

At: Aelodau'r Pwyllgor Archwilio
Cymunedau

Dyddiad: Dydd Llun, 24 Hydref
2016

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Annwyl Gyngorydd

Fe'ch gwahoddir i fynychu cyfarfod y **PWYLLGOR ARCHWILIO CYMUNEDAU, DYDD IAU, 27 HYDREF 2016** am **9.30 am** yn **YSTAFELL BWYLLGORA 1A, NEUADD Y SIR, RHUTHUN.**

Yn gywir iawn

G Williams
Pennaeth Gwasanaethau Cyfreithiol, AD a Democrataidd

AGENDA

1 YMDDIHEURIADAU

2 DATGANIADAU O FUDDIANT (Tudalennau 5 - 6)

Dylai'r Aelodau ddatgan unrhyw gysylltiad personol neu gysylltiad sy'n rhagfarnu mewn unrhyw fater a nodwyd i'w ystyried yn y cyfarfod hwn.

3 MATERION BRYD FEL Y'U CYTUNWYD GAN Y CADEIRYDD

Notice of items which, in the opinion of the Chair, should be considered at the meeting as a matter of urgency pursuant to Section 100B(4) of the Local Government Act 1972.

4 COFNODION (Tudalennau 7 - 14)

Derbyn cofnodion cyfarfod y Pwyllgor Archwilio Cymunedau a gynhaliwyd ar 8 Medi 2016 (copi ynghlwm).

5 DARPARIAETH YR ADRAN GWAITH A PHENSIYNAU/PEOPLE PLUS YN SIR DDINBYCH (Tudalennau 15 - 18)

1. Trafod gweledigaethau'r ddau sefydliad ar gyfer trigolion Sir Ddinbych, sut maen nhw'n bwriadu darparu eu gweledigaethau i wella deilliannau i ddefnyddwyr gwasanaethau, y rhesymau dros y penderfyniad i ail-leoli gwasanaethau'r Adran Gwaith a Phensiynau i'r Fflint a chanlyniad yr asesiadau effaith a wnaed i gael gwybodaeth i benderfynu.
2. Trafod gyda'r Adran Gwaith a Phensiynau y Rhaglen Gwaith ac Iechyd newydd a sut y gall y Cyngor fod yn gysylltiedig â'r rhaglen hon er budd trigolion y Sir

6 RHEOLI CEFNOGI BYW'N ANNIBYNNOL (Tudalennau 19 - 22)

Amlinellu'r manteision posibl o fabwysiadu dull symlach o reoli'r gwasanaethau hyn ar gyfer y ddau ddefnyddiwr gwasanaeth a'r Cyngor, a'r llinell amser ar gyfer ei fabwysiadu.

7 STRATEGAETH RHEOLI RISG LLIFOGYDD (Tudalennau 23 - 100)

Dealltwriaeth o'r gweithgareddau y mae'r Cyngor yn eu cyflawni i reoli risg llifogydd yn y sir a phenderfynu a yw'r rhain yn ddigonol ac yn briodol i gyflawni amcanion y Strategaeth

8 EFFAITH Y CYNNYDD MEWN TALIADAU PARCIO CEIR AR Y SIR
(Tudalennau 101 - 126)

Archwilio'r effaith y mae'r cynnydd mewn taliadau parcio ceir yn ei gael ar ganol trefi'r sir.

9 PROSES, METHODOLEG A MEINI PRAWF AR GYFER YMGYMRYD AG ARCHWILIADAU DIOGELWCH AR Y FFYRDD MEWN PERTHYNAS Â CHEISIADAU CYNLLUNIO (Tudalennau 127 - 174)

Archwilio'r broses, y fethodoleg a'r meini prawf ar gyfer ymgymryd ag archwiliadau diogelwch ar y ffyrdd mewn perthynas â cheisiadau cynllunio.

10 RHAGLEN WAITH ARCHWILIO (Tudalennau 175 - 192)

Ystyried adroddiad gan y Cydlynnydd Archwilio (copi ynghlwm) yn gofyn am adolygiad o raglen waith i'r dyfodol y pwyllgor a rhoi'r diweddaraf i'r aelodau ar faterion perthnasol.

11 ADBORTH GAN GYNRYCHIOLWYR Y PWYLLGOR

Derbyn unrhyw ddiweddariadau gan gynrychiolwyr ar wahanol Fyrddau a Grwpiau'r Cyngor

AELODAETH

Y Cynghorwyr

Y Cyngorydd Huw Hilditch-Roberts
(Cadeirydd)

Brian Blakeley
Bill Cowie
Peter Arnold Evans
Martyn Holland
Bob Murray

Y Cyngorydd Rhys Hughes (Is-
Gadeirydd)

Anton Sampson
David Simmons
Cefyn Williams
Cheryl Williams

COPIAU I'R:

Holl Gynghorwyr er gwybodaeth
Y Wasg a'r Llyfrgelloedd
Cynghorau Tref a Chymuned

Mae tudalen hwn yn fwriadol wag

DEDDF LLYWODRAETH LEOL 2000

Cod Ymddygiad Aelodau

DATGELU A CHOFRESTRU BUDDIANNAU

Rwyf i,
(enw)

*Aelod /Aelod cyfetholedig o
(*dileuer un)

Cyngor Sir Ddinbych

YN CADARNHAU fy mod wedi datgan buddiant ***personol / personol a sy'n rhagfarnu** nas datgelwyd eisoes yn ôl darpariaeth Rhan III cod ymddygiad y Cyngor Sir i Aelodau am y canlynol:-
(*dileuer un)

Dyddiad Datgelu:

Pwyllgor (nodwch):

Agenda eitem

Pwnc:

Natur y Buddiant:

(Gweler y nodyn isod)*

Llofnod

Dyddiad

Noder: Rhowch ddigon o fanylion os gwelwch yn dda, e.e. 'Fi yw perchennog y tir sy'n gyfagos i'r cais ar gyfer caniatâd cynllunio a wnaed gan Mr Jones', neu 'Mae fy ngŵr / ngwraig yn un o weithwyr y cwmni sydd wedi gwneud cais am gymorth ariannol'.

Code of Conduct for Members

DISCLOSURE AND REGISTRATION OF INTERESTS

I, *(name)*

a *member/co-opted member of
*(*please delete as appropriate)*

Denbighshire County Council

CONFIRM that I have declared a ***personal / personal and prejudicial** interest not previously declared in accordance with the provisions of Part III of the Council's Code of Conduct for Members, in respect of the following:-

*(*please delete as appropriate)*

Date of Disclosure:

Committee *(please specify)*:

Agenda Item No.

Subject Matter:

Nature of Interest:

*(See the note below)**

Signed

Date

*Note: Please provide sufficient detail e.g. 'I am the owner of land adjacent to the application for planning permission made by Mr Jones', or 'My husband / wife is an employee of the company which has made an application for financial assistance'.

Cofnodion cyfarfod o'r Pwyllgor Archwilio Cymunedau a gynhaliwyd yn Ystafell Bwyllgora 1a, Neuadd y Sir, Rhuthun, Dydd Iau, 9 Medi 2016 am 9.30 am

YN BRESENNOL

Y Cyngorwyr Brian Blakeley, Bill Cowie, Huw Hilditch-Roberts (Cadeirydd), Martyn Holland, Rhys Hughes (Is-Gadeirydd), Cefyn Williams a/ac Cheryl Williams

HEFYD YN BRESENNOL

Councillors Raymond Bartley, Hugh Evans (Arweinydd), Hugh Carson Irving (Aelod Arweiniol dros Gwsmeriaid a Llyfrgelloedd), David Smith (Aelod Arweiniol dros Barth y Cyhoedd) and Eryl Williams (Aelod Arweiniol dros Addysg).

Rebecca Maxwell (Cyfarwyddwr Corfforaethol: Uchelgais Economaidd a Chymunedol), Nicola Stubbins (Cyfarwyddwr Corfforaethol: Cymunedau), Karen I Evans (Pennaeth Addysg), Graham Boase (Pennaeth Cynllunio a Gwarchod y Cyhoedd), Keith Amos (Rheolwr - Swyddfa Rhaglenni Corfforaethol), Geraint Davies (Prif Swyddog Cymorth Addysg), Rhian Evans (Cydllynydd Archwilio), Mike Jones (Rheolwr Traffig, Parcio a Diogelwch Ffyrdd), Ian Land (Education, Planning and Resource Manager), Julian Molloy (Swyddog Perfformiad Effeithiolrwydd Ysgolion), Marc Musgrave (Peiriannydd Diogelwch ar y Ffyrdd), Vicki Roberts (Rheolwraig Tîm Cynllunio Strategol) and Wayne Wheatley (Gweithiwr Cymdeithasol Addysg - Arweinydd Tim).

1 YMDDIHEURIADAU

Cafwyd ymddiheuriadau gan y Cyngorwyr Bob Murray, Anton Sampson, David Simmons a'r Aelodau Cyfetholedig Debra Houghton a Gareth Williams

2 DATGANIADAU O FUDDIANT

Cyflwynwyd datganiadau o gysylltiad personol yn seiliedig ar eu rôl fel llywodraethwyr ysgol gan y Cyngorwyr Huw Hilditch-Roberts, Martyn Holland, Rhys Hughes, Cefyn Williams a Cheryl Williams ar gyfer eitemau 7 ac 8.

3 MATERION BRYD FEL Y'U CYTUNWYD GAN Y CADEIRYDD

Nid oedd unrhyw faterion bryd.

4 COFNODION

Cyflwynwyd Cofnodion cyfarfod y Pwyllgor Archwilio Cymunedau a gynhaliwyd ar 30 Mehefin, 2016:-

PENDERFYNWYD – y dylid derbyn a chymeradwyo'r Cofnodion fel cofnod cywir.

5 DARPARIAETH YR ADRAN GWAITH A PHENSIYNAU/PEOPLE PLUS YN SIR DDINBYCH

Ymddiheurodd yr Adran Gwaith a Phensiynau (DWP) cyn y cyfarfod nad oedd ganddynt uwch swyddog ar gael ar y diwrnod i fynd i gyfarfod y Pwyllgor ar gyfer y drafodaeth. Fodd bynnag, roeddent wedi anfon llythyr yn amlinellu cefndir contract y Rhaglen Waith (RhW), y newidiadau diweddar, sicrwydd bod pob cwsmer y RhW yn derbyn yr un lefel o wasanaeth, a gwybodaeth am ddatblygiad y Rhaglen Gwaith ac lechyd sydd i ddod.

Roedd PeoplePlus, yr asiantaeth a gontractiwyd i ddarparu'r RhW ar ran y DWP, i fod i anfon cynrychiolydd i'r cyfarfod i drafod y penderfyniad i adleoli gwasanaethau DWP o'r Rhyl i'r Fflint gyda'r Pwyllgor. Yn anffodus, nid oedd unrhyw gynrychiolwyr yn bresennol. Cofrestrodd y Pwyllgor ei siom nad oedd cynrychiolwyr yn bresennol ac o ganlyniad:

Penderfynwyd:

- (i) *ysgrifennu at yr Adran Gwaith a Phensiynau (DWP) a PeoplePlus, i'w gwahodd i fynychu cyfarfod nesaf y Pwyllgor ar 27 Hydref, 2016 at ddiben trafod y penderfyniad o adleoli gwasanaethau o'r Rhyl i'r Fflint; a*
- (ii) *thrafod datblygiad y Rhaglen Gwaith ac lechyd newydd gyda DWP, yn ogystal â chyfleoedd posibl i'r Cyngor weithio gyda DWP, gyda'r nod o wella canlyniadau i drigolion, gan leihau tlodi a nifer y bobl ifanc sy'n dod yn NEET, a chyflawni amcanion y Cynllun Corfforaethol a Lles.*

6 AROLWG PRESWYLWYR

Cyflwynodd yr Aelod Arweiniol dros Gwsmeriaid a Llyfrgelloedd yr adroddiad (a ddosbarthwyd yn flaenorol) yn hysbysu'r Pwyllgor o ganfyddiadau allweddol yr Arolwg Trigolion, a rhoddodd gyfle iddynt roi sylwadau ar y canlyniadau.

