagement with householders / landowners to obtain the indemnity agreement.
1.11	Residents who are physically unable to present their bins at the designated collection point or kerbside, and who have applied and been granted an assisted collection will be entitled to a collection service from their property. In some cases, this may mean an alternative collection method (e.g. smaller vehicle) or different collection day from the standard service and assisted collections on unadopted or private roads will need to be risk assessed independently and indemnity agreement arranged with the householder or relevant landowner.
1.12	The intention is to continue providing waste and recycling collections for those residents affected by the changes with the least disruption as possible. Before determining collection changes, we intend to write to property owners and a comprehensive communications plan will be developed once the policy has been adopted.

2.00	**RESOURCE IMPLICATIONS**
2.01	**Revenue:** The primary focus of this report is around safety and reducing the risk to our employees, but there are also implications in relation to costs, both directly and indirectly. The estimated costs for the three incidents detailed in this report are shown below.

Direct Costs:
Vehicle Damage: Costs associated with recovering, repairing and replacing damaged vehicles
Vehicle Rental: Costs for renting replacement vehicles during repairs
Vehicle Recovery: Costs for recovering the HGV from the incident site
Approximate total costs - £30k

	Indirect Costs:	
	Downtime: The time that the vehicles were out of service for repair, which affects the overall operational schedule for wider collections	
	Productivity: Reduction in staff productivity due to the accident, injuries, and the need for additional safety measures.	
	Temporary Labour: Costs incurred for temporary agency staff hired to cover for injury.	
	Overtime: Additional labour costs for staff working extra hours to make up for operational delays.	
	Administrative: Expenses related to processing insurance claims, accident reports, and associated paperwork.	

Capital: there are no implications for the approved capital programme for either the current financial year or for future financial years

2.02	**Human Resources:** The implementation of the recommendations contained within this report will have implications for resources, which will include staff training, comprehensive communication plan, drafting the legal indemnity agreements and a sustained commitment to ongoing risk assessments of unadopted and private roads. These costs will be covered within existing revenue budgets.
2.03	**Technology:** The vehicle telematics systems to manage driver performance and route assessment is required to mitigate the risks of new routes or drivers undertaking duties on unadopted and private roads. These costs will be covered within existing revenue budgets.

3.00	**IMPACT ASSESSMENT AND RISK MANAGEMENT**
3.01	This report is a strategic report, which is proposing changes to operational practices and the policy for waste and recycling collections on unadopted roads, therefore an IIA is required and, which elected members are advised to read.

Additionally, an assessment of risks has been undertaken as part of the development of the proposal, which is detailed below. |
3.02	The proposals have the potential to significantly mitigate the risks associated with waste and recycling collection operations on unadopted and private roads. The primary focus remains the safety and well-being of waste and recycling collection crews, safeguarding the integrity of vehicles, and protecting nearby properties.
3.03	The introduction of round modifications, such as strategically positioned collection points on the adopted highway, has the capacity to significantly reduce risks attributed to challenging road conditions while simultaneously enhancing operational efficiency by reducing vehicle damage, reduce unnecessary costly repairs and maintenance, as well as reduce downtime for collections.
3.04	By implementing an annual review mechanism, new and evolving hazards can quickly be identified and addressed, fostering an adaptable and resilient waste collection operation. This is particularly relevant where property ownership changes and new indemnity agreements are required.

3.05	The implementation of a robust and enhanced training programme is expected to bring substantial benefits. Enhanced hazard recognition, adept driving skills, and well-established communication protocols will collectively contribute to a safer work environment for waste collection crews.
3.06	Successful integration of the recommended measures will reflect favourably on the authority's commitment to the safety of its employees and the effective management of waste and recycling collection operations on unadopted and private roads. The ensuing enhancements demonstrate the portfolio's commitment to service excellence and community well-being.
3.07	It is acknowledged that, from a customer perspective, the implementation of changes to waste and recycling services on unadopted and private roads will raise some potential concerns and risks. Addressing these concerns and mitigating risks is essential to ensure a smooth transition and maintain customer satisfaction. It is therefore our intention to promote the use of indemnity agreements as a preferred option wherever possible. *Benefits of the Indemnity Agreement Approach:* The use of indemnity agreements will offer a balanced and flexible mechanism for continuing waste collection services on unadopted or private roads, providing that the roads meet the required conditions. This approach considers the rights of landowners whilst safeguarding the interests of residents and the efficiency of waste management operations. *Tailored Solutions:* Indemnity agreements will allow for adaptations to be made based on the specific circumstances of each unadopted/private road. This flexibility will enable the Council to adapt collection methods, schedules, and collection points based on the unique characteristics of each location, thereby enhancing service efficiency. *Minimised Disruption:* The indemnity agreements will offer the advantage of continuity in waste collection services. This approach ensures that residents' daily routines are least impacted, maintaining their overall satisfaction with the quality and reliability of the services provided.
3.08	The introduction of collection points has the potential to cause concerns for customers, which need to be considered and managed carefully, where indemnity agreements are not appropriate. *Disruption to Collection Services:* Customers may be concerned about disruptions to their waste collection schedules due to the introduction of collection points or changes in procedures. *Mitigation:* It is intended that clear communication is provided to customers well in advance of any changes and a detailed communications plan will be developed prior to implementation. This will include the distribution of informational pamphlets, use of local media (press, newspapers, newsletters) and digital platforms (social media, website) to inform customers about the upcoming modifications, collection point locations, and any alterations to collection schedules. A set of frequently

asked questions and concerns will be developed with support from Customer Services and the Corporate Communications team.

Accessibility Challenges:
Introducing collection points or changes in collection procedures could potentially pose accessibility challenges for some customers, especially those with limited mobility or physical disabilities.

Mitigation:
Thorough accessibility assessments of the proposed collection points will be conducted to ensure that these points are strategically located and easily accessible to all residents, including those with mobility challenges. Where required and feasibly safe to do so, an assisted collection service will be provided.

Perception of Reduced Service Quality:
Customers may perceive changes as a reduction in service quality if collection points are farther from their properties or if there are delays to collections.

Mitigation:
The benefits of the changes will be highlighted, such as improved safety for collection crews and reduced impact on road infrastructure. The portfolio will monitor and maintain consistent collection schedules, ensuring that any potential delays are promptly communicated to customers.

3.09	The recommendations outlined in this report emphasise the portfolio's commitment to ensuring the well-being of staff and the wider community. By proposing options such as the introduction of collection points and use of indemnity agreements, the report aims to strike a balance between operational efficiency and residents' needs. The emphasis on regular reviews and ongoing communication signifies an intention to remain adaptable and responsive to evolving circumstances.

3.10	**Ways of Working (Sustainable Development) Principles Impact**

One of the challenges for applying the Ways of Working (Sustainable Development) Principles to this change in policy is the issue of unadopted roads, which are roads that are not maintained by the local authority or any other public body. Unadopted roads may have poor or unsafe road surfaces, lack of lighting or signage, or restricted access for collection vehicles. These factors can affect the quality and frequency of waste and recycling collections on unadopted roads, as well as the health and safety of collection staff and residents. Moreover, unadopted roads may create confusion and inconsistency in the responsibility and liability for waste and recycling collections, as different parties may have different expectations and obligations.

Long-term	Neutral - Agreeing on an indemnity between the local authority and the residents or property owners on unadopted roads, which clarifies the roles and responsibilities of each party for waste and recycling collections, as well as the risks and costs involved could address some of the challenges outlined above, as well as supporting the innovation and improvement of waste collection methods and technologies.
Prevention	Neutral - Providing alternative options for waste and recycling collections on unadopted roads, such as communal bins or collection points will ensure that residents continue to receive waste and recycling collections, whilst minimising the risk to collection vehicles and employees, promoting the social and economic well-being of residents and communities, such as health, safety and quality of life
Integration	Neutral – the proposed policy will ensure the fairness and accessibility of waste services for all households, regardless of their location or circumstances
Collaboration	Positive – the proposed policy has involved working with others to find shared solutions and deliver actions e.g. other local authorities to share best practice, trade unions, supervisors and workforce
Involvement	Positive – the policy change will involve engaging with residents to reflect their needs, as well as providing clear guidance and criteria for collecting waste from unadopted roads, based on risk assessment and operational considerations, or offering alternative collection points or arrangements for households that cannot be serviced by regular vehicles, such as collection points

Well-being Goals Impact

Prosperous Wales	No impact
Resilient Wales	Positive - Agreeing on an indemnity between the local authority and the residents or property owners on unadopted roads, which clarifies the roles and responsibilities of each party for waste and recycling collections, as well as the risks and costs involved could address some of the challenges outlined above, as well as

		supporting the innovation and improvement of waste collection methods and technologies.
	Healthier Wales	Positive - Improving health, safety and well-being of employees and residents by reducing the risks associated with collecting waste and recyclables from roads that are not of the required standard
	More equal Wales	The proposed policy will ensure the fairness and accessibility of waste services for all households, regardless of their location or circumstances
	Cohesive Wales	The proposed policy change will involve engaging with residents to reflect their needs, as well as providing clear guidance and criteria for collecting waste from unadopted roads, based on risk assessment and operational considerations, or offering alternative collection points or arrangements for households that cannot be serviced by regular vehicles, such as collection points
	Vibrant Wales	No impact
	Globally responsible Wales	No impact

The proposals will also support the Council's Well-Being Objectives in terms of supporting safer communities and limiting the impact of Council services on the natural environment.

4.00	CONSULTATIONS REQUIRED/CARRIED OUT
4.01	Deputy Leader of the Council and Cabinet Member for Streetscene and Regional Transport Strategy.
4.02	Trade Unions and employees via the employee-led Service Improvement Group
4.03	Senior Management Team and Operational Managers
4.04	A communications plan will be developed in advance of the implementation of the policy. The homeowners living on the affected roads will receive a letter from the council, which will outline the new arrangements and invite them to liaise with the council to come to an agreed resolution.

5.00	APPENDICES
5.01	**Appendix 1** - Risk Assessment Example
5.02	**Appendix 2** – Draft Policy for Waste & Recycling Collections on Unadopted or Private Roads
5.03	**Appendix 3** - Street Count per Town

5.04	**Appendix 4** – Letter of Indemnity
5.05	**Appendix 5 –** IIA – to be circulated prior to the meeting.

6.00	**LIST OF ACCESSIBLE BACKGROUND DOCUMENTS**
6.01	None

7.00	**CONTACT OFFICER DETAILS**
7.01	**Contact Officer**: Christopher Goddard – Service Manager, Streetscene **Telephone**: 07867 192311 **E-mail**: christopher.goddard@flintshire.gov.uk

8.00	**GLOSSARY OF TERMS**
8.01	None

WASTE SERVICES HEALTH & SAFETY UNADOPTED LANE RISK ASSESSMENT

RA01

Task/area to be assessed: (Round No & Type)	WASTE 16 FRIDAY		Location/Area: (Day & Location Weather)	AFONWEN-C FLINT- FLINT MOUNTAIN- HALKYN- MOEL Y CRIO- NANNERCH- NORTHOP- RHES Y CAE- RHOSESMOR- SOUGHTON
Section	**Risk assessment by**	**Date**	**Comments (weather conditions etc)**	
Waste Services	A R JONES	APRIL 2023	**VARYING WEATHER CONDITIONS WHEN CHECKED. OVERCAST SKIES.**	