Esboniodd yr Aelod Arweiniol fod yr arolwg wedi'i ddarparu'n allanol i ymgynghorwyr yn 2011, ac er bod yr ymateb yn wych, roedd wedi costio £25000 i'r Awdurdod. Yn dilyn hynny yn 2013, roedd yr arolwg wedi'i ddosbarthu gyda Llais y Sir, roedd hyn yn llai costus ond cafwyd llai o ymatebion. Cafodd yr arolwg diweddaraf a gynhaliwyd yn 2015 ei ddosbarthu yn electronig, a arweiniodd at ddim ond 711 o ymatebion - llai na maint y sampl a fwriadwyd o 1000. Er bod gwasanaethau wedi bod yn defnyddio'r wybodaeth a gynhwysir yn yr arolwg, roedd rhywfaint gyda pheth amheuaeth.

Yn absenoldeb awdur yr adroddiad, bu i'r Rheolwr – Swyddfa'r Rhaglen Gorfforaethol, roi manylion dadansoddiad canlyniadau'r arolwg. Dywedodd y swyddogion:

- bu cyfradd ymateb i'r arolwg yn siomedig o isel. Yn ôl pob tebyg, roedd hyn oherwydd bod yr ymarfer wedi ei gynnal yn electronig (ar wahân i'r rhai a gwblhawyd gan ysgolion) gyda'r bwriad o leihau costau;

- roedd yn bwysig cofio bod canlyniadau'r arolwg yn mesur canfyddiadau pobl o'r Cyngor, a all ar adegau wrth-ddweud data a ddilyswyd ar berfformiad y Cyngor; ac
- nid oedd yr holl ymatebwyr wedi ateb pob cwestiwn, roedd unigolion yn tueddu i ateb cwestiynau mewn perthynas â meysydd a oedd fwyaf perthnasol i'w hamgylchiadau personol.

Wrth ymateb i gwestiynau ac arsylwadau'r swyddogion, bu i swyddogion wneud y canlynol:

- cydnabod nad oedd cyfyngu'r arolwg i holiadur electronig wedi cyflawni'r canlyniad a ddymunir. Serch hynny, mae'r wybodaeth a gafwyd o'r ymatebion wedi darparu gwybodaeth werthfawr i'r Cyngor a fyddai'n helpu i gynllunio a gwella'r gwasanaethau a ddarperir;
- dweud na fyddai'r arolwg nesaf, sydd i fod i'w gynnal yn ystod 2017, yn cael ei wneud drwy ddulliau electronig yn unig, ac y byddai dulliau eraill hefyd yn cael eu defnyddio er mwyn ei wneud yn hawdd i'r holl drigolion;
- cytuno mai cynnwys ac ansawdd y cwestiynau a ofynnwyd oedd o'r pwys mwyaf;
- amlygu pwysigrwydd cydnabod bod y canlyniadau'n mesur canfyddiadau pobl a allai ymddangos yn groes i ddangosyddion perfformiad yr Awdurdod
- dweud bod y Pennaeth Cwsmeriaid, Cyfathrebu a Marchnata yn edrych ar ddewisiadau ar gyfer System newydd Rheoli Cysylltiadau Cwsmeriaid ar hyn o bryd, a fyddai'n diwallu y rhan fwyaf o anghenion y Cyngor;
- trafod gyda'r swyddogion perthnasol pam na fyddai'r ymarfer 'Sgwrs y Sir' sydd ar y gweill ar hyn o bryd yn cynnal digwyddiad cyhoeddus yn y Rhyl, ac archwilio a ellid trefnu un ar gyfer y dref; ac
- amlinellu'r broses a fyddai'n dilyn ymlaen o ymarfer 'Sgwrs y Sir' at ddiben penderfynu ar flaenoriaethau corfforaethol a Chynllun Corfforaethol 'newydd' y Cyngor.

Pwysleisiodd yr Aelodau bwysigrwydd y Cyngor yn defnyddio'r holl offer sydd ar gael ar ei gyfer, er mwyn ceisio barn trigolion ar faterion, e.e. cynghorwyr sir, grwpiau trigolion ac ati, gan ei bod yn bosibl iddynt estyn allan at wahanol sectorau o'r gymuned a gofyn am eu barn. Gall caniatáu i breswylwyr alw i mewn i swyddfeydd dinesig ac ati i lenwi holiaduron ac ati hefyd helpu i wella rhyngweithio cyhoeddus gydag arolygon yn y dyfodol.

Cytunodd y Pwyllgor fod cynllunio gofalus yn gwella ymarferion megis arolygon trigolion yn fawr - er mwyn iddynt fod yn effeithiol, roedd yn bwysig i'r trefnydd bennu beth mae'r sefydliad angen ei wybod, pam oedd angen iddynt ei wybod ac i ba bwrpas y byddai'r wybodaeth a dderbyniwyd yn cael ei defnyddio.

Awgrymodd yr Arweinydd, gan y byddai tymor y Cyngor presennol yn dod i ben ym mis Mai 2017, efallai y byddai'n ddefnyddiol i bob cynghorydd gael eu cyfweled cyn yr etholiad (proses debyg i gyfweiliadau 'ymadael' a gynigir i staff) i geisio eu barn ar ba feysydd y maent yn teimlo sy'n gweithio'n dda, pa feysydd sydd angen eu gwella, a cheisio unrhyw syniadau sydd ganddynt ar gyfer gwella yn y dyfodol. Ar ddiwedd y drafodaeth:

Penderfynwyd: - yn amodol ar y sylwadau uchod -

(i) bod adroddiad yn cael ei gyflwyno i'r Pwyllgor yn gynnar yn 2017 yn amlinellu cynnwys a chwestiynau y bwriedir eu cynnwys yn Arolwg Preswylwyr 2017, ynghyd â'r fethodoleg(au) dan ystyriaeth ar gyfer ymgymryd â'r arolwg; a'r

(ii) Arweinydd i gynnal trafodaeth gydag Arweinwyr grŵp i drafod ymarferoldeb cynnal cyfweiliadau 'arddull ymadael' gyda chynghorwyr sir cyn etholiadau awdurdodau lleol y flwyddyn nesaf, er mwyn gofyn am eu barn ar yr hyn y mae'r Cyngor yn ei wneud yn dda a pha feysydd sydd angen eu gwella

7 ABSENOLIAETH YSGOLION CYNRADD AC UWCHRADD

Cyflwynodd Arweinydd Tîm Gwaith Cymdeithasol Addysg yr adroddiad a'r atodiadau (a ddosbarthwyd yn flaenorol) yn manylu ar eu cynnwys. Eglurodd y gwahaniaeth rhwng absenoldebau awdurdodedig ac anawdurdodedig a'r broses a ddilynwyd cyn cyflwyno Rhybuddion Cosb Benodedig. Cafodd yr holl brosesau yn ymwneud ag absenoldebau ysgol eu hamlygu mewn cyhoeddiadau ysgol i sicrhau bod pob rhiant yn ymwybodol o'u cyfrifoldebau ac o ganlyniadau peidio anfon eu plentyn i'r ysgol.

Cafodd system rheoli absenoldebau ysgol ei ddatganoli i bob ysgol unigol. Fodd bynnag, bu'r Cyngor yn monitro absenoldebau yn rheolaidd ac, fel rhan o broses Grŵp Monitro Safon Ysgolion, cafodd penaethiaid a chadeiryddion llywodraethwyr eu dal yn atebol am berfformiad eu hysgolion mewn perthynas â rheoli absenoldebau a chyrhaeddiad academaidd. Bu'r Tîm Gwaith Cymdeithasol Addysg hefyd yn monitro cyfraddau absenoldeb ysgol yn fisol, gan ystyried ffactor Prydau Ysgol am Ddim a Phlant sy'n Derbyng Gofal.

Dywedodd yr Aelodau eu bod wedi gofyn am adroddiad ar sail y wybodaeth ystadegol a datganiad i'r wasg y gwelsant beth amser yn ôl, gan eu bod yn pryderu na fyddai lefelau tlodi yn y sir yn gwella os yw disgyblion yn absennol o'r ysgol am gyfnodau hir ar y tro. Mewn ymateb i gwestiynau gan yr Aelodau, dywedodd y swyddogion:

- Ni chafodd cofnodion eu cadw ar lefel sirol o ran 'absenoldebau awdurdodedig', gan fod absenoldebau o'r fath wedi eu caniatáu gan benaethiaid;
- roedd penaethiaid wedi bod yn awyddus i'r Cyngor gymhwyso Hysbysiadau Cosb Benodedig yn gyson ar draws y sir. Ers y dyddiad y cafodd hyn ei roi

ar waith yn llym, bu cynnydd sylweddol yn y nifer o lythyrau rhybudd/Hysbysiadau Cosb Benodedig a gyhoeddwyd. Fodd bynnag, roedd disgwyl i hyn ddisgyn ar ôl i rieni sylweddoli na fyddai'r Cyngor yn oedi wrth orfodi'r polisi;

- bu'r Sir yn monitro ac yn gwirio'n rheolaidd p'un a oedd ysgolion yn cymhwyso'r holl bolisiau a gweithdrefnau. Roedd presenoldeb yn yr ysgol yn allweddol gan ei fod yn effeithio ar ganlyniadau bywyd ar gyfer y disgyblion;
- cafodd diffyg presenoldeb rheolaidd heb awdurdod yn yr ysgol ei archwilio'n fanwl i sefydlu'r rhesymau sylfaenol dros absenoldeb plentyn. Mewn achosion o'r fath, byddai'r Cyngor wedyn yn cynnig cymorth priodol a pherthnasol i'r plentyn a'r teulu i helpu i oresgyn unrhyw rwystrau, a'u hymgysylltu gyda'r system addysg;
- ar gyfer y disgyblion mwyaf heriol, roedd cyfleoedd ar gael drwy Brosiect TRAC. Bu hwn yn Brosiect llwyddiannus iawn yn Sir Ddinbych ac wedi helpu'r sir i symud o safle 19 i safle 16 yng Nghymru. Ymgysylltu disgyblion â'r Prosiect oedd prif gyfrifoldeb yr ysgol, a chawsant eu cefnogi gan y Tîm GCA Corfforaethol;
- mae nifer o ysgolion bellach yn cyflogi eu Swyddogion Presenoldeb eu hunain;
- o dan Fframwaith Presenoldeb Cymru Gyfan Llywodraeth Cymru, roedd gan benaethiaid ddisgresiwn i ganiatáu hyd at 10 diwrnod o absenoldeb awdurdodedig. Bu apêl yn yr Uchel Lys yn erbyn Cyngor Ynys Wyth yn ddiweddar, a oedd wedi rhoi Hysbysiad Cosb Benodedig i Riant am gymryd ei ferch allan o'r ysgol ar wyliau er gwaethaf cais am 'absenoldeb awdurdodedig' yn cael ei wrthod. Cafodd yr apêl ei chadarnhau ac ers hynny, mae timau cyfreithiol ar draws y DU wedi bod yn edrych ar y dyfarniad i benderfynu a ddylid tynhau polisiau a gweithdrefnau;
- er gwaethaf y ffaith bod nifer o rieni wedi bod yn amharod ar y dechrau i swyddogion eu ffonio am bresenoldeb eu plentyn yn yr ysgol, yn y mwyafrif o achosion yn ôl casgliad y sgwrs, roeddent yn deall rhesymau a phryderon y Cyngor;
- roedd perfformiad yn gwella yn yr ardal hon, a byddai'n parhau i gael ei fonitro gyda'r nod o wella perfformiad hyd yn oed ymhellach er lles yr holl ddisgyblion; a
- tra bod y Fframwaith Presenoldeb ar gyfer Cymru Gyfan yn berthnasol i bob awdurdod addysg yng Nghymru, ni chafodd y polisiau a'r gweithdrefnau yn y maes hwn eu cymhwyso'n gyson ar draws y wlad.

Cyn dod i gasgliad am y drafodaeth, cytunodd y swyddogion i ddsbarthu gwybodaeth i aelodau am absenoldebau anawdurdodedig a data prydau ysgol am ddim ym mhob un o ysgolion y Sir. Cododd yr Aelodau bryderon mewn perthynas

â'r pwynt olaf uchod a gofynnwyd am gael nodi eu pryderon mewn perthynas â hyn, gan eu bod yn teimlo y gallai effeithio ar safle Sir Ddinbych yn y tabl perfformiad. Ar ôl adolygu'r wybodaeth a ddarparwyd i'r Pwyllgor:

PENDERFYNWYD: yn amodol ar y sylwadau uchod -

- (i) *cadarnhau'r polisiâu a'r strategaethau a ddefnyddir i wella presenoldeb disgyblion yn ysgolion Sir Ddinbych;*
- (ii) *nodir perfformiad gwell sydd wedi'i gyrraedd hyd yn hyn; a*
- (iii) *chofrestru eu pryderon nad yw pob awdurdod ar draws Cymru yn cymhwyso'r polisiâu a'r gweithdrefnau mewn perthynas ag absenoldebau anawdurdodedig mor llym â Sir Ddinbych.*

8 FFYRDD PERYGLUS AT YSGOLION

Cyflwynodd y Swyddog Traffig, Parcio a Diogelwch ar y Ffyrdd a'r Peiriannydd Diogelwch ar y Ffyrdd yr adroddiad a'r atodiadau (a ddosbarthwyd yn flaenorol) yn esbonio'r fframwaith deddfwriaethol sy'n llywodraethu'r llwybrau peryglus i'r ysgol. Gwnaethant hefyd amlinellu'r broses asesu a ddilynwyd, yn unol â chanllawiau statudol, wrth asesu diogelwch llwybr cerdded i'r ysgol. Byddai unrhyw newidiadau i lif neu faint traffig yn achosi adolygiad yn awtomatig. Mae hyn wedi digwydd yn Rhuddlan yn ddiweddar, ac o ganlyniad wedi arwain at osod ynys draffig i gynorthwyo disgyblion sy'n cerdded i'r ysgol groesi'r briffordd yn ddiogel.

Er y byddai cyflwyno mesurau gostegu traffig yn cynorthwyo i arafu traffig, ni fyddai byth yn atal damweiniau, gan fod y rhan fwyaf o ddamweiniau'n wall dynol ar ran un parti. Mewn ymateb i gwestiynau gan yr Aelodau, dywedodd y swyddogion:

- byddai cost unrhyw addasiadau i'r briffordd i sicrhau diogelwch y disgyblion yn destun trafodaethau cyllidebol rhwng gwasanaethau perthnasol e.e. addysg a phriffyrdd. Gellid trosglwyddo arian o gyllideb cludiant yr ysgol i'r gyllideb priffyrdd, tuag at gost addasiadau ac ati pe bai angen;
- er y cydnabuwyd bod rhai ffyrdd, yn enwedig mewn ardaloedd gwledig, yn cael eu hystyried yn beryglus i'r plant gerdded i'r ysgol, cafwyd manteision ychwanegol ar y llwybr ysgol yn y llefydd oedd yn ddiogel iddynt gerdded. Roedd yn cyfrannu at iechyd a lles y disgybl gan fod ymarfer corff yn cael ei gydnabod fel ffordd o leihau gordewdra;
- pe ceid hysbysiad o newid mewn maint neu lif traffig ar unrhyw lwybrau ysgol, neu pe ceid cais am gludiant ysgol oherwydd bod y llwybr cerdded wedi dod yn beryglus, byddai asesiad llwybr peryglus yn cael ei gynnal. Anogwyd cynghorwyr i roi gwybod i swyddogion pe bai unrhyw newidiadau i faint neu lif yn eu wardiau;

- pe bai aelodau yn dymuno hynny, gallai swyddogion roi gwybod i Grwpiau Ardal Aelodau yn flynyddol o lwybrau i'w hadolygu o fewn eu hardaloedd, a chynnwys cynghorwyr yn y broses ymgynghori. Cytunodd yr Aelodau â'r awgrym hwn a chytunodd y swyddogion i fabwysiadu'r dull hwn o hyn ymlaen;
- mewn perthynas â llwybrau sy'n amodol ar drefn torri glaswellt bioamrywiol, gweithredodd y swyddogion yn ofalus wrth asesu llwybrau a rhoi blaenoriaeth i fywyd dynol dros fywyd gwylt. Fodd bynnag, gwnaethant gydnabod y gellid seilio'r asesiad yn unig ar y dystiolaeth weledol a oedd ar gael ar yr adeg y cafodd ei wneud. Os oedd tyfiannau ar ymylon yn peri perygl, byddai Tîm Strydwedd yn delio gyda hyn fel mater o frys, ac os mai tîrfeddianwyr oedd yn gyfrifol am wrychoedd ac ati, byddent yn gofyn iddynt eu torri ar sail diogelwch. Os na fyddai'r perchennog / unigolyn cyfrifol yn ymateb i'r cais, byddai Tîm Strydwedd yn torri'r tyfiant am resymau diogelwch, ac yn adennill y costau yn ddiweddarach gan yr unigolyn cyfrifol.

Cyfeiriodd yr Aelodau at nifer o enghreifftiau ar draws y sir lle bu help swyddogion i leihau cyflymder traffig neu gyflwyno mesurau gostegu traffig, yn enwedig o amgylch ysgolion, yn amhrisiadwy. Roedd gwaith yn parhau yn yr ardaloedd hynny gyda'r bwriad o gael swyddogion gorfodi i orfodi'r mesurau mewn ardaloedd yr ymddengys bod rhai defnyddwyr ffyrdd yn diystyru'r cyfyngiadau.

Cyn diwedd y drafodaeth, gofynnodd y Pwyllgor i swyddogion Diogelwch y Ffyrdd e-bostio pob cynghorydd sir sydd â llwybrau nad ydynt yn beryglus yn eu wardiau, gan ofyn iddynt roi gwybod i swyddogion yn syth os dônt yn ymwybodol o lwybr cerdded i'r ysgol nad yw'n un diogel mwyach, er mwyn galluogi swyddogion i'w asesu cyn gynted ag y bo modd. Dylid gofyn i Gynghorwyr hefyd hysbysu swyddogion Gwasanaethau'r Amgylchedd a Phriffyrdd ar unwaith os byddant yn dod yn ymwybodol o lystyfiant yn amharu ar welededd arwyddion ffyrdd yn eu hardal.

Penderfynodd y Pwyllgor:

yn amodol ar y sylwadau uchod -

- (i) *cymeradwyo cynnwys yr adroddiad a'r dull y mae Cyngor Sir Ddinbych yn cymhwyso canllawiau gweithredol Llywodraeth Cymru o ran asesu risg llwybrau cerdded i ysgolion;*
- (ii) *argymhell bod llwybrau ysgol o fewn ardaloedd sydd angen amserlenni torri gwair bioamrywiaeth, ac nad ydynt wedi cael eu hasesu o fewn y 12 mis diwethaf, yn cael eu hasesu ar y cyfle cyntaf posibl;*
- (iii) *bod holl Grwpiau Ardal Yr Aelodau yn cael eu hysbysu ac yr ymgynghorir â hwy yn flynyddol ar y llwybrau i'w hadolygu yn eu hardal; a*
- (iv) *chefnogi'r cynnig i gynnal adolygiadau cyfnodol o lwybrau cerdded o'r cartref i'r ysgol bob pum mlynedd, oni bai yr adroddir am newidiadau sylweddol i faint neu lif traffig, neu y ceir ceisiadau am gynnal adolygiad.*

9 RHAGLAN WAITH ARCHWILIO

Roedd copi o adroddiad gan y Cydlynnydd Archwilio (SC), a oedd yn gofyn i'r Pwyllgor adolygu a chytuno ar ei raglen gwaith i'r dyfodol ac oedd yn rhoi diweddariad ar faterion perthnasol, wedi ei ddsbarthu gyda'r papurau ar gyfer y cyfarfod.

Roedd copi o 'ffurflen gynnig Aelodau' wedi ei chynnwys yn Atodiad 2. Gofynnodd y Cydlynnydd Archwilio bod unrhyw gynigion yn cael eu cyflwyno iddi hi. Roedd Rhaglen Gwaith i'r Dyfodol y Cabinet wedi'i chynnwys yn Atodiad 3 ac roedd tabl yn rhoi crynodeb o'r penderfyniadau Pwyllgor diweddar ac a oedd yn hysbysu'r Aelodau ynglŷn â'r cynnydd gyda'u gweithrediad, wedi'i gynnwys yn Atodiad 4.

Ystyriodd y Pwyllgor fersiwn ddrafft o'i Raglen Gwaith i'r Dyfodol ar gyfer cyfarfodydd yn y dyfodol, Atodiad 1, a chytunwyd ar gyfraniad yr Adran Gwaith a Phensiynau a PeoplePlus i'r Pwyllgor Archwilio Cymunedau ar 27 Hydref.

Gofynnodd y Pwyllgor fod yr Arweinydd a'r Aelod Arweiniol dros Ofal Cymdeithasol, Gofal Oedolion a Gwasanaethau Plant yn cael eu gwahodd i fod yn bresennol yn y cyfarfod nesaf.

10 ADBORTH GAN GYNRYCHIOLWYR Y PWYLLGOR

Gan fod y cyfarfod yn dilyn gwyliau mis Awst, ni fu unrhyw gyfarfodydd i Aelodau roi adborth.

Daeth y cyfarfod i ben am 11.55am.

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Adroddiad i'r:	Pwyllgor Archwilio Cymunedau
Dyddiad y Cyfarfod:	27 Hydref 2016
Aelod/Swyddog Arweiniol:	Arweinydd/Cyfarwyddwr Corfforaethol: Cymunedau
Awdur yr Adroddiad:	Rheolwr Tîm Cynllunio Strategol
Teitl:	Darpariaeth DWP/People Plus yn Sir Ddinbych

1. Am beth mae'r adroddiad yn sôn?

Adleoli gwasanaethau DWP a ddarperir gan People Plus o'r Rhyl i'r Fflint ac effeithiau hyn ar breswylwyr Sir Ddinbych sy'n cael y gwasanaethau.

2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

Rhoi gwybodaeth am y newid yn y ddarpariaeth fel sail ar gyfer trafodaeth ac i gynorthwyo'r Cyngor i sefydlu a allai helpu i gefnogi darpariaeth gwasanaethau o'r fath yn y dyfodol. Byddai hyn gyda golwg ar wella canlyniadau, lleihau tlodi a nifer y bobl ifanc sy'n dod yn NEET, a chyflawni amcanion y Cynlluniau Corfforaethol a Lles.

3. Beth yw'r Argymhellion?

Trafod gweledigaethau gyda'r ddau sefydliad ar gyfer preswylwyr Sir Ddinbych, yn cynnwys:

- sut maent yn bwriadu cyflawni eu gweledigaeth a gwella canlyniadau i ddefnyddwyr gwasanaeth;
- y rhesymau y tu ôl i'r penderfyniad i adleoli gwasanaethau DWP i'r Fflint; a
- chanlyniad yr asesiadau effaith a gynhaliwyd i hysbysu'r penderfyniad hwnnw.