Locations (detail)	Significant hazards	Road width	Safe Turning area for vehicle	Soft verges	Ditches at side of roadway	Over hanging trees/ branches	Potholes	Number of properties on lane	Road condition at time of visit	Any restrictions on the lane (weight limit etc)	Suitable Area for collection point?	Road surface type (loose gravel/stone, tarmac, concrete, unmade track	Property maintained by FCC y/n	COMMENTS	RECOMMENDATIONS
DDOLBACH JUNCTION TO CAE GLAS AFONWEN CH75UP- CH75RN CH75UT- CH75US		14FT	YES	YES	YES	NO	YES	3	DRY	NO	YES	TARMAC	YES, FOR COLLECTION POINT	280M PRIVATE ROAD	COLLECTION POINT TO BE PUT IN PLACE, OR CUSTOMERS TO SIGN INDEMNITY AGREEMENT
DDOLBACH JUNCTION TO CAE GLAS AFONWEN CH75UP- CH75RN CH75UT- CH75US		15FT	YES	YES	YES	YES	YES	4	DRY	UNSUITABLE FOR HEAVY GOODS	YES	TARMAC	YES, FOR COLLECTION POINT	600M PRIVATE ROAD	COLLECTION POINT TO BE PUT IN PLACE, OR CUSTOMERS TO SIGN INDEMNITY AGREEMENT
COUNTY BOUNDARY AFONWEN CH75UU		14FT	YES	YES	NO	YES	NO	5	DRY	NO	YES	TARMAC	NO	380M PRIVATE ROAD	COLLECTION POINT TO BE PUT IN PLACE, OR CUSTOMERS TO SIGN INDEMNITY AGREEMENT
COUNTY BOUNDARY AFONWEN CH75UU		12FT	YES	YES	YES	YES	YES	2	DRY	NO	YES	GRAVEL	NO	650M PRIVATE ROAD	COLLECTION POINT TO BE PUT IN PLACE, OR CUSTOMERS TO SIGN INDEMNITY AGREEMENT
SWINCHIARD LANE FLINT CH65BG		14FT	NO	NO	NO	NO	YES	4	DRY	NO	YES	BROKEN TARMAC	NO	AWKWARD REVERSE OFF MAIN ROAD	COLLECTION POINT TO BE PUT IN PLACE, OR CUSTOMERS TO SIGN INDEMNITY AGREEMENT
FACTORY POOL ROAD RHOSESMOR CH75HE- CH76PA		11FT	YES	YES	NO	YES	YES	6	DRY	NO	YES	TARMAC	NO	ALL UNADOPTED BUT COLLECTED ROADSIDE	NO ACTION REQUIRED DISTANCE TO ADOPTED ROADS TOO FAR

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Policy for Waste and Recycling Collections on Un-adopted Roads

Overview

Policy	Waste and Recycling Services on Un-adopted Roads
Portfolio	Streetscene and Transportation
Service Area	Service Delivery
Related Documents	

Revision History

Version	Issue date	Summary of Changes
1	September 2023	New policy following a review of waste and recycling collection services on un-adopted roads.
2	TBD	XX XX XX

Consultation

Version	Who	Date
1	Chief Officer, Operational Manager, Supervisors, Operational Staff	August 23
2		

Approval

Version	Who/Where	Date
1	Cabinet	TBC

Table of Contents

1. Introduction

The Streetscene and Transportation (S&T) portfolio is committed to providing high quality waste and recycling services whilst prioritising safety, efficiency, and customer service. This policy document outlines our approach to waste and recycling collections for properties that are located on private or unadopted roads and the criteria in place for assessing the roads and conditions that will need to be met for waste and recycling collections to continue to take place from the property boundary with suitable indemnity agreements issued for acceptable roads.

There are currently a number of households, mainly in the more rural areas, which receive a recycling collection service (recyclables, food waste or garden waste) or refuse collection service (residual waste) that require collection vehicles to travel along un-adopted roads and private tracks. In some cases, these roads are in poor condition and consequently access can be difficult and potentially hazardous.

Un-adopted roads are privately owned, but still considered part of the highway. The responsibility to maintain these roads, rests with the owners, and the cost of repair and upkeep is not covered by local councils or the Trunk Road Agency. This policy aims to protect staff and ensure their safety, increase operational efficiency and engage with landowners to deliver a great service.

2. Purpose

This policy will establish a clear framework for managing waste and recycling collection services on un-adopted roads and private tracks within Flintshire. The policy provides guidelines for conducting risk assessments, collaborating with landowners, conducting regular reviews, and ensuring compliance with legal obligations.

3. Key Principles

Safety First:
Our number one concern is the safety of staff, residents, and the public. All decisions concerning waste and recycling collections on un-adopted roads and private tracks will prioritise the safety and well-being of everyone involved.

Working Together:
We recognise the importance of working collaboratively with landowners, residents, and stakeholders. Our approach will be based on open communication, transparency, and responding to the concerns and needs of the community.

Flexibility and Adaptability:
This policy promotes a flexible approach to waste and recycling collections and the methods, round schedules, and locations will be adapted to suit the unique characteristics of each un-adopted road.

Legal Clarity:
The policy ensures compliance with legal obligations whilst providing clear guidelines and agreements with landowners. Our aim is to establish a transparent framework for waste and recycling collection operations.

4. Implementation Guidelines and Process

Site-Specific Risk Assessments: Before initiating waste or recycling collections on any un-adopted road, a comprehensive risk assessment will be conducted. This assessment will evaluate road conditions under the following criteria:

- Road width

- Safe turning area for vehicle

- Soft verges

- Ditches at side of roadway

- Overhanging trees, shrubs, or cables

- Potholes / condition of the road surface / state of repair

- Number of properties on the un-adopted road / track

- Road condition at time of visit

- Any restrictions on the lane (weight limit, height limit etc)

- Suitable area for collection point

- Road surface type (loose gravel/stone, tarmac, concrete, unmade track

- Other health and safety risks (adverse camber, poor visibility at bends, risk of flooding, unprotected steep embankments)

Indemnity Agreements
Providing that the risk assessment determines that collections can take place on an un-adopted road or private track, the Council will work with landowners to obtain indemnity agreements that allow waste and recycling collection services to take place on their un-adopted roads and ensure that the local authority will not be liable for any damage due to wear and tear to the road surface which may not have been built to highway standard.

If the landowner of the unadopted/private road does not sign an indemnity agreement, then a collection from the adopted highway will be necessary.

Customer Engagement:
We will actively engage with customers who live on un-adopted roads, through face-to-face meetings and digital platforms. These engagements will serve as avenues for addressing queries, disseminating information, and fostering collaboration.

Ongoing Reviews:
To avoid any interruption to our waste and recycling collection services, an annual review process will be established. This process will assess the effectiveness of current procedures on un-adopted roads, identify evolving hazards, accommodate changes in property ownership, and ensure the timely renewal of indemnity agreements.

Resource Allocation:
Adequate resources will be allocated to facilitate crew training, thorough risk assessments, and implementing necessary adjustments following risk assessments.

5. Property and Road Management

In cases where an un-adopted road / private track does not meet the established criteria for waste and recycling collections, or if its suitability diminishes over time, the following actions will be taken:

Criteria Assessment:
Un-adopted roads will be subject to annual assessments to determine their suitability for waste and recycling collections. These assessments will be based on factors such as road conditions, turning areas, accessibility, and safety considerations for collection crews and the public.

Temporary Cessation or Modification:
If an un-adopted road is deemed unsuitable for our waste and recycling collection vehicles to operate safely, temporary collection points will be implemented until necessary improvements are made to meet the criteria. When improvements cannot be made, permanent collection points will be implemented.

Community Notification:
Residents and landowners situated on affected un-adopted roads will be promptly informed of any temporary cessation, the reasons for it, and the necessary improvements required for the resumption of services.

Consultation and Communication:
S&T will engage with relevant stakeholders, including residents and landowners, to collaboratively address road suitability concerns and identify potential solutions.

Collection Points
If the landowner of the un-adopted road or private track does not sign an indemnity agreement, then a collection from the nearest adopted highway will be implemented.

Where a collection point is in place, householders must ensure that bins, bags and containers are placed safely and securely and that these are not obstructing the pavement, footpaths or other road users.

Review
There will be no regular review of properties eligible for collection from un-adopted roads and collection points will be reviewed on an as required basis when a request is received either from the collection crews or the householder.

6. Decision Making, Appeals, and Assisted Collections

Decision-Making:
The decision-making authority to determine the suitability of un-adopted roads rests with the Waste Management Team. This team will review assessment outcomes, customer input, and prioritise safety to make informed decisions.

Appeals Process:
Residents and landowners have the right to appeal decisions regarding waste and recycling collection services on un-adopted roads and private tracks. Appeals must be submitted in writing to the Streetscene Service Manager within 28 days. The appeals process will ensure fair consideration of concerns and any additional pertinent information.

Assisted Collections:
S&T recognises the need for assisted collections to cater for residents who are physically unable to present their bins and containers at the designated collection point or at the kerbside. Assisted collections will be provided on un-adopted roads and private tracks where suitable arrangements can be made, ensuring equitable access to waste and recycling services.

In some cases, this may mean an alternative collection method such as smaller vehicles or different collection day from the standard service and assisted collections on un-adopted roads or private tracks will need to be risk assessed independently and indemnity agreement arranged with the householder or relevant landowner.

Applications for Assisted Collections can be submitted here or via the call centre 01352 701234

7. Legal Obligations and Legislative References

S&T operates its waste and recycling services in accordance with legal obligations set out as follows:

The Environmental Protection Act 1990 (EPA) places a duty upon local authorities to collect household waste within in its area. As such, Flintshire County Council (the "Council") is classed as a Waste Collection and Disposal Authority.

Under Section 46(4) of the Act, the Council has specific powers to stipulate where the receptacle(s) must be placed for the purpose of collecting and emptying in addition to the size and type of the collection receptacle(s) and the waste types that may or may not be placed within each of the receptacle(s).

Unadopted roads refer to roads that do not have to be adequately maintained by the highway authority under the Highways Act 1980. A legal duty to maintain these roads still exists, but the responsibility lies with the owners of the road, which usually consists of the owners of any properties fronting that road. A private road is a road that is owned and maintained by a private individual, organisation, or company rather than by the Council.

The Council acknowledges its responsibilities and complies with all relevant legal mandates, ensuring the safe and lawful provision of waste and recycling collection services on un-adopted roads / private tracks.

The indemnity agreement provided by Legal Services encompasses the necessary clauses, thereby indemnifying the Council against potential losses, legal claims, and responsibilities arising from the use of un-adopted roads for waste and recycling collections. This agreement will be a vital component of our commitment to safety, legal compliance, and community collaboration in the provision of waste management services.

8. Conclusion

By adhering to the principles and practices articulated in this policy, Streetscene & Transportation aims to uphold its commitment to providing safe, efficient, and excellent waste and recycling services on un-adopted roads / private tracks. This policy is intended to safeguard staff, protect against damage, strengthen community partnerships, and maintain the high standards of waste management services that our residents expect.

Date of Policy Approval: [Date] **Next Review Date:** [Date]

UNADOPTED ROADS IDENTIFIED BY NUMBER	
TOWN	**Total**
ABERMORDDU	3
ALLTAMI	2
ASTON	4
AXTON	2
BABELL	1
BAGILLT	19
BERTHENGAM	1
BROUGHTON	4
BRYN Y BAAL	3
BRYNFORD	2
BUCKLEY	54
BURNTWOOD	1
BWCLE	1
CADOLE	1
CAERGWRLE	6
CAERWYS	7
CALCOED	1
CARMEL	8
CEFN-Y-BEDD	4
CONNAHS QUAY	28
Connah's Quay	1
CYMAU	5
DRURY	2
EWLOE	17
EWLOE GREEN	1
FFRITH	1
FFYNNONGROYW	7
FLINT	24
FLINT MOUNTAIN	9
GORSEDD	1
GREENFIELD	11
GRONANT	5
GWAENYSGOR	5
GWERNAFFIELD	5
GWERNYMYNYDD	4
GWESPYR	3
HALKYN	17
HAWARDEN	28
HENDRE	3
HIGHER KINNERTON	5
HOLWAY	1
HOLYWELL	19
HOPE	5
LEESWOOD	9
LITTLE MOUNTAIN	2
LIXWM	4

LLANFYNYDD	1
LLOC	1
MAES PENNANT	3
MANCOT	9
MILWR	3
MOEL Y CRIO	1
MOLD	48
MOSTYN	1
MYNYDD ISA	2
NANNERCH	1
NERCWYS	3
NORTHOP	6
NORTHOP HALL	4
OAKENHOLT	3
PADESWOOD	1
PANTASAPH	5
PANTYMWYN	5
PENTRE	2
PENYFFORDD	5
PEN-Y-FFORDD	4
PENYMYNYDD	3
PICTON	1
PONTBLYDDYN	1
PONTYBODKIN	5
QUEENSFERRY	3
RHES-Y-CAE	3
RHEWL MOSTYN	1
RHOSESMOR	3
RHYDYMWYN	9
SALTNEY	11
SALTNEY FERRY	5
SANDYCROFT	3
SAUGHALL	2
SEALAND	17
SHOTTON	11
SYCHDYN	8
TALACRE	9
TOWN	11
TRE MOSTYN	2
TRELAWNYD	7
TRELOGAN	2
TREUDDYN	9
WHITFORD	5
(blank)	
Grand Total	**585**

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Appendix 4 – Letter of Indemnity [DRAFT]

Recipient name	Contact:
Recipient company	
Recipient address	T:
	E:
	Our ref:
	Date

Dear [   ]

RE: REFUSE AND RECYCLING COLLECTIONS FROM [ROAD NAME]
Section 46 Environmental Protection Act 1990

Under S.46 of the Environmental Protection Act the Council is entitled to specify where refuse containers must be located in order to facilitate their collection. The Council's normal practice is to carry out refuse and recycling collections from the property boundary for households located on adopted roads, this is described as where a front path or drive meets the public road or pavement and the Highways Authority is responsible for the maintenance of these roads.

In the case of unadopted or private roads such as [ROAD NAME] (the "**Unadopted Road**"), the Council's normal practice is to specify a location adjacent to the public highway where householders are required to place their refuse and recycling containers for collection, landowners/residents of unadopted or private roads are responsible for the maintenance of those roads and therefore the Council will not normally enter these.

The Council has undertaken an annual Site-Specific Risk Assessment of the Unadopted Road which has evaluated Unadopted Road conditions under the following criteria:

I. Road width
II. Safe turning area for refuse vehicles
III. Soft verges
IV. Ditches at the side of roadway
V. Overhanging trees, shrubs or cables,
VI. Potholes / condition of the road surface / state of repair of the road surface
VII. Number of properties on the unadopted road / track
VIII. Road condition at the time of assessment visit
IX. Any restrictions on the lane (weight limit, height limit etc)
X. Suitable area for collection point
XI. Road surface type (loose gravel/stone, tarmac, concrete, unmade track
XII. Other health and safety risks (adverse camber, poor visibility at bends, risk of flooding, unprotected steep embankments)

The risk assessment has been undertaken at the Unadopted Road. It is concluded that waste and recycling collections can continue at the Unadopted Road but requires the attached indemnity agreement to be signed to continue to do so by each landowner responsible for paying for the maintenance for the Unadopted Road - or an agent authorised to act on their behalf.

If you do not sign and return the indemnity agreement overleaf, the Council can specify (as per S.46 Environmental Protection Act 1990 (as amended)) an alternative collection point from the adopted highway for the properties of the Unadopted Road and responsibility for bringing the containers to that point will rest with the residents situated on the Unadopted Road.

If you wish to continue the Council and its agents' collection of waste from the Unadopted Road please sign and return the indemnity agreement overleaf and return this as soon as possible. Please retain a copy for your records and do not hesitate to contact me if you require any further information.

Please note, only the landowner can sign the indemnity agreement. If you are a tenant, please ensure that the owner receives this letter.
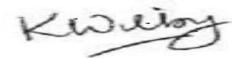
Yours faithfully,

[NAME]

INDEMNITY AGREEMENT	

CONSENT FROM:	
I confirm that I am the [Landowner / Leaseholder / Managing Agent] of [ROAD NAME] (The "**Unadopted Road**") and I am the person responsible for the maintenance of the Unadopted Road.	
The [Landowner / Leaseholder Managing Agent]	
Address	

INDEMNITY AND WAIVER		✓
I acknowledge that it is my responsibility to ensure that the Unadopted Road shall be maintained to the following standards and if the following standards are not maintained, or are in dispute, the Council can specify an alternative collection point from the adopted highway for the properties of the Unadopted Road. Responsibility for bringing the containers to that point will rest with the residents situated on the Unadopted Road:		
a)	**Road surface:** Roads must be of sound construction with a suitable hard surface, free of large/deep potholes and obstructions which could cause damage or injury to vehicles or persons. The vehicle should be able to travel safely at 15mph (25 kph) along the road.	
b)	**Road width:** The minimum road width is no less than 3.5 metres with no obstruction from trees, shrubs etc. which could cause damage to the Council or contractor(s) refuse collection vehicles.	
c)	**Road length:** If there are several properties located down a road, then there should be passing places, suitable for a refuse collection vehicle (hard surface, not a verge).	
d)	**Height clearance**: The minimum clearance should be no less than 5.5 metres with no obstruction from overhanging branches, cables etc. which could cause damage to the Council or contractor(s) refuse collection vehicles.	
e)	**Turning area:** Where a through road does not exist, a suitable turning area must be available to allow the vehicle to turn. The turning area should have a hard surface which is of a sufficient size to allow an 11.5-metre-long vehicle to turn with no more than three manoeuvres and have sufficient space either side of the vehicles to safely turn in the dark. Collection vehicles will not reverse onto a public highway to turn around.	
f)	I shall immediately notify the Councils [Street Scene] department of any safety concerns related to the Unadopted Road which may affect the safe and efficient waste collection by the Council or its contractor(s) and acknowledge that the Council may notify me if they become aware of any safety concerns relating to the Unadopted Road which may result in them specifying an alternative collection point from the adopted highway until said safety concerns are rectified.	
g)	I hereby agree to indemnify Flintshire County Council against all costs, claims, damages or expenses incurred by Flintshire County Council arising from Flintshire County Council or its contractor(s) operating within the Unadopted Road to collect residents' waste and recycling. This indemnity shall not cover Flintshire County Council to the extent that a claim under it results from Flintshire County Council or its contractor(s) negligence.	

DECLARATION AND SIGNATURE		
I acknowledge and represent that, having read and understood this indemnity agreement, and being fully competent to sign it, I sign this indemnity agreement voluntarily as my own free act and deed, for full, adequate, and complete consideration, with the intention that it will be construed in accordance with English law, and fully intending it to be of legally binding effect upon me.		
Signed:		**Date**	
Name (BLOCK CAPITALS)		
Address (BLOCK CAPITALS)		
Witness Signed:		**Date**	
Witness Name (BLOCK CAPITALS)		
Witness Address (BLOCK CAPITALS)		

Integrated Impact Assessment (IIA) (including equality, environment, health, human rights, socio-economic Duty, United Nations Conventions the Rights of the Child and Welsh language

Name of Policy or Practice	Waste and Recycling Collections on Unadopted Roads		
Responsible Officer (responsible for the Policy or Practice)	Katie Wilby		
Service / Portfolio	Streetscene and Transportation	**Start Date of Assessment**	09/11/2023

Name of officer(s) (and partners) completing the IIA		
Name(s)	**Job Title(s)**	**Signature(s)**
Christopher Goddard	Streetscene Service Manager	
Katie Wilby	Chief Officer Streetscene and Transportation	

*Consider including only job titles when publishing

Document Version	Revision Date	Briefly Describe the Changes
V1		New policy

IIA Approved by Responsible Officer / Portfolio / Service / Committee	
Date IIA Concluded	
Name	
Job Title	
Signature	

Introduction

This document is a multi-purpose tool ensuring the appropriate steps are taken to comply with the Public Sector Equality Duty (PSED) Equality Impact Assessment legislation and to demonstrate that we have shown due regard to the need to reduce inequalities of outcome resulting from socio-economic disadvantage when taking strategic decisions under the Socio-economic Duty. It also incorporates Welsh Language impacts, environmental and bio-diversity impacts, health impacts and United Nations Conventions Rights of a Child.

When we plan to introduce a new, or revise an existing, policy, strategy or practice, develop a new service, make changes or cuts to a service or make strategic decisions, we are required to consider if the decision would have a disproportionate impact on people sharing one or more protected characteristic or whether it could create inequalities of outcome around socio-economic disadvantage. Where this is likely to be the case, we must take appropriate action. The IIA process is not intended to prevent us doing things but to ensure we have considered the impact. It helps us focus on the actions we can take to remove and/or mitigate any disproportionate or discriminatory impact and introduce measures to advance equality of opportunity.

To comply with the PSED General Duty and Socio-economic Duty, we must have 'due regard' (or consciously consider the need) to: eliminate discrimination, advance equality of opportunity and foster good relations and to the need to reduce the inequalities of outcome resulting from socio-economic disadvantage. The greater the relevance and potential impact, the higher the regard required by the duty. The General Duty will be more relevant to some functions than others and they may also be more relevant to some protected characteristics than others. Our duty must be exercised with rigour, an open mind and considered at a time when it can make a difference to our decisions. Policies with high relevance, such as strategic budgetary decisions, grant-making programmes, changes to service delivery (including withdrawal or reorganisation of services), and recruitment or pay policies should always be subject to an assessment for impact. For further guidance see EHRC Assessing Impact Guidance. Our duty to comply with this legislation cannot be delegated.

This form should demonstrate the steps taken to carry out the assessment including relevant engagement/consultation, the information taken into account, the results of the assessment and any decisions taken in relation to those results. The IIA should be published where it shows a substantial (or likely) impact on our ability to meet the PSED.

Benefits of undertaking an IIA:
- Gain a better understanding of those who may be impacted by the policy or practice
- Better meet differing needs and become more accessible and inclusive
- Enable planning for success – identifies potential pitfalls and unintended consequences before any damage is done
- Enable improved planning that will make decisions proactive rather than reactive, avoid having to reverse decisions which could have cost and reputational implications
- Demonstrate decisions are thought through and have taken into account the views of those affected
- Enable us to manage expectations by explaining the limitations within which we are working (e.g. budget)

- Help avoid risks and improve outcomes for individuals
- Remove inappropriate or harmful practices and eliminate institutional discrimination
- Ensure we put Welsh and English Language on an equal footing. and that decisions are made that safeguard and promote the use of the Welsh language
- Improve and protect health, maximising health benefits and reducing health risks
- Be more open and transparent
- Use our resources more effectively

Whilst this document may seem lengthy, as well as containing the necessary steps in the process, it also contains guidance notes in the key areas to assist you in undertaking the IIA. Additional links to further information are also included for assistance. Further information can be found on NHS/ WLGA PSED/ EIA here.

The Welsh Government[1] guidance states that:

Impact assessment prompts and guides us to gather, and if necessary, seek evidence so as to improve the development of a policy or delivery plan, or inform a change of direction in policy or delivery. It is a methodology to help in the development and implementation of policy, rather than templates with tick boxes and checklists.

Integrated Impact Assessment Steps

Step 1   -   Identify the Main Aims and Objectives of the Policy or Practice
Step 2   -   Data, Engagement and Assessing the Impact
Step 3   -   Procurement and Partnerships
Step 4   -   Dealing with Adverse or Unlawful Impact and Strengthening the Policy or Practice
Step 5   -   Decision to Proceed
Step 6   -   Actions and Arrangements for Monitoring Outcomes and Reviewing Data
Step 7   -   Publishing the Integrated Impact Assessment

Important Note to Completing Officer(s):

It is important that the IIA is completed when the policy or practice is being developed so that the findings from the IIA can be used to influence and shape the policy or practice. It is recommended as a minimum, it is completed by a lead officer who is responsible for the policy or practice, a subject matter expert and a critical friend with at least one who has received formal IIA training. This document needs to be presented to the decision makers along with the draft policy or practice as part of the decision making process.

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[1] Welsh Government Integrated Impact Assessment Guidance

Where you are developing a high level strategy or plan that does not contain sufficient detail to show how it will impact on individuals or groups (i.e. where there will be plans and actions sitting beneath the strategy that will determine this), you should still undertake the Impact Assessment. You may also need to complete additional IIA(s) on the plans and actions beneath the high level strategy. This will ensure you demonstrate that you have shown due regard to complying with the General Duty, the Public Sector Equality Duty, the Welsh Language Standards the Socio-economic Duty, the Human Rights Act, the United Nations Conventions, Rights of the Child.

If your policy or practice is as a result of a UK, Welsh Government or Local Authority wide directive, you should still assess the impact of this locally to identify any differential impact due to local difference.

You should consider whether other events, e.g. COVID-19, Brexit, Black Lives Matter, etc. have highlighted or exacerbated inequalities that need to be addressed as you work through the IIA.

STEP 1 – Identify the Main Aims and Objectives of the Policy or Practice

1.   What is being assessed? *(Please double click on the relevant box(es) (X) and select 'checked' as appropriate)*

☒   New and revised policies, practices or procedures (which modify service delivery or employment practices)

☐   Service review or re-organisation proposals which affect the community and/or staff, e.g. early years provision, care, education

☐   Efficiency or saving proposals, e.g., resulting in a change in community facilities, activities, support or employment opportunities.

☐   Setting budget allocations for new financial year and strategic financial planning

☒   Decisions affecting service users, employees or the wider community including (de)commissioning or revised services.

☐   New project proposals affecting staff, communities or accessibility to the built environment, e.g. new construction work or adaptations to existing buildings, moving to on-line services, self-service, changing location

☐   Large Scale Public Events

☐   Local implementation of National Strategy/Plans/Legislation (refer to any national IIA and consider local impact)

☐   Strategic directive and intent, including those developed at Regional Partnership Boards and Public Service Boards which impact on a public body functions.

☐   Medium to long term plans (for example, corporate plans, development plans, service delivery and improvement plans)

☐   Setting objectives (for example, well-being objectives, equality objectives, Welsh language strategy)

☐   Major procurement and commissioning decisions

☐   Decisions that affect the ability (including external partners) to offer Welsh language opportunities and services.