4. Manylion yr Adroddiad

Mae gan y DWP gontract gyda Rehab Jobfit sy'n is-gontractio i People Plus i ddarparu gwasanaethau yn y Rhyl i helpu pobl ddi-waith gael gwaith. Mae People Plus yn cael taliadau sy'n seiliedig ar ganlyniadau, yn enwedig nifer y bobl a gefnogir i mewn i waith a'r rhai sy'n aros mewn gwaith. Bydd y contract yn dod i ben ym Mawrth 2017.

Mae nifer y cleientiaid wedi gostwng yn sylweddol yn y Rhyl o tua 400 18 mis yn ôl, i oddeutu 150. Gydag ansicrwydd ynghylch contractau yn y dyfodol ac incwm, nid oedd People Plus mewn sefyllfa i lofnodi cytundeb prydles newydd, drutach 5 mlynedd ar eu llety presennol. O ganlyniad, mae People Plus wedi gwneud trefniadau eraill i adleoli i'r Ganolfan yn y Rhyl a lle bydd yr ystod lawn o gefnogaeth ar gael ond dim ond i'r rhai nad ydynt yn gallu teithio i'r Fflint; amcangyfrifir y bydd hyn yn 35 o gleientiaid.

Fe wnaeth People Plus ymgynghori â chleientiaid cyn y newid, ac ychydig o gwynion a ddaeth i law. Yn ogystal, mae'r daith o'r Rhyl i'r Fflint ar y trê'n tua 19 munud ac mae'n ofynnol i'r rhai sy'n chwilio am waith trwy eu cytundeb Lwfans Ceisio Gwaith fod yn barod i deithio 90 munud i ddod o hyd i waith. Felly, nid yw'r gofyniad i deithio i'r Fflint yn torri unrhyw drefniadau cytundebol. Bydd costau teithio yn cael eu hadalau gan People Plus i sicrhau nad yw trefniadau amgen yn anfantais ariannol i'r cleientiaid hynny sydd angen teithio i'r Fflint.

Adleolir nid yn unig i adeilad mwy hygyrch, ond bydd yn rhoi People Plus yn yr un lleoliad â gwasanaethau eraill sy'n cefnogi pobl yn ôl i waith; sydd o fudd i gleientiaid. Yn ogystal, gyda dyfodiad y Rhaglen Gwaith ac lechyd newydd, mae People Plus yn awyddus i aros yn y Rhyl ac i weithio'n agosach gyda Chymdeithasau Tai.

Wrth ystyried bod contract People Plus yn dod i ben yn fuan, byddai'r Cyngor yn hoffi cael eglurder ynghylch y contractau mae'r DWP yn eu rhoi i gefnogi pobl i mewn i waith, y maent yn dymuno eu hail-dendro a beth mae'r rhain i fod i'w cyflawni. Byddai hefyd yn ddefnyddiol cael eglurder a dealltwriaeth o'r dirwedd bresennol ac effaith bosibl y newidiadau yn y dyfodol (e.e. cyflwyno Credyd Cynhwysol) fel y gall y Cyngor ddeall yn well sut y gall gefnogi darpariaeth gwasanaethau o'r fath.

5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?

Mae cynnydd yn nifer y preswylwyr mewn gwaith yn cefnogi nifer o'n blaenoriaethau corfforaethol yn anuniongyrchol, ac yn cael effaith uniongyrchol ar ein blaenoriaeth 'Datblygu'r Economi Leol' yn enwedig drwy leihau amddifadedd.

6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?

Dim goblygiadau.

7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Gydraddoldeb (AEC) a gynhaliwyd ar y penderfyniad? Dylai fod templed o'r Asesiad o Effaith ar Gydraddoldeb wedi ei lenwi a'i atodi i'r adroddiad.

Nid yw'r argymhellion yn yr adroddiad hwn angen penderfyniad ac felly ni fydd yn cael effaith uniongyrchol ar staff neu ein cymunedau.

8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?

Cynhaliwyd trafodaethau a gohebiaeth e-bost rhwng Cyngor Sir Ddinbych, DWP a People Plus i ganfod ffeithiau ynglŷn â'r sefyllfa sy'n arwain at y penderfyniad i adleoli gwasanaethau fel yr amlinellir yn adran 4 (Manylion yr Adroddiad) uchod.

9. Datganiad y Prif Swyddog Cyllid

Nid oes angen datganiad Prif Swyddog Cyllid ar gyfer yr adroddiad hwn.

10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?

Nid oes unrhyw risgiau penodol ynghlwm wrth yr adroddiad hwn, fodd bynnag, efallai y daw risg i'r amlwg o ganlyniad i'r drafodaeth gyda DWP a People Plus.

11. Pŵer i wneud Penderfyniad

Mae Adran 7 o Gyfansoddiad y Cyngor yn amlinellu pwerau Archwilio o ran ystyried unrhyw fater sydd yn effeithio ar ardal y Cyngor neu breswylwyr yr ardal, ynghyd â'i bwerau i estyn gwahoddiad i randdeiliaid allanol i annerch pwyllgorau archwilio.

Swyddog Cyswllt:

Rheolwr Tîm Cynllunio Strategol

Rhif ffôn: 01824 712346

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Archwilio Cymunedau
Dyddiad y Cyfarfod:	27 Hydref 2016
Aelod/Swyddog Arweiniol:	Aelod Arweiniol Gofal Cymdeithasol (Gwasanaethau Oedolion a Phlant) / Pennaeth Gwasanaethau Cymorth Cymunedol
Awduron yr Adroddiad:	Uwch Swyddog Tai (Tai â Chymorth) a Rheolwr Tîm Cefnogi Pobl
Teitl:	Rheoli Cefnogaeth Byw'n Annibynnol (SIL), Ail-alluogi a'r Gwasanaeth Gweithiwr Cefnogi Iechyd a Gofal Cymdeithasol (HSCSW) yn Sir Ddinbych.

1. Beth yw cynnwys yr adroddiad?

I amlinellu buddion posibl o fabwysiadu dull symlach o reoli gwasanaethau Byw'n Annibynnol (SIL) ac Ail-alluogi i'r Dinesydd ac i'r Cyngor.

2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

Cytunwyd yng nghyfarfod o'r Pwyllgor Craffu ym mis Mehefin 2016 y bydd adroddiad ar uno posibl o wasanaethau SIL ac Ail-alluogi yn cael ei gyflwyno gerbron cyfarfod o'r Pwyllgor Archwilio Cymunedau yn y dyfodol.

3. Beth yw'r Argymhellion?

Bod yr Aelodau yn ystyried cynnwys yr adroddiad hwn ac yn rhoi sylwadau fel bo'n briodol;

4. Manylion yr Adroddiad

- 4.1 Mae SIL yn cael ei ariannu'n llawn gan y Grant Cefnogi Pobl, a ddarperir yn uniongyrchol gan Lywodraeth Cymru ac mae wedi bod yn destun Adolygiad llawn Gwasanaeth Cefnogi Pobl ym mis Medi 2015, a arweiniodd at 21 o argymhellion dros 6 Maes Canlyniad. Dim ond saith cam gweithredu sydd heb eu cwblhau, ac mae'r rheolwr SIL yn hyderus y bydd y rhain yn cael eu diwallu o fewn y terfynau amser a gytunwyd.
- 4.2 Cyflwynwyd contract newydd i SIL i ddechrau ym mis Ebrill 2016. Nid yw Cefnogi Pobl yn bwriadu gwneud unrhyw ostyngiadau pellach i gyllideb SIL ar gyfer 2017/18, fodd bynnag, yn debyg iawn i holl wasanaethau a ariennir gan Cefnogi Pobl, mae'n rhaid i SIL fod yn barod ar gyfer toriadau mewn cyllideb yn y dyfodol. Hefyd, bwriedir y bydd Cefnogi Pobl yn ariannu elfennau'r gwasanaeth ail-alluogi yn rhannol o 2017/18 ymlaen.
- 4.3 Mae Gwasanaethau Cymorth Cymunedol wedi ymrwymo i ddatblygu gwasanaethau sydd yn ymatebol ac yn hygyrch i ddinasyddion. Teimlir bod rhoi SIL, Ail-alluogi a Gwasanaeth Gweithiwr Cefnogi Iechyd a Gofal Cymdeithasol dan strwythur reoli Cefnogi Annibyniaeth yn Sir Ddinbych wedi'i alinio a fydd yn caniatáu hyn i ddigwydd.

- 4.4. Bwriad yw datblygu gwasanaeth di-dor sy'n cynnig cronfa gynyddol o sgiliau drwy ddod â'r holl elfennau h.y. SIL, Ail-alluogi, gwasanaeth HSCSW at ei gilydd.
- 4.5 Mae'r rhaglen Cefnogi Pobl wedi ffocysu ar ymyrraeth ac ataliaeth gynnar, sy'n eistedd o fewn ethos Ail-alluogi ac egwyddorion craidd Deddf Gofal Cymdeithasol a Llesiant.
- 4.6 O safbwynt dinesydd, byddant yn gallu cael mynediad at y lefel briodol o gefnogaeth ar gyfer eu hanghenion o bwynt mynediad sengl. Bydd y gwasanaeth newydd yn canolbwyntio ar y canlyniadau ac yn darparu yn unol â'r "hyn sydd o bwys" iddynt.
- 4.7 Yn ogystal â'r toriadau posibl i gyllideb Cefnogi Pobl, mae Gwasanaethau Cymorth Cymunedol yn disgwyl gostyngiadau o ran cyllid yn 2017/18. Felly mae arnom sicrhau ein bod yn gweithio'n effeithlon. Bydd y cynigion yn golygu y bydd lleihad mewn costau gorbenion rheoli ac felly yn darparu ychydig o ddiogelwch ar gyfer darparu gwasanaeth rheng flaen yn y dyfodol.
- 4.8 Mae cyfrifoldeb rheoli dros SIL wedi ei basio i'r Rheolwr Gwasanaeth dros Ardaloedd o'r 4 Hydref ymlaen wrth ddisgwyl am yr uno.
- 4.9 Yn dilyn cyfnod pontio byr, bydd adolygiad o'r strwythur reoli yn dechrau. Disgwylir y bydd yr holl newidiadau mewn lle erbyn 1 Ebrill, yn dilyn ymgynghoriad dwys gyda holl rhanddeiliaid.
- 4.10 Bydd y gwasanaeth wedi'i uno yn gweld pob un o'r tri maes gwasanaeth yn aros yn annibynnol o'i gilydd ac yn wahanol, a fyddai'n helpu o ran monitro perfformiad, atebolrwydd ariannol ac, yn bwysicaf oll, dealltwriaeth dinasyddion, ond dylai hwyluso mwy o integreiddio rhyngddynt a thrwy hynny yn darparu gwasanaeth cyffredinol o ansawdd gwell, am gost gyffredinol llai.

5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?

Bydd y prosiect hwn yn cyfrannu at gefnogi Cynllun Corfforaethol Sir Ddinbych 2012-2017 yn y meysydd canlynol:-

- a. Mae pobl ddiamddiffyn yn cael eu diogelu ac yn gallu byw mor annibynnol â phosibl
- b. Sicrhau mynediad at dai o ansawdd da. Mae'r prosiect yn chwarae rhan allweddol wrth gyfrannu at atal digartrefedd ar gyfer pobl ddiamddiffyn.

6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?

Disgwylir y bydd y cynigion yn cael effaith gadarnhaol ar ddarpariaeth gwasanaeth a ni fydd unrhyw gostau ychwanegol. Disgwylir y bydd arbedion yn 2017/18 o ganlyniad i symleiddio'r rheolaeth o'r gwasanaethau hyn.