☐   Other please explain in the box below:

2.   What are the overall aims, objectives and intended outcomes of the policy or practice?

This policy will establish a clear framework for managing waste and recycling collection services on un-adopted roads and private tracks within Flintshire. The policy provides guidelines for conducting risk assessments, collaborating with landowners, conducting regular reviews, and ensuring compliance with legal obligations.

5

There are currently a number of households, mainly in the more rural areas, which receive a recycling collection service (recyclables, food waste or garden waste) or refuse collection service (residual waste) that require collection vehicles to travel along un-adopted roads and private tracks. In some cases, these roads are in poor condition and consequently access can be difficult and potentially hazardous.

Un-adopted roads are privately owned, but still considered part of the highway. The responsibility to maintain these roads, rests with the owners, and the cost of repair and upkeep is not covered by local councils or the Trunk Road Agency. This policy aims to protect staff and ensure their safety, increase operational efficiency and engage with landowners to deliver a great service.

3.   Who are the main consultative groups (stakeholders)?

- Flintshire CC staff
- Flintshire CC Streetscene and Transportation staff
- Flintshire residents
- Flintshire landowners

4.   Is the policy related to, influenced by, or affected by other policies or areas of work (internal or external), e.g. strategic IIAs if this is an operational IIA and vice versa?

- Flintshire Waste Management Strategy
- Waste Collection Policy

STEP 2 - Data, Engagement and Assessing the Impact

When completing this section, you need to consider if you have sufficient information with which to complete your IIA, or whether you need to undertake a period of engagement/consultation before continuing. The legislation relating to the IIA process requires you to **engage and involve people who represent the interests of those who share one or more of the protected characteristics *and* with those who have an interest in the way you carry out your functions**. The socio economic duty also requires us to **take into account the voices of those in the community including those with lived experience of socio economic disadvantage**. You should undertake engagement with communities of

interest or communities of place to understand if they are more affected or disadvantaged by your proposals. This needs to be proportionate to the policy or practice being assessed. <u>Remember that stakeholders can also include our own workforce as well as partner organisations.</u>

Before carrying out particular engagement activities, you should first look to data from recent consultations, engagement and research. This could be on a recent related policy or recent assessments undertaken by colleagues or other sources, e.g., <u>Is Wales Fairer?</u>, <u>North Wales Background Data Document</u>, Info Base Cymru, WIMD. This can help to build confidence among groups and communities, who can see that what they have said is being acted on. If you have very little or no information from previous engagement that is relevant to this IIA, you should undertake some engagement work with your stakeholders and with relevant representative groups to ensure that you do not unwittingly overlook the needs of each protected group. It is seldom acceptable to state simply that a policy will universally benefit/disadvantage everyone, and therefore individuals will be affected equally whatever their characteristics. The analysis should be more robust than this, demonstrating consideration of all of the available evidence and addressing any gaps or disparities. Specific steps may be required to address an existing disadvantage or meet different needs.

The Gunning Principles, established from past court cases, can be helpful in ensuring we apply fairness in engagement and consultation:

<u>Principle 1</u>: Consultation must take place when the proposals are still at a formative stage. You must not have already made up your mind.
<u>Principle 2</u>: Sufficient reasons must be put forward to allow for intelligent consideration and response. Have people been given the information and opportunity to influence?
<u>Principle 3</u>: Adequate time must be given for consideration and response. Is the consultation long enough bearing in mind the circumstances?
<u>Principle 4</u>: The product of consultation must be conscientiously taken into account when finalising the decision.

5. **Have you complied with the duty to engage as described above and are you sufficiently informed to proceed?**

Yes   ☒   No   ☐   *(please cross as appropriate X)*

6. **If Yes, what engagement activities did you undertake and who with?**

- Drivers and crews who undertake collections on unadopted roads have contributed to the risk assessments at the heart of this new policy and approach.
- The aforementioned risk assessments were carried out by Supervisors with first-hand experience of driving the roads affected.
- During the site visits, some members of the public were spoken to and given an opportunity to ask questions and give an opinion.
- Once the policy is approved, consultation with all properties affected will take place either in group meetings or face to face site meetings.
- Trade Unions

7. **If No, you may wish to consider pausing at this point while you undertake (further) engagement activities which you can include in the action plan below.** Please incorporate any information obtained from this additional activity in the boxes in question 8.

Action	Dates	Timeframe	Lead Responsibility	Information added to IIA (✓)

8. **What information do you hold about the impact on each of the following characteristic and statutory considerations / duties from your experience of current service delivery and recent engagement or consultation?** Include any additional relevant data; research and performance management information; surveys; Government, professional body or organisation studies; Census data; Is Wales Fairer? (EHRC[2] data); complaints/compliments; service user data and feedback; inspections/ audits; socio-economic data including WIMD[3] data. You may wish to include sub-headings showing where each element of your data has come from, e.g. national data, local data, organisation data, general or specific engagement exercises, etc.

Consider any positive or negative impact including <u>trends in data</u>, <u>geography</u> (urban or rural issues), <u>demography</u>, <u>access issues</u>, <u>barriers</u>, etc. Also include any areas where there are inequalities of outcome resulting from socio-economic disadvantage or other relevant issues identified by communities of interest or communities of place (i.e. where stakeholders, service users, staff, representative bodies, etc. are grouped together because of specific characteristics or where they live) and any issues identified for people living in less favourable social and/or economic circumstances.

Prompts for
Equality Impact Asse

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[2] Equality and Human Rights Commission

[3] Wales Index of Multiple Deprivation

Equality and Human Rights			
Protected Characteristic /Group	**Relevant Data**	**Positive and / or Negative Impact**	**Prompts** (not an exhaustive list)
Age	Assisted collections data – CRM Site Specific Risk Assessments	Potential positive impact through the identification of households who do not currently make use of assisted collections.	Older People Children Young People Working Age People Young Families Demographics NB: Where children / young people are affected complete the Childrens Rights Checklist United Nations Convention on the Rights of the Child (UNCRC) Caring responsibilities
Disability	Assisted collections data – CRM Site Specific Risk Assessments	Potential positive impact through the identification of households who do not currently make use of assisted collections.	Mobility / Dexterity Blind or Visually impaired Deaf or Hearing impaired Mental Health Learning Disabilities Dementia Neurological difference / Autism Access to buildings/ facilities, induction loops, signage Access to communication methods, use of British Sign Language, Easy Read Carers Dietary requirements Other Long Term Health Conditions United Nations Convention on the Rights of Persons with Disabilities (UNCRPD)
Gender Reassignment	No impact foreseen	No discernible impact	A person who proposes to, starts or has changed their gender identity Transgender

Equality and Human Rights			
Protected Characteristic /Group	**Relevant Data**	**Positive and / or Negative Impact**	**Prompts** (not an exhaustive list)
			Appropriate language use, i.e. gender neutral language, appropriate pronouns Gender neutral changing facilities and toilets confidentiality
Marriage & Civil Partnership	No impact foreseen	No discernible impact	Marital status Civil Partnership status Reference to partners and not assuming husband and wife relationships /terminology
Pregnancy & Maternity	Assisted collections data – CRM Site Specific Risk Assessments	Potential positive impact through the identification of households who do not currently make use of assisted collections.	Pregnant mothers Those entitled to maternity and paternity leave Foster/Adoption Breastfeeding mothers Access to breast feeding facilities Dress codes/uniforms- do they accommodate pregnant women
Race	No impact foreseen	No discernible impact	Consider Ethnicity Nationality Gypsies / Travellers Language: interpreter provision Use of plain language Refugee / Asylum Seekers Migrants Positive Action Awareness events United Nations Convention on the Elimination of All Forms of Racial Discrimination (UNCERD)
Religion & Belief	No impact foreseen	No discernible impact	Faith Communities Non Beliefs Dietary requirements Vegetarianism/Veganism Other philosophical beliefs

Equality and Human Rights			
Protected Characteristic /Group	**Relevant Data**	**Positive and / or Negative Impact**	**Prompts** (not an exhaustive list)
			Dress code/uniforms Religious festivals/activities Buildings – access to prayer room facilities
Sex	No impact foreseen	No discernible impact	Men / Women Gender Identity Toilet facilities/baby changing Childcare Gender Pay Gap Sex workers United Nations Convention on the Elimination of All Forms of Discrimination against Women (UNCEDAW)
Sexual Orientation	No impact foreseen	No discernible impact	Gay Lesbian Bi-sexual Heterosexual Terminology - Avoid making assumptions about a person's sexual orientation use gender-neutral terms such as partner(s). Confidentiality about sexuality Further resources available from Stonewall Cymru
Socio-economic Considerations-Reducing inequalities caused by socio-economic disadvantage	No impact foreseen	No discernible impact	People living in less favourable social and economic circumstances than others in the same society. Disadvantage may be exacerbated by many factors of daily life, not just urban or rural boundaries. 'Intersectionality' issues - where identity compounds socio-economic status, e.g., single

Equality and Human Rights			
Protected Characteristic /Group	**Relevant Data**	**Positive and / or Negative Impact**	**Prompts** (not an exhaustive list)
			parents (often women), disabled people, some BAME groups. Examples include lower levels of good health, lower paid work, poorer educational attainment and an increased risk of being a victim of crime Further resources available from Welsh Government including examples of inequalities of outcome caused by socio-economic disadvantage Inequalities of outcome.pdf
Human Rights	No impact foreseen	No discernible impact	See Human Rights Articles below. https://humanrightstracker.com/en/ on EHRC website
Other (please state)	No impact foreseen		E.g., Modern Slavery, Safeguarding, Other COVID effects, Carers, Ex-offenders, Veterans, Care Leavers, Substance Abuse, Homeless
Welsh Language			
Welsh Language	No impact foreseen	No discernible impact	Ensuring equal status of both Welsh and English languages. Availability of and access to services, activities and information. Availability of Welsh speaking employees Technology

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Equality and Human Rights				
Protected Characteristic /Group	**Relevant Data**		**Positive and / or Negative Impact**	**Prompts** (not an exhaustive list)
Page 147				Rights of individuals to ask for WL services. Impact on Welsh speaking communities, including: Positive / negative effects on opportunities to use the WL. Possible changes to number/percentage of Welsh speakers Migration Job opportunities / Staffing changes. Training needs and opportunities Availability of Welsh medium education. PDF 20200921 DG S Policy making stand

Human Rights Act 1998	
• Article 2 Right to life	• Article 8 Respect for private life, family, home and correspondence
• Article 3 Freedom from torture and inhuman or degrading treatment	• Article 9 Freedom of thought, belief and religion
• Article 4 Freedom from Slavery and forced labour	• Article 10 Freedom of expression
• Article 5 Right to liberty and security	• Article 11 Freedom of Assembly and association
• Article 6 Right to a fair trial	• Article 12 Right to marry and start a family
• Article 7 No punishment without law	• Article 13 Right to access effective remedy if rights are violated
	• Article 14 Protection from discrimination

Environment and Biodiversity			
	Relevant Data/Information	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list)
Reducing greenhouse gas emissions	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management Site Specific Risk Assessments	Positive Impact - By regularly assessing conditions on un-adopted roads, will ensure a more effective use of fleet and highways assets, reducing the need for repairs, replacements, and maintenance of fleet and private property. The policy will reduce the need for HGV and promote the use of smaller vehicles in some areas of the county.	Will energy need be met through renewable sources? Will it reduce greenhouse gas emissions by reducing energy consumption and the need to travel? * Will it reduce ozone depleting emissions? Will it reduce emissions through retrofitting new technology? Will it reduce heat island effects on people and property?
Plan for future climate change	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management Site Specific Risk Assessments	The policy introduces safer working practices and reduces the need for repairs, replacements, and maintenance of fleet and private property.	Will it minimise flood risk from all sources of flooding? * Will it reduce property damage due to storm events/heavy rainfall by improving flood resistance and flood resilience? Will it reduce combined sewer overflow events? Will it encourage the re-use of resources? Will it encourage sustainable construction methods and procurement? Will it encourage water efficiency and drought resilience?
Pollution: air/, water/ soil/noise	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management	Positive Impact - Rural roads be affected by reduced traffic from	Will it reduce combined sewer overflow events? Will it improve air quality? *

Environment and Biodiversity			
	Relevant Data/Information	Positive and /or negative impacts	Prompts (not an exhaustive list)
and vibration and emissions	The Gazetteer Mayrise asset management system Biodiversity Grass Cutting Policy Site Specific Risk Assessments	heavy goods vehicles, prolonging the life of the road surface.	Will it reduce emissions of key pollutants? Will it reduce noise concerns and noise complaints? Will it reduce noise levels?
Integrating biodiversity into decision making	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management The Gazzetteer Mayrise asset management system Grass Cutting Policy Site Specific Risk Assessments	Positive Impact Rural roads will potentially be positively affected by reduced traffic from heavy goods vehicles, prolonging the life of the road surface and reducing damage to vegetation and hedges.	Have you considered the impacts and opportunities for action for biodiversity at early stages Are the impacts of procurement on biodiversity considered? Are products sourced sustainably? Have the wider benefits of improved biodiversity been considered, flood prevention, health and wellbeing, recreation? Can you link with other strategies and initiatives for biodiversity e.g. FCC Environment and Sustainability policy, FCC Section 6 Plan, FCC Urban tree and woodland plan?
Increasing the resilience of our natural environment?	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management The Gazetteer Site Specific Risk Assessments	Positive Impact Rural roads will potentially be positively affected by reduced traffic from heavy goods vehicles, prolonging the life of the road surface and reducing damage to vegetation and hedges	Does the proposal work with nature and consider the use of nature-based solutions first and foremost? Does your proposal support the creation of new habitats (in addition to any mitigation or compensation habitat) Does it contribute to the restoration of degraded habitats? Does it improve site management to improve nature value?
Improving understanding	Priority: Green Council	Positive Impact Rural roads will potentially	Can your proposal promote understanding of biodiversity?

Environment and Biodiversity			
	Relevant Data/Information	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list)
and raise awareness of the importance of biodiversity	Sub-Priority: Sustainable Development & Environmental Management The Gazetteer Mayrise asset management system Grass Cutting Policy Site Specific Risk Assessments	be positively affected by reduced traffic from heavy goods vehicles, prolonging the life of the road surface and reducing damage to vegetation and hedges	Can the delivery of public goods and services such as social care, community health and recreation promote biodiversity? Can your proposal promote biodiversity with partners/beneficiaries
Encouraging resource efficiency (energy, water, materials and minerals)	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management The Gazetteer Mayrise asset management system Grass Cutting Policy	Positive Impact - By regularly assessing conditions on un-adopted roads, will ensure a more effective use of fleet and highways assets, reducing the need for repairs, replacements, and maintenance of fleet and private property.	Will it reduce water consumption and improve water efficiency? Will it reduce energy consumption? *
Reducing waste production and increase recycling, recovery and re-use of waste	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management The Gazetteer Mayrise asset management system Grass Cutting Policy	Positive Impact - By regularly assessing conditions on un-adopted roads, will ensure a more effective use of fleet and highways assets, reducing the need for repairs, replacements, and maintenance of fleet and private property.	Will it reduce consumption of materials and resources? Will it reduce household waste? Will it increase recycling, recovery and re-use? Will it reduce construction waste?

Environment and Biodiversity			
	Relevant Data/Information	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list)
Reducing need to travel and promote sustainable forms of transport	Priority: Green Council Sub-Priority: Sustainable Development & Environmental	The policy will reduce the need for HGV and promote the use of smaller vehicles in some areas of the county.	Will it reduce volumes of traffic? Will it encourage walking and cycling?* Will it increase proportion of journeys using modes other than the car?
Improving the physical environment: housing, public space, access to and quality of green space	Priority: Green Council	No discernible impact	Will it reduce litter? Will it enhance the quality of public realm? Will it improve access and mobility for all equality groups Will it improve open space? Will it improve landscape character? Will it minimise development on Greenfield sites
Protecting and enhancing the historic environment and architectural, archaeological and cultural heritage	Priority: Green Council Sub-Priority: Sustainable Development & Environmental Management The Gazetteer Mayrise asset management system	No discernible impact	Will it protect heritage sites and cultural value? Will it protect strategic views? Will it protect listed buildings and their settings? Will it help preserve, enhance and record archaeological features and their settings?

Health			
Determinants of health	**Relevant data /information**	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list) Guidance from HIA_Tool_Kit_V2_W EB.pdf
Lifestyles	No data	No discernible impact	Diet Physical activity Use of alcohol, cigarettes, non-prescribed drugs Sexual activity Other risk-taking activity
Social and community influences on health	No data	No discernible impact	Family organisation and roles Citizen power and influence Social support and social networks Neighbourliness Sense of belonging Local pride Divisions in community Social isolation Peer pressure Community identity Language/Cultural and spiritual ethos Racism Other social exclusion
Mental well-being	No data	No discernible impact	Does this proposal support sense of control? Does it enable participation in community and economic life? Does it impact on emotional wellbeing and resilience?

Health			
Determinants of health	**Relevant data /information**	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list) Guidance from HIA_Tool_Kit_V2_W EB.pdf
Living/environmental conditions affecting health	No data	Positive impact - Rural roads will potentially be positively affected by reduced traffic from heavy goods vehicles, prolonging the life of the road surface and reducing damage to vegetation and hedges. This will also reduce noise, vibration, and air pollution.	Built environment Neighbourhood design Housing Indoor environment Noise Air and water quality Attractiveness of area Green space Community safety Smell/odour Waste disposal Road hazards Injury hazards Quality and safety of play areas
Economic conditions affecting health	No data	The policy promotes safer working and demonstrates our commitment to prioritise the safety of staff and customers	Unemployment Income Economic inactivity ☐ Type of employment Workplace conditions
Access and quality of services	No data	Residents who live on unadopted or private roads will have a direct input to the service they receive	Medical services Other caring services Shops and commercial services Public amenities

Health			
Determinants of health	**Relevant data /information**	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list) Guidance from 📄 PDF HIA_Tool_Kit_V2_W EB.pdf
		through face to face consultation. Where an un-adopted road has multiple residents, they will be encouraged to work together to find a cohesive, community lead decision.	Transport including parking Education and training Information technology
Macro-economic, environmental and sustainability factors	The Environment (Wales) Act Priority: Green Council Site Specific Risk Assessments	Positive Impact Rural roads will potentially be positively affected by reduced traffic from heavy goods vehicles, prolonging the life of the road surface and reducing damage to vegetation and hedges Positive Impact - By regularly assessing conditions on un-adopted roads, will ensure a more effective use of fleet and highways assets, reducing the need for repairs**,** replacements,	Government policies Gross Domestic Product Economic development Biological diversity Climate

Health			
Determinants of health	**Relevant data /information**	**Positive and /or negative impacts**	**Prompts** (not an exhaustive list) Guidance from HIA_Tool_Kit_V2_W EB.pdf
		and maintenance of fleet and private property.	

United Nations Conventions on the Rights of the child			
	Relevant data or information	**Positive and/or negative impacts**	Prompts (not exhaustive)
Relevant Article	No impact foreseen	No discernible impact	Summary of conventions

	There are four articles in the convention that are seen as special. They're known as the "General Principles" and they help to interpret all the other articles and play a fundamental role in realising all the rights in the Convention for all children. They are:
Article 2	The Convention applies to every child without discrimination, whatever their ethnicity, sex, religion, language, abilities or any other status, whatever they think or say, whatever their family background
Article 3	(best interests of the child) The best interests of the child must be a top priority in all decisions and actions that affect children.
Article 6	(life, survival and development) Every child has the right to life. Governments must do all they can to ensure that children survive and develop to their full potential
Article 12	2 (respect for the views of the child) Every child has the right to express their views, feelings and wishes in all matters affecting them, and to have their views considered and taken seriously. This right applies at all times, for example during immigration proceedings, housing decisions or the child's day-to-day home life

9. Are there any data or information gaps and if so what are they and how do you intend to address them?

Currently the individual circumstances of residents on unadopted roads is unknown and will be established via consultation with groups and individuals. Each household will have direct input into the provision of service to those properties affected.

Note: If it is not possible to obtain this information now, you should include this in your action plan in Step 6 so that this information is available for future IIAs.

10. How does your proposal ensure that you are working in line with the requirements of the Welsh Language Standards (Welsh Language Measure (Wales) 2011), to ensure the Welsh language is not treated less favourably than the English language, and that every opportunity is taken to promote the Welsh language (beyond providing services bilingually) and increase opportunities to use and learn the language in the community?

The service will ensure that all communications and information related to this policy are available in both English and Welsh. This includes documents, notifications, and digital platforms used for customer engagement. Adequate language support should be provided for residents who speak Welsh to ensure accessibility and inclusivity.

11. If this IIA is being updated from a previous version of a similar policy or practice, were the intended outcomes of the proposal last time achieved or were there other outcomes? (Please provide details, for example, was the impact confined to the people you initially thought would be affected, or were other people affected and if so, how?)

Not applicable.

12. What is the cumulative impact of this proposal on different protected groups when considering other key decisions affecting these groups made by the organisation? (You may need to discuss this with your Chief Officer or Cabinet Member to consider more widely if this proposal will affect certain groups more adversely because of other decisions the organisation is making, e.g., financial impact/poverty, withdrawal of multiple services and whether this is disadvantaging the same groups, e.g., disabled people, older people, single parents (who are mainly women), etc)

The cumulative impact is fundamentally positive as we are improving the safety of staff and customers over the long term. The long-term environmental benefits in terms of reduced noise and air pollution will also positively impact on the affected communities. In addition, this

new policy will allow us to identify customers with additional needs that may have yet not been identified, giving us the opportunity to offer enhanced services such as assisted collections.

13.   How does this proposal meet with each of the 7 goals of the Well-being of Future Generations (Wales) Act 2015?

For more information, please see: https://futuregenerations.wales/about-us/future-generations-act/

Prosperous Wales	Positive – Protecting the staff customers and assets of Flintshire CC to ensure continued service and well-being
Resilient Wales	Positive – Reducing use of raw materials through reduced repairs, replacement and maintenance of fleet
Healthier Wales	Positive – Reducing risk of injury to staff and customers
More equal Wales	No Impact
Cohesive Wales	No Impact
Vibrant Wales	Positive – Promoting a positive approach to staff and customer safety and well-being
Globally responsible Wales	Positive – Reducing use of raw materials through reduced repairs, replacement and maintenance of fleet

14.   How does this proposal meet with the 5 ways of working of the Well-being of Future Generations (Wales) Act 2015 ?

For more information, please see: https://futuregenerations.wales/about-us/future-generations-act/

Long Term	Preserving the services of waste and recycling services safely to the people of Flintshire
Prevention	Preventing damage and injury to the people and assets of FCC
Integration	No impact
Collaboration	Working with customers to find collaborative solutions that continue services and prioritise safety
Involvement	Engaging customers to find solutions that continue services and prioritise safety

15. **Describe any intended negative impact identified and explain why you believe this is justified** (for example, on the grounds of advancing equality of opportunity or fostering good relations between those who share a protected characteristic and those who do not or because of an objective justification[1] or positive action[2])

Customers who refuse to engage in the collaborative nature of the policy may lose the option of a boundary collection service in favour of a nominated collection point on the adopted highway.

Note[1]: Objective Justification - gives a defence for applying a policy, rule or practice that would otherwise be unlawful direct or indirect discrimination. To rely on the objective justification defence, the employer, service provider or other organisation must show that its policy or rule was for a good reason – that is 'a proportionate means of achieving a legitimate aim'. A **legitimate aim** is the reason behind the discrimination which must not be discriminatory in itself and must be a genuine or real reason, e.g., health, safety or welfare of individuals. If the aim is simply to reduce costs because it is cheaper to discriminate, this will not be legitimate. Consider if the importance of the aim outweighs any discriminatory effects of the unfavourable treatment and be sure that there are no alternative measures available that would meet the aim without too much difficulty (proportionate) and would avoid the discriminatory effect.

Note[2]: Positive Action - Where an employer takes specific steps to improve equality in the workplace to address any imbalance of opportunity, lessen a disadvantage or increase participation in a particular activity, for example, increasing the number of disabled people in senior roles where they are under-represented by targeting specific groups with job adverts or offering training to help create opportunities for certain groups. The public sector is expected to consider the use of positive action to help them comply with the Public Sector Equality Duty.

16. **Could any of the negative impacts identified amount to unlawful discrimination but are perceived to be unavoidable (e.g., reduction in funding)?**

Yes ☐   No ☒   Not Sure ☐   *(Please double click on the relevant box (X) and select 'checked' as appropriate)*

17. **If you answered Yes or Not Sure to question 15, please state below, which protected group(s) this applies to and explain why (including likely impact or effects of this proposed change)**

18. **If you answered No to question 15, are there any barriers identified which amount to a differential impact for certain groups and what are they?**

Not applicable

STEP 3 - Procurement and Partnerships

The Public Sector Equality Duty (PSED) requires all public authorities to consider the needs of protected characteristics when designing and delivering public services, including where this is done in partnership with other organisations or through procurement of services. The Welsh Language Standards also require all public authorities to consider the effects of any policy decision, or change in service delivery, on the Welsh language, which includes any work done in partnership or by third parties. We must also ensure we consider the Socio-economic Duty when planning major procurement and commissioning decisions to consider how such arrangements can reduce inequalities of outcome caused by socio-economic disadvantage.