7. Beth yw prif gasgliadau'r Asesiad o Effaith ar Lesiant?

Mae'r cynigion i uno gwasanaethau SIL ac Ail-alluogi wedi cael eu cynnwys yn y Cynllun Comisiynu Lleol Cefnogi Pobl ar gyfer 2017/18. Cwblhawyd Asesiad o Effaith ar Lesiant (WIA) ar 5 Hydref 2016 (hwn oedd y cyntaf i LCP ei gyflawni). Adnabuwyd yn hwn bod gan y Cynllun effaith gadarnhaol ar bum allan o saith nod llesiant; a'r ddau dros ben yn niwtral. O ran cynaliadwyedd, sgoriodd y Cynllun 15/24 – efallai

bod hwn yn cael ei ddylanwadu'n rhannol gan yr ansicrwydd gyda chronfa Grant Cefnogi Pobl; fodd bynnag, ailedrychir ar yr Asesiad o Effaith ar Lesiant yn dilyn unrhyw newidiadau mewn adborth gan aelodau Archwilio/ SPPG/ Cabinet.

Mae adolygiadau gwasanaeth/ rheoli contract yn ystod y flwyddyn hefyd yn sicrhau y gellir adnabod a mynd i'r afael ag unrhyw effeithiau negyddol.

Roedd Asesiad O Effaith Ar Gydraddoldeb wedi ei gwblhau eisoes ar gyfer yr LCP ym mis Gorffennaf 2016. Cadarnhaodd hwn bod gwasanaethau Cefnogi Pobl yn cael mynediad gan bob grŵp nodweddion a ddiogelir; a bod pob ymdrech rhesymol wedi ei wneud i ddileu neu leihau unrhyw effaith negyddol anghymesur posibl ar y rheiny sydd ag nodweddion a ddiogelir, a bydd gwasanaeth Cefnogi Pobl yn parhau i fonitro'r effaith o unrhyw newidiadau a wneir. Ni wnaeth yr Asesiad o Effaith ar Gydraddoldeb adnabod unrhyw effaith niweidiol a ddaeth yn sgil y Cynllun ar unrhyw nodweddion a ddiogelir.

8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?

- 8.1 Mae'r cynigion i unol SIL ac Ail-alluogi wedi cael eu cynnwys o fewn y Cynllun drafft Comisiynu Cefnogi Pobl Lleol 2017/18, a aeth drwy gyfnod ymgynghori 8 wythnos gyda gwahanol rhanddeiliaid. Yn ychwanegol, cynhaliwyd Diwrnod Cefnogi Pobl yn Neuadd y Dref y Rhyl ar 12 Medi 2016, gyda mynychwyr gan gynnwys dinasyddion a staff o wahanol asiantaethau rhanddeiliad.
- 8.2 Bydd y Cynllun Comisiynu Lleol a'r asesiad o effaith terfynol yn cael eu cyflwyno i aelodau'r Pwyllgor Archwilio Partneriaeth, cyn y bydd y ddogfen derfynol yn cael ei chyflwyno a'i chadarnhau gan Cabinet Cyngor Sir Ddinbych.
- 8.3 Mae ymrwymiad i rannu gwybodaeth o ansawdd dda o ran newidiadau posibl i SIL gyda dinasyddion, staff ac aelodau.

9. Datganiad y Prif Swyddog Cyllid

Fel y nodwyd uchod, mae SIL yn cael ei ariannu'n llawn gan y Grant Cefnogi Pobl a ddarperir yn uniongyrchol gan Llywodraeth Cymru. Mae'n bwysig bod y gwasanaeth yn cael ei ddarparu o fewn y gyllideb a ddarperir gan y Grant Cefnogi Pobl. Mae'r adroddiad hwn yn nodi dull rhesymol i ddarparu'r gwasanaeth o fewn y gyllideb bresennol ar gyfer 2016/17, yn ogystal ag esbonio cynllunio cyflenwi ariannol a gwasanaeth gyda lleihad tebygol yn y lefelau grant yn y blynyddoedd i ddod.

10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?

Y brif risg yw i'r Grant Cefnogi Pobl gael ei leihau fwy na'r disgwyl yn y blynyddoedd i ddod, gan greu sefyllfa lle bydd angen gwneud gostyngiadau pellach i'r gyllideb SIL. Bydd yr adolygiad o drefniadau rheoli yn lleihau'r perygl hwn, ond efallai y bydd angen lleihau ymhellach nifer yr oriau o gefnogaeth uniongyrchol a ddarperir.

Mae risgiau ychwanegol yn aros i holl gyllideb oherwydd ansicrwydd mewn ffrydiau ariannu yn y dyfodol.

11. Pŵer i wneud Penderfyniad

Mae Adran 7 o Gyfansoddiad y Cyngor yn amlinellu pwerau'r Pwyllgor Archwilio o ran datblygu ac adolygu polisi, a pherfformiad yr Awdurdod i ddiwallu amcanion polisi.

12. Swyddog Cyswilt: Jane Moore, Gwasanaethau Cymorth Cymunedol (Ffôn: 01824 712341)

Adroddiad i'r:	Pwyllgor Archwilio Cymunedau
Dyddiad y Cyfarfod:	27th Hydref 2016
Aelod / Swyddog Arweiniol:	Aelod Arweiniol y Parth Cyhoeddus /Pennaeth Gwasanaethau Priffyrdd ac Amgylcheddol
Awdur yr Adroddiad:	Rheolwr Risg Llifogydd
Teitl:	Strategaeth Leol Rheoli Risg Llifogydd Sir Ddinbych

1. Am beth mae'r adroddiad yn sôn?

Yn ddiweddar cyhoeddodd Swyddfa Archwilio Cymru adroddiad cenedlaethol o'r enw: Rheoli Perygl Llifogydd ac Erydu Arfordirol yng Nghymru. Mae gan yr adroddiad hwn oblygiadau i'r cyngor. Felly, mae'n teimlo'n amserol i friffio Aelodau am y goblygiadau hyn, ac i roi'r wybodaeth ddiweddaraf am ein Strategaeth Leol Rheoli Risg Llifogydd.

2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

I roi cyfle i'r Pwyllgor i ystyried a yw'r Cyngor yn cyflawni ei gyfrifoldebau fel Awdurdod Rheoli Risg Erydu Arfordirol a Llifogydd a chyflawni'r mesurau a'r amcanion a nodir yn y Strategaeth Leol Rheoli Risg Llifogydd.

3. Beth yw'r Argymhellion?

Bod y Pwyllgor yn ystyried a yw'r Cyngor yn cyflawni ei gyfrifoldebau fel Awdurdod Rheoli Risg Llifogydd ac Erydu Arfordirol a chyflawni'r mesurau a'r amcanion a nodir yn y Strategaeth Leol Rheoli Risg Llifogydd.

4. Manylion yr Adroddiad

4.1 Adroddiad Swyddfa Archwilio Cymru

Ar 21 Gorffennaf 2016 cyhoeddodd Archwilydd Cyffredinol Cymru adroddiad ar ei adolygiad o reoli risg llifogydd ac erydiad arfordirol yng Nghymru (dolen i wefan: <https://www.wao.gov.uk/cy/newyddion/llywodraeth-cymrun-gwneud-cynnydd-gyda-rheoli-perygl-cynyddol-llifogydd-ac-erydu>) Mae'r adroddiad wedi ei gynnwys fel Atodiad 1, ond y prif bwyntiau o ddiddordeb i'r Cyngor yw fel a ganlyn:

- Mae'r adroddiad yn ymdrin yn benodol gyda risg llifogydd ac erydiad arfordirol, er bod rhai o'r themâu a drafodwyd yn gyffredin i bob ffynhonnell o risg llifogydd.
- Mae diffyg gallu o fewn Llywodraeth Cymru a chynghorau wedi oedi cynnydd (mewn rhoi'r strategaethau cenedlaethol a lleol ar waith) ac yn bygwth taseilio'r dull tymor hir i reoli'r risgiau o lifogydd ac erydu arfordirol.
- Mae'r adroddiad yn cyfeirio at y polisi Cynllun Rheoli Traethlin (CRhT) o adlinio rheoledig (neu encil), a oedd ym mhenawdau newyddion yn 2014 oherwydd materion yn Fairbourne, Gwynedd. Mae hyn yn arbennig o berthnasol i'r Cyngor

oherwydd bod y polisi CRhT ar gyfer arfordir Sir Ddinbych rhwng Prestatyn a ffin y sir â Sir y Fflint yn 'adlinio rheoledig'.

- Mae'r adroddiad yn cyfeirio at Raglen Rheoli Risg i'r Arfordir Llywodraeth Cymru o 2018/19 i 2020/21, sy'n cynnwys cyllid grant LIC 75% (a fenthycir gan yr awdurdod lleol a'i ad-dalu gan Lywodraeth Cymru yn ystod, dyweder, cyfnod o 25 mlynedd drwy'r Grant Cymorth Refeniw) a chyllid cyngor 25%.
- Mae'r adroddiad yn argymhell gwell integreiddio rheoli risg llifogydd ac erydiad arfordirol ar lefel strategol, gan gyfeirio at ddeddfwriaeth cynllunio, yr amgylchedd a lles cymunedol newydd.
- Mae'r adroddiad yn cyfeirio at 'dywodlunio', a allai ddarparu dull tymor hir a chynaliadwy o reoli risg llifogydd arfordirol yn Sir Ddinbych. Mae'r Cyngor wedi meithrin perthynas waith dda gydag Ystâd y Goron yn hynny o beth ac mae'n gweithio mewn partneriaeth â Chyngor Sir y Fflint i ddatblygu strategaeth arfordirol rhwng Traeth Barkby a'r Parlwr Du, a fydd yn ystyried Tywodlunio fel un o ystod o opsiynau i reoli risg llifogydd arfordirol.

4.2 Strategaeth Lleol Rheoli Risg Llifogydd

Ar 5 Tachwedd 2014 gwnaeth y Gweinidog Cyfoeth Naturiol gymeradwyo Strategaeth Rheoli Risg Llifogydd Sir Ddinbych yn ffurfiol. Mae'r strategaeth wrth wraidd gweithgareddau'r Cyngor i reoli risg llifogydd yn y sir. Mae'r strategaeth yn nodi 31 o fesurau ac mae cynnydd da wedi'i wneud o ran cyflawni'r rhan fwyaf o'r rhain. Fodd bynnag, mae rhai gweithgareddau lle mae cynnydd wedi bod yn arafach na'r disgwyl, yn bennaf oherwydd diffyg adnoddau a'r angen i flaenoriaethu gweithgareddau penodol, er enghraifft, ymchwiliadau llifogydd. Mae diweddariad wedi ei gynnwys yn Atodiad 2.

4.3 Cynlluniau Rheoli Risg Llifogydd ac Erydu Arfordirol

Mae'r Cyngor wedi llwyddo i gael cefnogaeth Llywodraeth Cymru ar gyfer datblygu nifer o gynlluniau rheoli risg llifogydd ac erydu arfordirol.

(i) Cynllun Amddiffynfa Arfordirol Dwyrain y Rhyl

Darparodd Lywodraeth Cymru grant i'r Cyngor i benodi JBA Consulting i gynnal astudiaeth arfarnu prosiect i nodi opsiwn a ffeirir i leihau perygl llifogydd arfordirol yn nwyrain y Rhyl. Argymhellodd adroddiad JBA fod morglawdd ar y môr yn cael ei ddatblygu fel y dewis a ffeirir. Fodd bynnag, roedd y gwerthusiad economaidd a gynhaliwyd fel rhan o'r astudiaeth yn dangos bod yna opsiynau eraill gyda chostau a manteision tebyg. Yng ngoleuni hyn, mae LIC wedi gofyn i'r Cyngor i gynnal astudiaeth cludo gwaddod a fydd yn nodi effeithiau tymor hir ar erydu ar y traeth ar gyfer y gwahanol opsiynau. Bydd hyn yn sicrhau bod y dewis a gaiff ei symud ymlaen yn gost effeithiol ac yn gynaliadwy ac, yn bwysicaf oll, gymwys ar gyfer grant. Dangosodd yr adroddiad y gallai'r cynllun gostio cymaint â £22 miliwn, er bod hyn yn cynnwys elfen o 'duedd optimistiaeth'. Mae ffigwr mwy realistig yn ôl pob tebyg o gwmpas £15 miliwn, a bydd yn ofynnol i'r Cyngor gyfrannu 25%.