When procuring works, goods or services from other organisations (on the basis of a relevant agreement), we must have due regard to whether it would be appropriate :
- for the award criteria for that contract to include considerations to help meet the General Duty (to eliminate discrimination, promote equality of opportunity and foster good relations);
- to stipulate conditions relating to the performance of the contract to help meet the three aims of the General Duty.

This only applies to contractual arrangements that are "relevant agreements" which means either the award of a 'public contract' or the conclusion of a 'framework agreement', both of which are regulated by the Public Sector Directive (Directive 2004/18/EC) which regulates the specified EU thresholds. Further information can be found here.

We must consider how such arrangements can improve equal opportunities and reduce inequalities of outcome due to protected characteristics and caused by socio-economic disadvantage, particularly on major procurement and commissioning decisions. The PSED applies to the work that private sector organisations undertake when delivering a public function on our behalf. We therefore need to ensure that those organisations exercise those functions by ensuring our procurement and monitoring of those services complies with the General Duty under Section 149 of the Equality Act 2010. In the same way, the Welsh Language Standards applies to any work undertaken on behalf of, and in the name of, public bodies that are themselves subject to the Standards, and so consideration should be given to how these requirements are monitored and communicated through the procurement documents. The Socio Economic Duty does not pass to a third party through procurement, commissioning or outsourcing. Therefore when we work in partnership with bodies not covered by the Socio Economic Duty, the duty only applies to us as the relevant public body.

19   Is this policy or practice to be carried out wholly or partly by contractors or in partnership with another organisation(s)?

Yes   ☐   No   ☒   *(Please double click on the relevant box (X) and select 'checked' as appropriate)*

If No, please proceed to Step 4

20. **If Yes, what steps will you take to comply with the General Equality Duty, Human Rights and Welsh Language Legislation and the Socio-Economic Duty in regard to procurement and/or partnerships? Think about :**

Procurement
- Setting out clear equality expectations in Tendering and Specification documentation, showing how promotion of equality may be built into individual procurement projects
- On what you based your decisions in the award process, including consideration of ethical employment and supply chain code of practice
- Ensure that contract clauses cover the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 and socio-economic requirements as well as Welsh Language Duties (remember that any duties from the Welsh Language Measure 2011 and Welsh Language Standards are also applicable to services provided on your behalf under contract by external bodies).
- Performance and Monitoring measures are included to monitor compliance, managing and enforcing contracts

Partnerships

Be clear about who is responsible for :
- Equality Monitoring relevant data
- Equality Impact Assessments
- Delivering the actions from the IIA
- Ensuring that equality, human rights and Welsh Language legislation is complied with by all partners
- Demonstrating due regard to the Public Sector Equality Duty and the Socio-Economic duty

STEP 4 - Dealing with Adverse or Unlawful Impact and Strengthening the Policy or Practice

21. **When considering proportionality, does the policy or practice have a significantly positive or negative impact or create inequalities of outcome resulting from socio-economic disadvantage?**
    (Please give brief details)

Significantly positive impact	Significantly negative impact
No discernible impact	No discernible impact

22. It is important that you record the mitigating actions you will take in developing your final policy/practice draft. Record here what measures or changes you will introduce to the policy or practice in the final draft which could reduce or remove any unlawful or negative impact or disadvantage and/or improve equality of opportunity/introduce positive change; or reduce inequalities of outcome resulting from socio-economic disadvantage? (This could also inform the Action Plan in Q30)

Unlawful or Negative Impact Identified	Mitigation / Positive Actions Taken in the Policy/Practice	Completed (✓)

23. Will these measures remove any unlawful impact or disadvantage?

Yes ☐   No ☐   *(Please double click on the relevant box (X) and select 'checked' as appropriate)*

24. If No, what actions could you take to achieve the same goal by an alternative means?

Not applicable

25. What measures or changes in the following important legislative areas have you included to strengthen or change the policy/practice:
a) to foster good relations and advance equality of opportunity as covered by the General Duty in the Equality Act 2010;
b) to reduce inequalities of outcome as a result of socio-economic disadvantage;
c) to increase opportunities to use the Welsh language and in treating the Welsh language no less favourably than the English language as set out in the Welsh Language (Wales) Measure 2011 and reduce or prevent any adverse effects that the policy/practice may have on the Welsh language?

Engagement with operational staff to identify and complete risk assessments.
Engagements with customers on a case-by-case basis to establish collaborative solutions.
All correspondence, literature and engagement will be provided in English and Welsh.

26. Do you have enough information to make an informed judgement?

Yes ☒   No ☐   *(Please double click on the relevant box (X) and select 'checked' as appropriate)*

27.   If you answered Yes, please justify:

The policy is driven by the safety of staff and customers and any potential impact will be addressed and mitigated on a case-by-case basis. Impact will also be monitored annually to ensure dynamic changes can be made to address them.

28.   If you answered No, what information do you require and what do you need to do to make a decision?
(Note: Should data collection be included in the action plan (Step 6)?)

[You may need to stop here until you have obtained the additional information]

STEP 5 - Decision to Proceed

29.   Using the information you have gathered in Steps 1 – 4 above, please state on the table below whether you are able to proceed with the policy or practice and if so, on what basis?

(Please double click on the relevant box (X) and select 'checked' as appropriate)

		Decision
☒	Yes	Continue with policy or practice in its current form
☐	Yes	Continue with policy or practice but with amendments for improvement or to remove any areas of adverse impact identified in Step 4
☐	Yes	Continue with the plan as any detrimental impact can be justified
☐	No	Do not continue with this policy or practice as it is not possible to address the adverse impact. Consider alternative ways of addressing the issues.

30.   Are there any final recommendations in relation to the outcome of this Equality Impact Assessment?

STEP 6 - Actions and Arrangements for Monitoring Outcomes and Reviewing Data

The IIA process is an ongoing one that doesn't end when the policy/practice and IIA is agreed and implemented. There is a specific legal duty to monitor the impact of policies/practices on equality on an ongoing basis to identify if the outcomes have changed since you introduced or amended this new policy or practice. If you do not hold relevant data, then you should be taking steps to rectify this in your action plan. To review the EHRC guidance on data collection you can review their Measurement Framework.

31.   Please outline below any <u>actions</u> identified in Steps 1-5 or any additional data collection that will help you monitor your policy/practice once implemented:

Action	Dates	Timeframe	Lead Responsibility	Add to Service Plan (✓)
Carry out customer engagement and communication plan.		Quarterly	Kevin Edwards	
Create monitoring plan to ensure effective execution of the policy.		Q1	Kevin Edwards	
Create new Safe System of Work (SSoW) documents for all identified routes		Quarterly	Kevin Edwards	

32.   Please outline below what arrangements you will make to <u>monitor and review</u> the ongoing impact of this policy or practice including timescales for when it should be formally reviewed:

Monitoring and Review arrangements (including where outcomes will be recorded)	Timeframe & Frequency	Lead Responsibility	Add to Service Plan (✓)
Impact on customer engagement	Quarterly	Kevin Edwards	
Accident and incidents on identified routes	Quarterly	Kevin Edwards	

Waste and Recycling performance relating to the identified routes	Quarterly	Kevin Edwards	

STEP 7 - Publishing the Integrated Impact Assessment

Please arrange for this completed IIA to be agreed by your Chief Officer and arrange for translation and publishing with a copy sent to Stephanie Aldridge: stephanie.aldridge@flintshire.gov.uk.

CYNGOR
Sir y Fflint
Flintshire
COUNTY COUNCIL

ENVIRONMENT AND ECONOMY OVERVIEW AND SCRUTINY

Date of Meeting	Tuesday, 14th November 2023
Report Subject	Operator Licence (Audit Report)
Cabinet Member	Deputy Leader of the Council and Cabinet Member for Streetscene and Regional Transport Strategy
Report Author	Chief Officer (Streetscene & Transportation)
Type of Report	Operational

EXECUTIVE SUMMARY

In accordance with the recommendations of the Governance and Audit Committee, this report to the Environment & Economy Overview & Scrutiny Committee provides an update on the progress of the action plan that followed an internal audit of the Council's Operator's (O') Licence, which was conducted in April 2021. The audit found that the controls in operation at the time provided some assurance that key risks were being managed and controlled effectively, but that significant improvement was required in areas relating to the control environment for tachograph compliance, fleet servicing and maintenance, and single person dependency impacting service resilience.

A follow-up audit was conducted in May 2023, which highlighted that reasonable progress in implementing the agreed actions was being made and key controls were in place, but some refinement of addition of controls was required, which would enhance the control environment. The follow-up audit report issued in May 2023 gave a reasonable (amber/green) assurance level and identified that key objectives could be better achieved with some relatively minor adjustments and key controls are generally operating effectively.

Fleet Services provide the compliance monitoring function for all the Council's vehicle operations that come under the Operator Licensing, and all other vehicle operations which may affect that Operator Licence (O' Licence). Under the legislation, the Council gives an undertaking of compliance to the Welsh Traffic Commissioner that the Council will control all operations effectively in respect of operating centres, driver training and licencing, recording of driver's hours, speeding, overloading and vehicle maintenance and inspection.

This report provides an update on progress of the action plan and provides information about changes within the service area in recent months.

RECOMMENDATIONS	
1.	Scuritny notes and supports the ongoing working arrangements within Fleet Services and supports the actions undertaken to control the operational risk to the Council and ensure compliance with the undertakings required for the Operator's Licence.

REPORT DETAILS

1.00	BACKGROUND TO THE REPORT
1.01	Fleet Services provide the compliance monitoring function for all the Council's vehicle operations that come under the Operator Licensing, and all other vehicle operations which may affect that Operator Licence (O' Licence). Under the legislation, the Council gives an undertaking of compliance to the Welsh Traffic Commissioner that the Council will control all operations effectively in respect of operating centres, driver training and licencing, recording of driver's hours, speeding, overloading and vehicle maintenance and inspection.
1.02	An audit of the heavy goods vehicle (HGV) O' Licence compliance was undertaken in April 2021 as part of the approved Internal Audit Annual Plan for 2020/2021. The review focused on providing assurance around compliance with the servicing and maintenance conditions as well as tachograph conditions stipulated within the O' Licence.
1.03	A report was presented to the Environment & Economy Overview and Scrutiny Committee in October 2021 to explain the ongoing working arrangements within the portfolio's Fleet Services and supports the actions undertaken to control operational risk and deliver on the undertakings of the Council's operator's licence. Vehicle operator licensing is designed to ensure the safe and proper use of goods vehicles and to protect the environment around operating centres. It is an offence to operate a goods vehicle without a valid operator licence (if one is required). The Council operates under an HGV Standard National O' Licence, which allows for the operation of up to 81 vehicles. There are approximately 47 HGV vehicles currently registered under this licence. Go Plant Fleet Services (GPFS), the Council's external partner, is responsible for the supply, management, and maintenance of all fleet vehicles; however, the Council has overall responsibility for ensuring compliance with the terms and conditions of the O' Licence.
1.04	At the time of the original internal audit in April 2021, it is recorded that the timing of the audit unfortunately coincided with a period of long-term sickness absence of the Fleet Contract and Transport Manager. As a result, the audit process was frustrated by the lack of availability of relevant members of staff to provide access to data to allow the audit review to take place. It must also be remembered that, at that time, Covid-safe operational restrictions were in place within the offices at the Alltami Depot, and the lack of availability of staff members made access to documents challenging.

	Additionally, the absence of the Fleet Contract and Transport Manager had led to an interruption in timely reporting of vehicle servicing compliance and the distribution of tachograph infringement reporting. However, there was no evidence that this led to non-compliance of vehicle servicing.
1.05	The audit considered the adequacy and effectiveness of the controls in place to manage risk to the achievement of service and organisational objectives, specifically focusing on the extent to which the Transport Manager exercises 'continuous and effective control' over transport operations and processes for ensuring continued compliance with the conditions of the O' Licence, including oversight of compliance within Go Plant relating to fleet servicing and maintenance. The overall findings within the audit report were that the controls in operation at the time provided some assurance that key risks were being managed and controlled effectively, but that significant improvement was required in areas relating to the control environment relating to tachograph compliance, fleet servicing and maintenance, and single person dependency impacting service resilience.
1.06	GPFS, our fleet contractor, had to replace their contract manager in July 2021 due to a resignation, who had been embedded on-site at the Alltami depot fleet workshops until that time. Appointment to this post was prompt, however, turnover in key support roles only serves to challenge the consistency and continuity of the service.
1.07	This then coincided with the resignation of the Council's Fleet Contract & Transport Manager in July 2021, who subsequently left the Authority in early September 2021 following completion of the notice period. The initial recruitment exercise that took place in August 2021 was unsuccessful in finding a suitable replacement to the role.
1.08	Throughout the pandemic, and continuing to this day, GPFS fleet management presence has been in place at the Alltami depot to support the operations and new processes have had to be introduced and refined during the course of the audit review; however, unfortunately reduced staff resources and then the need to introduce a new fleet manager into the service inevitably interrupted efforts to develop the service and revise procedures in the interim period.
1.09	Following three separate attempts to recruit a replacement to the role of Fleet and Contract Manager, an appointment to the post was made in March 2022, following an initial engagement through MatrixHR in December 2021; however, sadly the Fleet & Contract Manager position was again found to be vacant following the unexpected and sudden death of the post holder in October 2022.
1.10	Interim arrangements were put in place with the existing Fleet Technical Officer temporarily acting up into the role during the final round of recruitment. Additionally, the Association of Public Service Excellence (APSE) were approached to see if they could provide temporary support to the Fleet Management team, whilst also assist in addressing contractual matters and providing general support with compliance procedural issues, sharing knowledge and experience with both the Technical Officer and the incoming Fleet Manager. APSE were then engaged with a CPC holder providing interim support from May until October 2023.

1.11	Further recruitment took place in December 2022/January 2023 for a replacement Fleet & Contract Manager and an appointment was made, but during the course of the pre-employment checks, that individual withdrew from the process and declined the appointment.
1.12	Despite all the setbacks with recruitment and unexpected, sad loss of the post holder in October 2022, the absence of a Fleet Contract and Transport Manager has not impacted on the Council's O' licence, since the nominated Transport Manager on the O' licence is, and always has been, the Highway Network Manager.
1.13	Throughout this period, support has also been provided through the portfolio's Compliance and Training Manager in terms of reviewing/drafting new processes for fleet services. Regular meetings take place between this manager and the Highway Network Manager to progress this aspect and ensure that reporting takes places routinely for the agreed actions in the audit report e.g. tachograph compliance, service and maintenance reporting and a documented set of procedures for Operator Licence requirements.
1.15	A follow-up audit was conducted in May 2023, which highlighted that reasonable progress in implementing the agreed actions was being made and key controls were in place, but some refinement of addition of controls was required, which would enhance the control environment. The follow-up audit report issued in May 2023 gave a reasonable (amber/green) assurance level and identified that key objectives could be better achieved with some relatively minor adjustments and key controls are generally operating effectively. The level of assurance reflects the progress made in the implementation of agreed actions since the original audit was carried out in April 2021.
1.16	Although there have been significant issues with staff resilience and capacity within the fleet services team previously, this has been overcome in recent months. In March/April 2023, following the unsuccessful appointment of the preferred candidate earlier in the year, we immediately went back out to the market, and an appointment was made with the newly appointed Fleet Manager taking up the post in June 2023, who is currently working through the 6-month probation period.

Whilst conducting this recruitment process, the GPFS Contract Manager submitted his resignation in May 2023 and the contractor is currently addressing this position within the contract. |
| 1.17 | The new Fleet Manager will need a period of transition into the role as part of the 6-month probation period and subject to satisfactory completion, beyond this time then is likely to be added to the Operator's Licence as the designated Transport Manager after March 2024. |
| 1.18 | Recruitment exercises in recent years have proven that the fleet manager post is a difficult role to fill, and staff turnover has impacted the continuity and consistency required to provide an efficient, effective, and compliant service, with the most recent recruitment being the fifth exercise to recruit to the role since 2016. |

1.19	The Chief Officer (Streetscene & Transportation) presented a report to Cabinet in July 2023 on resilience and capacity within Fleet Services, which presented proposals to address the issues within the portfolio in two key areas: fleet services and waste strategy. The recommendations within the report were approved and the service intends to address this issue through the development of two new posts within Fleet Services, which are intended to provide resilience and enable a career pathway and development programme for the team.
1.20	The new positions would provide additional support and oversight to the fleet services function, ensuring that service delivery is maintained in the event of unexpected disruptions. By creating these new posts, we can establish a clear career advancement pathway for employees within the fleet services function whilst also providing resilience for the Fleet Manager. Both new roles will require investment in terms of personal development, either through mentoring and coaching, approved training courses and on-the-job learning.
1.21	Further assurance can also be provided by confirming that our current HGV MOT pass rate is maintained at 99% (well above the national average), and our Operator's Compliance Risk Score (OCRS) from the DVSA is has been maintained at its highest level – 'Green' - beyond the last 90 days.

OCRS Score History for the last 90 days (29/09/2023):

Score Date	Roadworthiness Band	Traffic Band
24/09/2023	Green	Green
17/09/2023	Green	Green
10/09/2023	Green	Green
03/09/2023	Green	Green
27/08/2023	Green	Green
20/08/2023	Green	Green
13/08/2023	Green	Green
06/08/2023	Green	Green
30/07/2023	Green	Green
23/07/2023	Green	Green
16/07/2023	Green	Green
09/07/2023	Green	Green
02/07/2023	Green	Green

(NB. Information Provided from DVSA at time of writing this report)

1.22	The Fleet Contract Manager is currently going through a period of familiarisation with the fleet services team and the contractor, as well as the wider portfolio and operational services. Following the support provided through APSE's CPC holder, the new postholder is developing revised processes and agreeing system improvements with the contractor to continue to improve the controls measures across the fleet service area and ensure effective compliance with the undertakings required for the Operator's Licence.

2.00	RESOURCE IMPLICATIONS
2.01	**Revenue:** there are no implications for the approved revenue budget for this service for either the current financial year or for future financial years.
2.02	**Capital:** there are no implications for the approved capital programme for either the current financial year or for future financial years.
2.03	**Human Resources:** the creation of the two new roles within Fleet Services will require an initial investment in the short-term. However, we anticipate significant benefits in terms of increased efficiency, improved service delivery, and control of significant contract costs in the longer term through the renewal of the fleet contract. For example, the creation of an assistant fleet manager position will provide additional oversight and support to the fleet services function, reducing the likelihood of unexpected disruptions, costly downtime, and ensure appropriate enforcement against non-compliance. The costs for the two additional posts would be subject to job design and evaluation, but it is anticipated that the on-going burden in employee costs would be in the region of £90-105k per annum including on-costs.

3.00	IMPACT ASSESSMENT AND RISK MANAGEMENT
3.01	The internal audit reports highlighted that changes to the current ways of working were required in order to provide assurance that key risks were being managed and controlled effectively.
3.02	The work undertaken to date to introduce new systems, processes and working arrangements, along with written procedures will ensure that progress continues to be monitored by the Senior Management Team.

4.00	CONSULTATIONS REQUIRED / CARRIED OUT
4.01	Consultation is ongoing with Streetscene & Transportation support teams in relation to support and implementation of new systems and reporting mechanisms.

5.00	APPENDICES
5.01	Appendix 1 - Audit Report – May 2023

6.00	LIST OF ACCESSIBLE BACKGROUND DOCUMENTS
6.01	None

| 7.00	CONTACT OFFICER DETAILS
7.01	**Contact Officer:** Barry Wilkinson **Telephone:** 01352 704656 **E-mail:** barry.wilkinson@flintshire.gov.uk

8.00	GLOSSARY OF TERMS
8.01	**Operators (O') Licence** - is a legal authorisation required in the United Kingdom for individuals or companies that operate goods vehicles for hire or reward. The weight threshold for requiring an O' Licence depends on the specific type of vehicle. In the UK, goods vehicles with a Maximum Authorised Mass (MAM) over 3.5 tonnes are typically subject to O' Licence requirements. **DVSA** - Driver and Vehicle Standards Agency (DVSA) is an executive agency of the Department for Transport in the United Kingdom. The DVSA is responsible for maintaining and enforcing standards related to drivers and vehicles, with the aim of enhancing road safety. **OCRS** - The Operator Compliance Risk Score (OCRS) is a system used by the DVSA in the UK to assess the risk of a commercial vehicle operator not complying with road safety rules. The OCRS is an important tool for the DVSA in helping to ensure that commercial vehicle operators are meeting their obligations and that their vehicles are safe to operate.

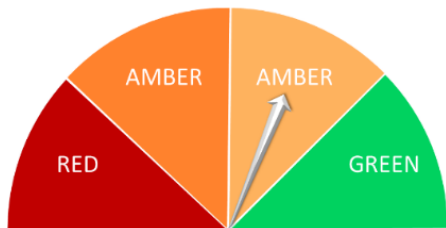This page is intentionally left blank

Flintshire Internal Audit

Follow Up Audit Report

Original Assurance Rating (April 2021):
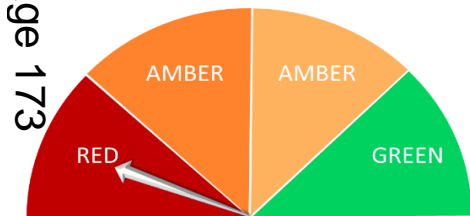
Revised Assurance Rating (May 2023):

Title:	22/23 Loss of O Licence - Follow Up
Portfolio:	Streetscene & Transportation
Issued Dated:	May 2023
Report No:	11-2022/23
Report Status:	FINAL Report v1

Internal Audit engagements are conducted in conformance with the Public Sector Internal Audit Standards.

CYNGOR
Sir y Fflint
Flintshire
COUNTY COUNCIL

1. Executive Summary:

Audit Opinion:

In each report we provide management with an overall assurance opinion on how effectively risks are being managed within the area reviewed. Appendix A of the report details our assurance levels:

Assurance:	Explanation
Amber Green – Reasonable	**Reasonable progress in implementing agreed actions / Key Controls in place but some fine tuning required** • Key controls exist but there are weaknesses and / or inconsistencies in application though no evidence of any significant impact • Some refinement or addition of controls would enhance the control environment • Key objectives could be better achieved with some relatively minor adjustments Conclusion: reasonable progress; key controls generally operating effectively.

Introduction, Scope and Summary Findings:

We completed an audit of Loss of O Licence in April 2021, audit report reference 31-2020/21. Our overall opinion in that audit was that the control environment in operation at the time provided **some assurance** that key risks were being managed and controlled effectively. The original audit report contained 3 'Red' high priority agreed actions for management.

The scope of this follow-up review is to assess the extent to which the agreed actions identified in the original audit report have been implemented and embedded. We have reviewed supporting documentation to identify progress made against agreed management actions however, at the request of the Chief Officer, we have not spoken to the Highway Network Manager or any staff within the Fleet team as part of this piece of work.

Shortly after issue of the April 2021 audit report the Fleet Manager resigned from the service following several extended periods of absence. Following three separate attempts to recruit a replacement a new Fleet Manager came into post in March 2022. The new Fleet Manager was tasked with addressing the agreed audit actions and some work took place to progress this.

The Fleet Manager position is currently vacant following the unexpected and sudden death of the new post holder in October 2022.

Recruitment took place in December 2022/January 2023 and an appointment was made, but during the course of the pre-employment checks, the individual withdrew from the process and declined the appointment.

Interim arrangements are in place with the existing Fleet Technical Officer, who has been temporarily acting up into the role for the last 6 months and will continue to do so until the recruitment is complete.

The Association of Public Service Excellence (APSE) were approached to see if they could provide temporary support to the Fleet Management team, as a result an individual is providing 2 days a week support for a 12 week period commencing mid May 2023, with a view to possibly extending for a maximum of 6 months.

Recruitment to the Fleet Manager position is in progress, with an offer verbally accepted in early May 2023. It is hoped the individual will be able to start in post late June / early July 2023, subject to satisfactory pre-employment checks.

Support is also being provided through the portfolio's Compliance and Training Manager with reviewing/drafting new processes for fleet services and regular meetings are taking place between this manager and the Highway Network Manager to progress this aspect and ensure that reporting takes places routinely for the agreed actions in the audit report e.g., tachograph compliance, service and maintenance reporting and a documented set of procedures for Operator Licence requirements.

SMT are also looking to build in additional capacity to the team, subject to funding and approval through the vacancy management process. A report was presented to the Chief Officer Team (COT) on 17th May 2023 outlining the issues with resilience and capacity within Fleet Services and support was given for additional posts to be created. A report will now be submitted to Cabinet in July requesting budget approval for the additional posts.