Mae'r Cyngor wedi cyflogi contractwr dylunio ac adeiladu, Balfour Beatty, drwy'r fframwaith caffael cenedlaethol Scape ac mae comisiwn dyluniad wedi ei ddyfarnu i JBA. Fel rhan o'r comisiwn, bydd JBA yn gweithio gyda'r Cyngor i ddatblygu strategaeth gyfathrebu a fydd yn sicrhau bod lefel briodol, gyson o ymgysylltu â'r cyhoedd yn cael ei chynnal trwy gydol gweddill y prosiect.

Mae cynllun Dwyrain y Rhyl wedi cynnwys rhai gweithiau uwch ar Gwrs Golff y Rhyl, gyda chymorth cyllid grant LIC. Bydd y gwaith hwn yn darparu diogelwch yn erbyn storm 1 mewn 50 mlynedd, a dylai fod wedi'i gwblhau erbyn Ebrill 2017 ar gost o tua £800,000.

(ii) Wal Clwb Hwyllo'r Rhyl

Mae'r Cyngor wedi bod yn llwyddiannus yn eu cais am grant LIC i gynnal astudiaeth arfarnu prosiect i nodi dewis a ffeir i uwchraddio neu amnewid yr ased hwn, a ddylai hefyd leihau'r risg o lifogydd yn yr ardal sydd mewn perygl. Mae'r cynllun yn ffurfio rhan o Raglen Rheoli Risg Arfordirol LIC, a ddylai alluogi gwaith adeiladu i ddechrau yn 2018.

(iii) Cynllun Rheoli Risg Llifogydd Llanellwy

Mae'r Cyngor wedi derbyn cymeradwyaeth LIC ar gyfer y cynllun hwn i symud ymlaen i'r cam dylunio a datblygu. Gan fod y cynllun hwn yn gyfagos i Afon Elwy (prif afon), ac yng ngoleuni cynllun parhaus Cyfoeth Naturiol Cymru yn Llanellwy, mae'r Cyngor yn gweithio mewn partneriaeth gyda Cyfoeth Naturiol Cymru a bydd yn defnyddio ymgynghorydd Cyfoeth Naturiol Cymru i fwrw ymlaen â'r cynllun. Bydd hyn yn darparu rhywfaint o effeithlonrwydd a bydd yn sicrhau bod y ddau gynllun yn gydnaws.

(iv) Cynlluniau Rheoli Risg Llifogydd Dyserth a Llanbedr DC

Mae'r Cyngor wedi derbyn cymeradwyaeth LIC ar gyfer y cynlluniau hyn i symud ymlaen i'r cam dylunio a datblygu. Mae contractwr dylunio ac adeiladu (Balfour Beatty) wedi ei benodi drwy fframwaith Scape ac mae tîm ymgynghorol (Opus/Waterco) hefyd wedi ei benodi.

5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?

Mae llifogydd yn gallu achosi ymyrraeth ddifrifol a pharhaus ar y cymunedau y mae'n effeithio arnynt. Mae deall a rheoli risg llifogydd lleol yn cefnogi blaenoriaeth y Cyngor i ddatblygu'r economi leol.

6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?

Bydd costau dan sylw, costau staff yn bennaf, wrth gyflawni'r amcanion a mesurau a nodwyd yn y Strategaeth Rheoli Risg Llifogydd. Fodd bynnag, bydd yn ofynnol bod lefelau llawer mwy o sylweddol o gyllid i gefnogi'r elfen arian cyfatebol grant o'r cynlluniau rheoli risg llifogydd ac erydu arfordirol.

7. Beth yw prif gasgliadau'r Asesiad Effaith ar Les?

Mae rheoli risg llifogydd yn ei hanfod yn cael effaith gadarnhaol ar y cyfan. Fodd bynnag, bydd dull y Cyngor o drin rheoli risg llifogydd yn sicrhau bod cyfleoedd yn cael eu harchwilio i wneud y mwyaf o'r effeithiau cadarnhaol hynny.

8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?

Cynhaliwyd ymgynghoriad ar y Strategaeth Lleol Rheoli Risg Llifogydd gyda'r Pwyllgor ar 25 Tachwedd 2013 ac eto ar 4 Rhagfyr 2014. Cynhaliwyd ymgynghoriad cyhoeddus llawn ar y Strategaeth ddrafft ar ôl hynny. Ymgynghorwyd â'r Cabinet cyn cyflwyno'r Strategaeth ar gyfer cymeradwyaeth y Gweinidog. Darparwyd briff

gwybodaeth i'r Grŵp Buddsoddi Strategol ar 12 Ionawr 2016, a oedd yn amlinellu cynigion y Cyngor ar gyfer cynlluniau yn Niserth a Llanbedr DC.

9. Datganiad y Prif Swyddog Cyllid

Mae'r adroddiad yn nodi crynodeb ddefnyddiol o'r cynlluniau a'r ffynonellau cyllido, yn bennaf o grant allanol. Mae angen arian cyfatebol gan y cyngor ar gyfer rhai o'r cynlluniau. Mae'r mwyaf sylweddol yn ymwneud â chynllun Dwyrain y Rhyl, fodd bynnag, mae cyfran o hyn eisoes wedi cael ei gynnwys yng Nghynllun Cyfalaf presennol y Cyngor. Bydd angen adolygu'r sefyllfa drwy'r prosesau cymeradwyo arferol unwaith y bydd costau'r cynllun yn cael eu cadarnhau.

10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?

Y prif risg sy'n gysylltiedig â rheoli risg llifogydd lleol, gan gynnwys rheoli erydiad arfordirol, yw oherwydd y diffyg posibl o adnoddau, boed yn gefnogaeth ariannol, gan gynnwys cymorth grant, neu aelodau o staff (cyfeirir at hyn yn adroddiad Swyddfa Archwilio Cymru). Mae'r Cyngor wedi cynnal ymrwymiad cyson i ariannu prosiectau llifogydd ac arfordirol cyfalaf dros y 13 mlynedd diwethaf, ond mae cyllid referniw wedi gostwng yn sylweddol ac mae dibyniaeth ar grant LIC i gefnogi cyflog y tîm risg llifogydd ar hyn o bryd (2.4 aelod o staff). Mae'n bwysig bod y Cyngor yn cydnabod y risg y gallai cyllid LIC cael ei dynnu'n ôl ac y byddai hyn yn arwain at ddiffyg ariannol o tua £90k y flwyddyn.

11. Pŵer i wneud Penderfyniad

Rheoliadau Risg Llifogydd (1999), Deddf Rheoli Llifogydd a Dŵr (2010).
Amlinellir pwerau archwilio o ran y mater hwn yn Adran 7 o gyfansoddiad y Cyngor.

21 July 2016

Archwilydd Cyffredinol Cymru
Auditor General for Wales

Coastal Flood and Erosion Risk Management in Wales



WALES AUDIT OFFICE
SWYDDFA ARCHWILIO CYMRU



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Part 1 and Appendices photographs courtesy of Martin Gibson.

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I have prepared and published this report in accordance with the Government of Wales Act 2006.

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Summary

- 1 Sixty per cent of the population of Wales live on or near to the coast and across Wales 208,000 properties are at risk from flooding from rivers or from the sea. Over the next 100 years¹, the current estimation is that 2,126 properties could be at risk of coastal erosion, assuming that there is no active intervention. Coastal flooding and erosion is also a risk to agricultural land, businesses, key national infrastructure including transport and utilities, and to sites of cultural or environmental importance.
- 2 Coastal flooding usually occurs through a combination of high tides and severe weather. Estuarine communities and environments are particularly susceptible to flooding because severe weather is also likely to mean that rivers are in flood, and the effect of high tides is to hold back the release of river water into the sea. Sometimes, sustainable land management techniques such as the preservation of upland bogs and riverside trees can help to slow the release of river floodwater, reducing the rapid increase in river height that can exacerbate flooding problems downstream. Coastal erosion can also increase the risk of flooding from the sea. Topography, geology, land use, wave height, sea levels, and the frequency and severity of coastal storms all have an impact on coastal erosion. The impact of climate change will increase the risks of coastal flooding and erosion as the sea level rises, and although predicted to be slightly less frequent, extreme rainfall events will become more intense and storm surges will become larger (Box 1).

Box 1: Climate Change

In 2014, the Intergovernmental Panel on Climate Change reported² a number of changes in the climate system including warming of the atmosphere and ocean, diminishing levels of snow and ice, extreme precipitation events, and rising sea levels.

The most recent UK climate projections show that for the UK, the sea level rose by about one mm per year in the 20th century. Projections³ of UK absolute sea level for 2095 range from approximately 120 mm to 760 mm. Winter wave heights in the south-west of the UK are also expected to increase by 2100, both in terms of mean heights and extreme wave heights during severe weather, but there are uncertainties with these projections.

The UK Climate Change Adaptation Sub Committee is currently producing evidence for the 2017 Climate Change Risk Assessment that shows the rise in sea level this century increases the likelihood of a severe 1 in 100 year coastal flood event in west Wales to between a 1 in 10 and 1 in 20 year chance.

¹ **Flood and Coastal Erosion Risk Management in Wales 2011-2014**, Natural Resources Wales, March 2014.

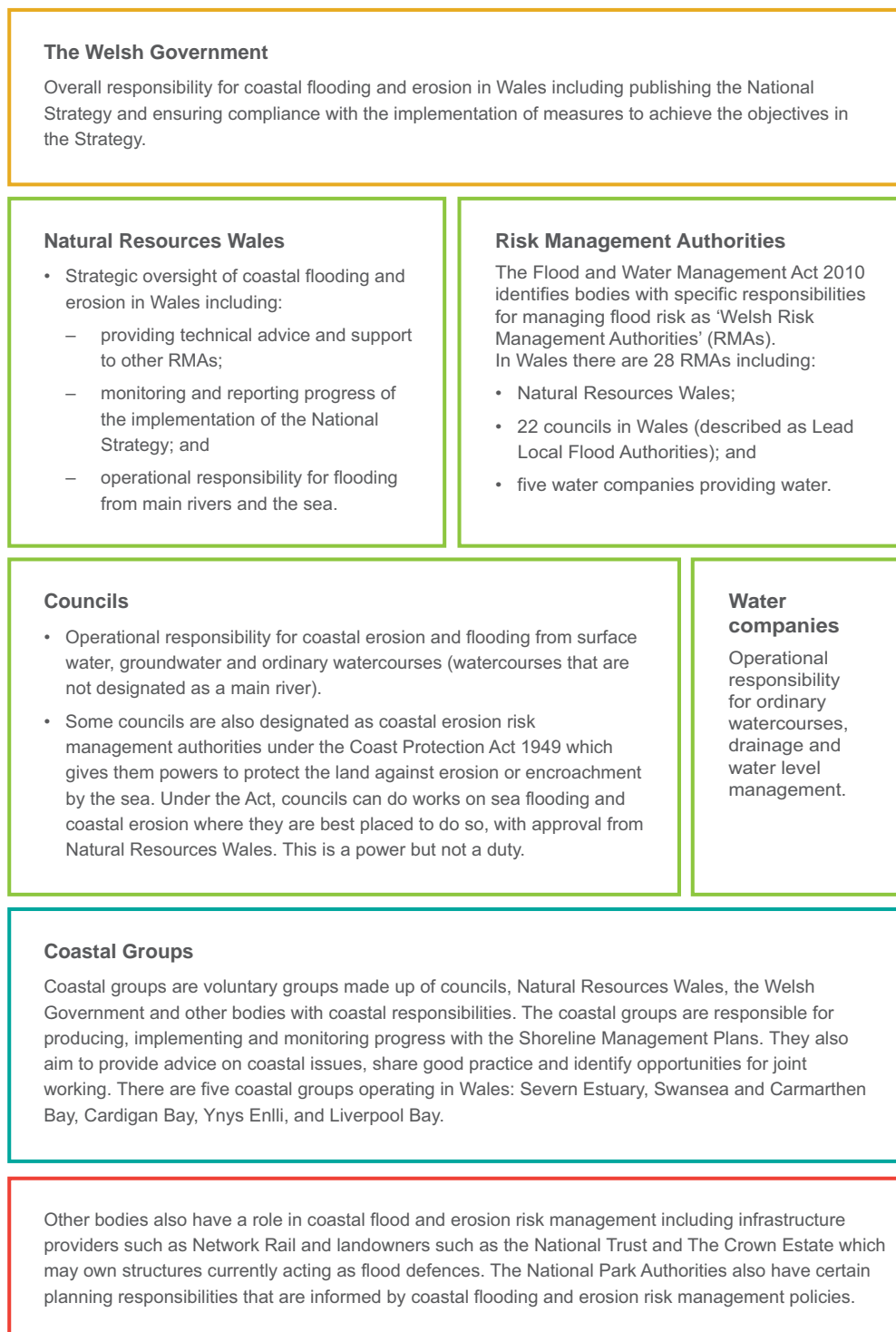
² **Synthesis Report 2014**, Intergovernmental Panel on Climate Change (IPCC). The United Nations Environment Programme and the World Meteorological Organisation established the IPCC in 1988. The IPCC is the internationally accepted authority on climate change.

³ **UK Climate Projections: Marine and Coastal Projections, UKCP09, 2009**. Projections are set out on the [UKCP09 website](#) managed by the Environment Agency working with the Met Office.

- 3 The UK Government's Flood and Water Management Act (2010) placed a duty on the Welsh Government to produce a national strategy on flood and coastal erosion, and on the then Environment Agency Wales, to report to Welsh Ministers on progress to implement the strategy. The Act also places a duty on unitary authorities (councils) to develop and implement Local Flood Risk Management Strategies. The local strategies set out objectives for managing local flood risk from surface water, groundwater and ordinary watercourses. From 1 April 2013, Natural Resources Wales took over all of Environment Agency Wales' duties relating to flooding and coastal erosion⁴.
- 4 The Welsh Government published its National Strategy for Flood and Coastal Erosion Risk Management in Wales in November 2011. The National Strategy recognises that it is not possible to prevent all flooding and coastal erosion and builds on the principles of the Welsh Government's previous 'New Approaches Programme' which marked a move away from using traditional coastal defences to managing the risks of coastal flooding and erosion. The Strategy gives an overview of responsibilities for all of the organisations involved in managing the risks of coastal flooding and erosion (Figure 1) and sets out four key objectives:
 - a reducing the consequences for individuals, communities, businesses and the environment from flooding and coastal erosion;
 - b raising awareness of and engaging people in the response to flood and coastal erosion risk;
 - c providing an effective and sustained response to flood and coastal erosion events; and
 - d prioritising investment in the most-at-risk communities.
- 5 Organisations responsible for managing coastal flooding and erosion must also work together to produce Shoreline Management Plans. Shoreline Management Plans were first developed in the early 2000s as part of the UK Government's strategy for flood and coastal defence and have continued to be a key part of the approach in England and Wales (Box 2). In Wales, the Shoreline Management Plans are intended to inform strategic decisions about coastal protection including planning and development along the coast.

⁴ The Welsh Government created Natural Resources Wales on 1 April 2013, replacing three legacy bodies – the Countryside Council for Wales, Environment Agency Wales, and Forestry Commission Wales - as well as incorporating certain Welsh Government functions. On 1 April 2015, the Welsh Government transferred the functions of the three Internal Drainage Boards operating wholly or partly in Wales into Natural Resources Wales.

Figure 1: Roles and responsibilities for coastal flood and erosion risk management



Source: Wales Audit Office

Box 2: Shoreline Management Plans

Shoreline Management Plans set out coastal management policies for the next 100 years in three epochs: 0 to 20 years, 20 to 50 years and 50 to 100 years. Organisations responsible for managing coastal flooding and erosion started updating the Shoreline Management Plans in 2011, based on improved data about changes to the coastline. A further review of the Shoreline Management Plans is likely in the next five to 10 years. The policy options suggested in the plans fall into four broad areas:

- **Hold the line:** by maintaining or changing the standard of protection;
- **Advance the line:** by constructing new defences seaward of the original defences.
- **Managed retreat:** by allowing the shoreline to move backwards and identifying a new line for coastal defences. This approach has implications where protecting the community from progressive flood risk is likely to become unsustainable in the future and residents may have to move to areas of lower risk.
- **No active intervention:** where coastal defences will no longer be maintained. Monitoring and inspection of the shoreline will still be required. Under the Flood and Water Management Act 2010, organisations responsible for managing the risks of coastal flooding and erosion have no obligation to provide, or to maintain, coastal defences.

There are four Shoreline Management Plans in Wales including two which, for oceanographic reasons, overlap the border with England⁵.

- 6 The Welsh Government provides capital and revenue funding for Natural Resources Wales and for local councils to manage the risks of coastal flooding and erosion. The Welsh Government is changing the way it allocates funding through two new programmes:
 - a **The Flood and Coastal Investment Programme** will allocate funding to Natural Resources Wales and councils based on national priorities.
 - b **The Coastal Risk Management Programme** will provide capital funding to support council coastal protection schemes delivered between 2018-19 and 2020-21.
- 7 Our 2009 report on **Coastal Erosion and Tidal Flooding Risks in Wales**⁶ concluded that the Welsh Government's approach offered more sustainable solutions to managing coastal flooding and erosion. However, the report identified the need for the Welsh Government to show stronger strategic leadership, strengthen collaborative working and clarify the roles and responsibilities of all stakeholders. The report also recommended that the Welsh Government should work with partners to develop a way of prioritising investment based on the costs and benefits of coastal protection schemes. Since 2009, inquiries by the National Assembly's Public Accounts Committee (2010)⁷ and the Environment and Sustainability Committee of the National Assembly for Wales (2012)⁸ have also resulted in a number of recommendations for improvement.

5 North West England and North Wales Shoreline Management Plan (Liverpool Bay and Ynys Enlli Coastal Groups), West of Wales Shoreline Management Plan (Ynys Enlli and Cardigan Bay Coastal Groups), South Wales Shoreline Management Plan (Swansea and Carmarthen Bay Coastal Group), and the Severn Estuary Shoreline Management Plan (Severn Estuary Coastal Group).

6 **Coastal Erosion and Tidal Flooding Risks in Wales**, Wales Audit Office, October 2009.

7 **Coastal Erosion and Tidal Flooding Risks in Wales**, Public Accounts Committee, May 2010.

8 **Coastal Protection in Wales**, Environment and Sustainability Committee, October 2012.

- 8 In 2014, Natural Resources Wales was asked by the then Minister for Natural Resources and Food to review the impacts of the winter floods of December 2013 and January 2014. The **Wales Coastal Flooding Review** ([Appendix 2](#)) found that the overall response to the floods was 'coordinated and effective' but identified a number of areas for improvement in the overall approach. Many of the issues from the **Wales Coastal Flooding Review** had been identified by previous reviews. The recommendations have been grouped into 10 projects to improve coastal flooding and erosion risk management. These projects are included in the **Wales Coastal Flooding Review Delivery Plan** (2015).
- 9 On behalf of the Auditor General, Wales Audit Office staff have undertaken a further review to consider the progress that is being made by the Welsh Government and its partners to manage the risks of coastal flooding and erosion in Wales. This report assesses whether key objectives in the Welsh Government's National Strategy for Flood and Coastal Erosion Risk Management in Wales are being met but does not evaluate the effectiveness of emergency planning and resilience arrangements, nor the emergency response to flooding events. [Appendix 1](#) sets out more detail about our audit methods.
- 10 **Our overall conclusion is that recent Welsh Government investment has improved coastal protection and delivered some wider benefits. The Welsh Government and partners are improving their approach to managing the risks of coastal flooding and erosion, although the pace of change has been slower than planned. Further improvements are needed to address capacity issues, plan for the long term, and ensure that spending provides value for money. The Coastal Flooding Review Delivery Plan (2015) is providing impetus and the Welsh Government intends to refresh the National Strategy in 2017-18.**
- 11 The Welsh Government has allocated £381 million for inland and coastal flood and erosion risk management schemes and activities from 2010-11 to 2016-17, with more than half of this funding allocated to Natural Resources Wales (or Environment Agency Wales from 2010-11 to 2012-13). £219 million of funding was allocated for capital schemes from 2010-11, with £120 million of this allocated to coastal schemes; a figure that also includes £25.4 million from the European Regional Development Fund. Although EU funding ceased in 2015-16, the Welsh Government continues to allocate capital to coastal councils through the coastal protection grant. Investment has reduced the consequences of coastal flooding and erosion and led to other benefits including regeneration, increasing tourism, and creating employment. The Welsh Government has worked with partners to increase awareness of the risks of coastal flooding and erosion but there is evidence that the public still have a limited understanding of the implications of managed retreat.

- 12 The National Strategy clearly sets out the risk-based approach that the Welsh Government is pursuing, an approach that is based on learning from alternative approaches and engagement with key stakeholders. However, the Welsh Government has still not set out in its strategy some options to help councils to prepare communities for managed retreat. In addition, while partners work well together on specific initiatives, some roles, responsibilities and performance management arrangements remain unclear. It took longer than expected to finalise the Shoreline Management Plans and the Local Flood Risk Management Strategies, and some councils are only making slow progress to deliver related actions.
- 13 The Welsh Government's planned review of the National Strategy in 2017-18, together with new legislation including the Planning (Wales) Act 2015 and the Environment (Wales) Act 2016, presents a timely opportunity to more closely integrate flood risk management at a strategic level into wider policies, plans and funding arrangements. Moreover, from 1 April 2016, the key public bodies involved in the management of coastal flooding and erosion risk management – the Welsh Government, Natural Resources Wales, and local councils – have a duty under the Well-being of Future Generations (Wales) Act 2015 to demonstrate that they are applying the sustainable development principle in their decision making (Appendix 4).
- 14 There is now a broad understanding of the possible long-term costs of managing the risks of coastal flooding and erosion, and the Welsh Government has yet to develop parts of its long-term funding strategy. The Welsh Government has committed to contribute 75 per cent of the Coastal Risk Management Programme which will invest a maximum of £150 million on council capital schemes from 2018-19 to 2020-21. This funding can allow progress over the next few years with some of the priorities identified in the Shoreline Management Plans, but the Welsh Government's funding is dependent on councils contributing 25 per cent towards the cost of these projects within the Programme, including their ability to secure external contributions where such opportunities exist. The Welsh Government has not helped councils to secure options for external funding. The cost of meeting the priorities identified in the Shoreline Management Plans is estimated to increase from £20 million to £30 million per year over the next 50-100 years. The issue for the Welsh Government and councils is in sustaining enough funding for the implementation of Shoreline Management Planning policies after, and well beyond, 2020-21. More work is also needed to ensure that funding is prioritised to areas of greatest need.