Providing that a successful appointment is made in May 2023, the new Fleet Manager is likely to commence with the authority in either late June/early July and will need a period of transition into the role as part of the 6-month probation period. This means that they are likely to be added to the Operator's Licence after March 2024 and upon satisfactory completion of the probationary period. The new Fleet Manager will also have the opportunity to contribute to the creation of the additional new posts and assist with recruitment and on-boarding subsequently. Subject to approval and satisfactory recruitment, it is anticipated that the additional posts will be in place by December 2023 / January 2024.

The service recognises that circumstances have caused disruption and left them under-resourced. One of the audit actions agreed in April 2021, whilst initially considered to have been implemented, has been reclassified as 'in progress' as it is not yet fully embedded. The remaining two actions are also considered to be 'in progress'. All are near completion with the majority of the work implemented. This is reflected in the revised assurance opinion.

Failure to fully implement and embed the three 'Red' audit actions nearly two years after issue of the audit report clearly presents risk to the Council, however this risk is mitigated by the work undertaken to date.

The revised due date for the implementation of the third outstanding audit action (which has been extended to March 2024) is considered to be reasonable as it is dependent on recruitment of the Fleet Manager, who is unlikely to be in post before the end of the summer 2023.

2. Data to Support our Opinion:

The table below highlights progress against agreed actions in the original audit report. Where previously agreed actions have been implemented, or work is in progress which has reduced the likelihood or impact of a risk, we have reflected this in the revised risk rating.

Current Status of Agreed Actions in Original Audit Report (as detailed in Section 3):

Priority & Total of Agreed Actions (April 2021)		Implemented	In Progress (1)	Not Implemented (2)	No Longer Valid	Not due for Implementation (3)
High / Red	3	-	3	-	-	-
Medium / Amber	-	-	-	-	-	-
Low / Green	-	-	-	-	-	-

Revised Priority of Original Agreed Actions not yet Fully Implemented (as detailed in Section 3):

Revised priority recognises progress in the implementation of the agreed actions at (1), (2) and (3) above.

Revised Priority due to Progress (May 2023) (1+2+3)	
High / Red	0
Medium / Amber	1
Low / Green	2

3. Findings: Assessment of Whether Risk is Managed & Agreed Actions embedded:

Each agreed action followed up has been categorised in line with the following definitions:

Priority	Description
High (R)	Action is imperative to ensure that the objectives of the area under review are met.
Medium (A)	Requires action to avoid exposure to significant risks in achieving the objectives of the area.
Low (G)	Action encouraged to enhance control or improve operational efficiency.
N/A	No further action required.

Status	Description
Implemented	The agreed action has been fully implemented and is embedded.
In Progress	The agreed action has been partly though not yet fully implemented / agreed action is not embedded.
Not Implemented	The agreed action has not been implemented.
No Longer Valid	Risk has been avoided; accepted or transferred
Not Due for Implementation	The agreed date for implementing the agreed action has not yet been reached.

	Original Priority, Risk & Agreed Action in Audit Report (April 2021)		Current Assessment of Residual Risk & Status of Agreed Action (May 2023)		
No.	Risk / Issue	Agreed Action & Due Date	Follow Up Assessment of whether risk is addressed & actions embedded	Revised Priority	Status / Revised Due Date
1. (R)	The supply, management and maintenance of all motor vehicles and trailers is completed by Go Plant, the Council's external partner. The Council, however, has overall responsibility for ensuring compliance with the terms and conditions of the O Licence. Testing identified that oversight management information reporting is not produced and the data	a. Controls and compliance monitoring arrangements to be reviewed in relation to servicing and maintenance records to ensure accurate and timely data to highlight non-compliance and areas for action. b. Roles and responsibilities to be reviewed, process to be streamlined and vehicle	The original audit finding identified a lack of summary reporting from Go Plant resulting in inadequate operational oversight of vehicle servicing. Data provided by Go Plant was also found to be incomplete and inaccurate. In February 2022 the Fleet Manager developed a Service Schedule Process in conjunction with Go Plant. The process includes periodic compliance checking by the S&T Compliance team.	(G)	**In Progress:** Process documentation to be updated to reflect the mechanism for feeding back the outcome of servicing and maintenance compliance audits to Go Plant. The risk priority has reduced due to the

No.	Risk / Issue	Agreed Action & Due Date	Follow Up Assessment of whether risk is addressed & actions embedded	Revised Priority	Status / Revised Due Date
Original Priority, Risk & Agreed Action in Audit Report (April 2021)			**Current Assessment of Residual Risk & Status of Agreed Action (May 2023)**		
	provided is not complete or analysed. Having ineffective controls and ineffective compliance monitoring arrangements puts the Council at risk of loss, suspension or restriction of its O Licence by the Traffic Commissioner, impacting the ability to deliver statutory duties such as waste collection, road maintenance, etc.	maintenance summary reporting to be developed to provide management assurance over the servicing and maintenance status for the fleet. Responsible Officer: Barry Wilkinson (Highway Network Manager) URN 03147	The new Service Schedule Process was reviewed by Internal Audit and was considered to address the agreed action, as such the action was closed as 'Implemented' on 07.02.22. In closing the audit action, it was made clear to the service that the new process needed to be fully embedded to mitigate the risk of non-compliance with the terms of the O Licence. To understand if the new processes as described are embedded and working as intended, we sought assurance from the S&T Compliance Team, who have provided evidence to support the compliance audits they have undertaken. Whilst the evidence provided confirms processes have been implemented and embedded, the Compliance and Training Manager has indicated the mechanism for feeding back the outcomes of these compliance audits to Go Plant has only recently been agreed (April 2023) and as such the process documentation still needs to be updated. As such this audit action has been reclassified from 'Implemented' to 'In Progress'.		progress made in the implementation of the agreed actions. Once the feedback process has been documented and embedded this action will be fully implemented.
2. (R)	Management relies on data to demonstrate compliance with tachograph conditions is in line with O Licence requirements. Testing	a. A review of the current process in relation to tachograph compliance to be conducted and timescales to	The original audit finding identified that whilst management information is in place around tachograph compliance, it is not consistency produced or analysed	(G)	**In Progress:** Final amendments to be made to process documentation to

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	Original Priority, Risk & Agreed Action in Audit Report (April 2021)		Current Assessment of Residual Risk & Status of Agreed Action (May 2023)		
No.	Risk / Issue	Agreed Action & Due Date	Follow Up Assessment of whether risk is addressed & actions embedded	Revised Priority	Status / Revised Due Date
	identified that whilst management information reporting is available, the reporting is not consistently produced or analysed and timely action is not taken to identify and address areas of non-compliance. Management practices and reporting in place to ensure compliance with the conditions of the O Licence around tachographs are not adequate, fail to address all risks and are not consistently embedded across all transport operations, increasing the risk of loss, suspension or restriction of the O Licence by the Traffic Commissioner.	be agreed to deal with non-compliance. Processes to be mapped and responsibilities to be shared to ensure reliance on individuals is removed. b. Repeat offender reporting to be devised in order to identify and manage underperformance, with compliance checks to be undertaken regularly alongside professional competency checks. c. Roles and responsibilities to be reviewed, process to be streamlined and automated leading to timely resolution of non-compliance issues, with escalation of any delays in response. Responsible Officer: Barry Wilkinson (Highway Network Manager) URN 03118	and timely action is not taken to identify and address areas of non-compliance. In February 2022 the Fleet Manager revised the Tachograph Process to address issues identified in the 2021 audit report. The process includes periodic compliance checking by the S&T Compliance team. The process, if embedded, addresses all agreed actions. As part of the follow up review the S&T Compliance Team have provided evidence which confirms repeat offender reporting (2b) is now in place. The S&T Compliance and Training Manager has however indicated that a process has only recently been agreed (April 2023) for S&T Compliance Team spot checks on the processes for ensuring appropriate management of tacho download frequency, missing driver downloads and missing mileage ('Tachograph Process' points 6,7,8 & 9). Process documentation now needs to be updated and agreed spot checks embedded.		reflect compliance 'spot checks'. These checks will then need to be embedded. The risk priority has reduced due to the progress made in the implementation of the agreed action. Once the spot check process has been documented and embedded this action will be fully implemented.
3. (R)	Documented policies and procedures are not available to ensure continuity of service in the absence of key individuals. A number of processes to oversee the compliance with tachograph rules	a. A documented set of procedures to be drafted to document the end-to-end process which demonstrates compliance with O Licence requirements. This should	The original audit finding identified lack of documented policies and procedures to ensure continuity of service in the absence of key individuals. In February 2022 the service provided a list of Fleet Task Duties allocating	(A)	**In Progress:** As a result of resource issues within the service, actions to ensure continuity of service

	Original Priority, Risk & Agreed Action in Audit Report (April 2021)		Current Assessment of Residual Risk & Status of Agreed Action (May 2023)		
No.	**Risk / Issue**	**Agreed Action & Due Date**	**Follow Up Assessment of whether risk is addressed & actions embedded**	**Revised Priority**	**Status / Revised Due Date**
	rely on key individuals manually reviewing data, assessing whether non-compliance has been dealt with by the operations managers and generating reports. Failure to identify and mitigate risks associated with single person dependencies and a lack of service resilience may lead to non-compliance issues not being highlighted or actioned in a timely manner and failing to meet O Licence requirements.	also set out roles and responsibilities, timescales for completion of the various processes and will ensure the process is embedded across all transport operations. Through the assignment of roles and responsibilities this will assist with the identification of single person dependencies and support service resilience. b. Compliance checks to be regularly conducted to ensure that the processes are being delivered correctly and in a timely manner. c. Training to be provided to additional staff in critical roles to ensure business continuity in the event the individual responsible is not available. Responsible Officer: Barry Wilkinson (Highway Network Manager) URN 03119	individuals and reporting lines for key tasks. Reference was also made to a suite of process documentation for the Fleet function which was in the process of being reviewed by the Fleet Manager. The full set of process documentation has however not been provided, and no evidence has been submitted around training delivered to ensure business continuity in critical roles. Whilst evidence has been provided around compliance audits of fleet servicing and tachograph process, without a full set of process documentation it is unclear if further compliance audits are required or are undertaken. As there is currently no Fleet Manager in place within S&T it is unclear if the agreed actions have been fully addressed. The Highway Network Manager has acknowledged that whilst they are endeavouring to ensure service continuity, the Fleet Manager vacancy has left the service 'under resourced and disrupted'.		in the absence of key individual and avoid single person dependency have not been fully developed or embedded. The service has revised the due date for this agreed action from 31.07.21 to 31.03.24. The risk priority has reduced from Red to Amber in recognition of the work undertaken to date as evidenced by the Fleet Task Duties document and the progress identified in Findings 1 & 2 above.

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4. Distribution List:

Name	Title
Katie Wilby	Accountable Officer for the Implementation of Agreed Actions
Barry Wilkinson	Highway Network Manager
Ruth Tulley	Regulatory Services Manager
Gemma Boniface	Compliance & Training Manager

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Appendix A – Audit Opinion:

The audit opinion is the level of assurance that Internal Audit can give to management and all other stakeholders on the adequacy and effectiveness of controls within the area audited. It is assessed following the completion of the audit and is based on the findings from the audit. Progress on the implementation of agreed actions will be monitored. Findings from **Some** or **Limited** assurance audits will be reported to the Audit Committee.

Assurance	Explanation
Green - Substantial	**Substantial progress in implementing agreed actions / Strong controls in place (all or most of the following)** • Key controls exist and are applied consistently and effectively • Objectives achieved in a pragmatic and cost effective manner • Compliance with relevant regulations and procedures • Assets safeguarded • Information reliable Conclusion: substantial progress; key controls have been adequately designed and are operating effectively to deliver the key objectives of the system, process, function or service.
Amber Green – Reasonable	**Reasonable progress in implementing agreed actions / Key Controls in place but some fine tuning required (one or more of the following)** • Key controls exist but there are weaknesses and / or inconsistencies in application though no evidence of any significant impact • Some refinement or addition of controls would enhance the control environment • Key objectives could be better achieved with some relatively minor adjustments Conclusion: reasonable progress; key controls generally operating effectively.
Amber Red – Some	**Some progress in implementing agreed actions / Significant improvement in control environment required (one or more of the following)** • Key controls exist but fail to address all risks identified and / or are not applied consistently and effectively • Evidence of (or the potential for) financial / other loss • Key management information exists but is unreliable • System / process objectives are not being met, or are being met at an unnecessary cost or use of resources. Conclusion: some progress; key controls are generally inadequate or ineffective.
Red – Limited	**Limited progress in implementing agreed actions / Urgent system revision required (one or more of the following)** • Key controls are absent or rarely applied • Evidence of (or the potential for) significant financial / other losses • Key management information does not exist • System / process objectives are not being met, or are being met at a significant and unnecessary cost or use of resources. Conclusion: limited progress; a lack of adequate or effective controls.