- 15 The Flood Risk Management Wales Committee⁹ explored long-term funding options in 2013, but the Welsh Government has not formally responded to the Committee's recommendations. Councils are also concerned about their ability to fund their own contribution to new capital projects and to fund maintenance activity. While key partners have an improved understanding of risk, the Welsh Government is considering options but is still to determine the preferred way forward for the Wales Coastal Monitoring Centre, previously hosted by Gwynedd Council. There is still no national register of coastal defence assets.
- 16 The Welsh Government's arrangements for monitoring its coastal protection grant have been weak, although some changes from April 2016 seek to improve progress reporting, and clarify benefits realised and any savings. Arrangements for prioritising grant funding for council coastal infrastructure projects are unclear. Where councils have made an application for grant aid that is of acceptable quality and is shown to have a positive benefit-to-cost ratio, the Welsh Government has been able to fund all schemes without the need to compare risks to prioritise one scheme over another. The Welsh Government is currently developing governance arrangements for its Coastal Risk Management Programme and has put in place a board to oversee delivery and represent stakeholder interests. The Welsh Government has yet to finalise governance arrangements for its Flood and Coastal Investment Programme.
- 17 Previous reviews have highlighted that progress to implement flood risk management has been hindered by a lack of capacity in the Welsh Government and in the councils. These issues are a concern in the context of future financial pressures, including also potentially for Natural Resources Wales, and the possibility of local government reform presents both risks and opportunities in this regard.
- 18 The development of the Wales Coastal Flooding Review Delivery Plan (2015) is widely recognised by stakeholders as a positive step towards improving coastal flooding and erosion risk management in Wales. However, deadlines for key actions in the Delivery Plan often relate to writing reports on options for improvement rather than agreeing and implementing solutions. The challenge for the Welsh Government and partners will be in sustaining momentum and implementing solutions to deliver the Coastal Review recommendations as soon as possible.

⁹ The Environment (Wales) Act 2016 allows the Flood and Coastal Erosion Committee to replace the Flood Risk Management Wales Committee, providing an opportunity to more fully integrate a wider range of flood and coastal erosion issues than the previous committee.

Recommendations

- R1 The Welsh Government has made slower progress than it had planned to address some of the recommendations of previous reviews and actions outlined in the National Strategy. Many of these outstanding actions have since been reflected in the Wales Coastal Flooding Review (2014) and Wales Coastal Review Delivery Plan (2015). **In refreshing its National Strategy in 2017/18, the Welsh Government should:**
- a **Evaluate its progress against the recommendations of previous reviews and update the Wales Coastal Review Delivery Plan to address any residual issues. The plan should set realistic targets and timescales to implement solutions.**
 - b **Develop a strategy to identify long-term funding for coastal protection including funding from across government departments and external bodies, and particularly to deliver multiple benefits. The Welsh Government should work with partners to learn from the partnership funding model in England to understand how councils have been able to attract external funding (paragraphs 2.25-2.31).**
 - c **Work with partners to ensure that adequate funding is available for revenue activities such as maintenance, coastal monitoring and community engagement (paragraphs 2.36-2.37). This work should include a review of council spending through the Single Environmental Revenue Grant and other sources of revenue funding to consider the impact of the new arrangements on the funding of flood risk management activities.**
 - d **Better integrate coastal flood and erosion risk management at a strategic level with new legislation including the Planning (Wales) Act 2015, Well-being of Future Generations (Wales) Act 2015 and Environment (Wales) Act 2016 (paragraphs 2.9-2.11).**
- R2 The Welsh Government described roles and responsibilities in its National Strategy but stakeholders told us they were still not clear in certain respects. The Wales Coastal Flooding Review Delivery Plan includes a project led by the Welsh Local Government Association and Natural Resources Wales to clarify the roles and responsibilities of organisations responsible for managing flood risk. **The Welsh Government should clarify Natural Resources Wales' oversight role and how it differs from the Welsh Government's role to manage performance (paragraph 2.17).**
- R3 There is evidence that some communities are still unaware of the long-term implications of the Welsh Government's risk-based approach. Community engagement has been hampered by a lack of options in the national strategy to help councils to prepare communities for managed retreat. **The Welsh Government should develop options within the national strategy to help councils to prepare communities where it is likely that managed retreat will be required. These options should consider the legal and financial arrangements necessary to relocate people and assets away from flood risk (paragraphs 2.7-2.8).** The Welsh Government should also set out how it will communicate the implications of its risk-based approach to the public (paragraphs 1.21 to 1.22).

R4 Natural Resources Wales reports on its own activities and progress against the National Strategy under section 18 of the Flood and Water Management Act 2010 without the benefits of an independent review. **The Welsh Government should review section 18 reporting arrangements and consider an independent review of performance, or a peer review of Natural Resources Wales section 18 reports (paragraph 2.17).**

R5 The Welsh Government and Natural Resources Wales are members of the Joint Flood and Coastal Erosion Risk Management Research and Development Programme with the UK Government's Department for the Environment, Food and Rural Affairs (Defra) and the Environment Agency. Although stakeholders could do more to engage in this Programme, the Welsh Government and Natural Resources Wales could more effectively share good practice identified by the Programme, particularly with councils. **The Welsh Government should work with Natural Resources Wales to share and promote the good practice identified in the Joint Flood and Coastal Erosion Risk Management Research and Development Programme with councils (paragraph 2.6).**

Part 1

Recent investment has improved coastal flood protection and delivered some wider benefits, although further work is needed to engage communities about the risks of coastal flooding and erosion



- 1.1 This part of our report tries to set out where the Welsh Government has invested the £381 million that it has allocated to flood and coastal erosion risk management since 2010-11. The Welsh Government has prioritised flood and coastal erosion risk management during the current period of austerity, maintaining funding since 2011-12 at a time when there have been significant cuts in funding, and particularly capital, for other departments. Our national study **A Picture of Public Services 2015**¹⁰ sets out funding for the Welsh Government's departments in more detail.
- 1.2 We were not always able to disaggregate funding allocated to coastal flood and erosion risk management activities from non-coastal activities. Where possible we have reported 'real-terms' expenditure figures throughout the report, this means that we have made adjustments to account for inflation. 2014-15 has been used as the base year against which we adjust previous years. Real-terms figures are based on HM Treasury GDP deflators issued in December 2015.
- 1.3 We also consider evidence of the impact of coastal risk management schemes across Wales, and how well the Welsh Government and its partners are engaging the public in their approach to coastal flooding and erosion.

Welsh Government funding for flood and coastal erosion risk management had been broadly stable from 2010-11 to 2016-17, with variation in EU funding from year to year

Since 2010-11, the Welsh Government has allocated £120 million of capital to coastal schemes, but its revenue allocation of £162 million cannot be apportioned between coastal and non-coastal activities

- 1.4 The Welsh Government has allocated £219 million capital from 2010-11 to 2016-17¹¹, with £120 million of this allocated to coastal schemes. This comprised £95 million of funding from the Welsh Government and £25.4 million from the European Regional Development Fund (ERDF)¹². The Welsh Government also allocated £162 million in revenue funding for flood and coastal erosion risk management over the same period. The Welsh Government was not able to separate how much of this revenue was used for coastal flooding and erosion.
- 1.5 **Figure 2** shows the real-terms funding that the Welsh Government allocated to all flood and coastal erosion risk management each year since 2010-11. While **Figure 2** suggests a reduction in funding, the underlying picture is more complex, particularly due to variation in the amount of ERDF drawn down from year to year. In 2010-11, total capital funding reached a peak of £44.4 million in real terms, largely due to a particularly large allocation of ERDF for that year (**Appendix 3**). Annual variation in capital funding is expected to some extent: it may go up because large projects reach particular milestones or go down where there are

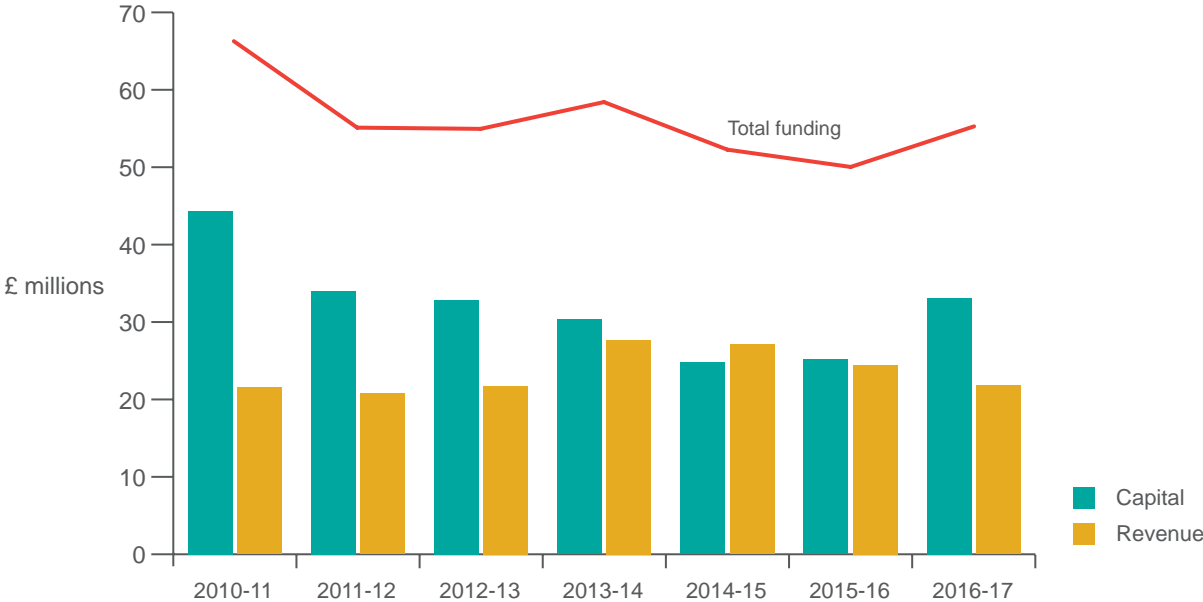
¹⁰ **A Picture of Public Services 2015**: report by Wales Audit Office showing the devolved public services' response to the challenges they have been facing and their plans to face the future pressures.

¹¹ As of May 2016, with additional capital allocation likely later in 2016-17.

¹² Until autumn 2015, capital funding for coastal protection has been available from European structural funds, in particular the ERDF. The allocation of that European funding is determined by the Welsh European Funding Office which is part of the Welsh Government. We were unable to obtain consistent information to map council spending across Wales in addition to any specific funding that the Welsh Government has provided. The information we have suggests that the additional spending by councils has been marginal since 2010-11.

delays in getting projects started. The position for 2016-17 is also complicated by £9.2 million of consequential funding¹³. Without this consequential funding, funding in real terms would have been £46.6 million which is slightly less than received in 2015-16. Leaving aside ERDF, the capital funding contribution from the Welsh Government has been largely static over the period since 2010-11. Revenue funding has risen slightly in real terms from 2011-12 to 2013-14, but has now returned to a similar level to the period 2010-11 to 2012-13.

Figure 2: Welsh Government and European Union funding for flood and coastal erosion risk management from 2010-11 to 2016-17, shown in real terms



Notes

- 1 The graph shows total funding for all types of flooding (inland and coastal), as well as for coastal erosion risk management.
- 2 These figures include £6.8 million capital of funding distributed across 10 councils to address the damage caused by the winter flooding of 2013-14, and £9.2 million of consequential funding allocated to the Welsh Government in 2016-17.
- 3 Capital funding includes core funding from the Welsh Government’s flood and coastal erosion budget as well as different Welsh Government funding programmes such as the Wales Infrastructure Investment Plan (WIIP), where bids will have had to be made on a case-by-case basis in competition with other priorities. Appendix 3 provides a breakdown of Welsh Government funding.
- 4 Revenue funding includes funding for councils to manage all sources of flooding and erosion through the Lead Local Flood Authority Grant, funding to help councils produce Local Flood Risk Management Strategies and revenue funding for Natural Resources Wales.

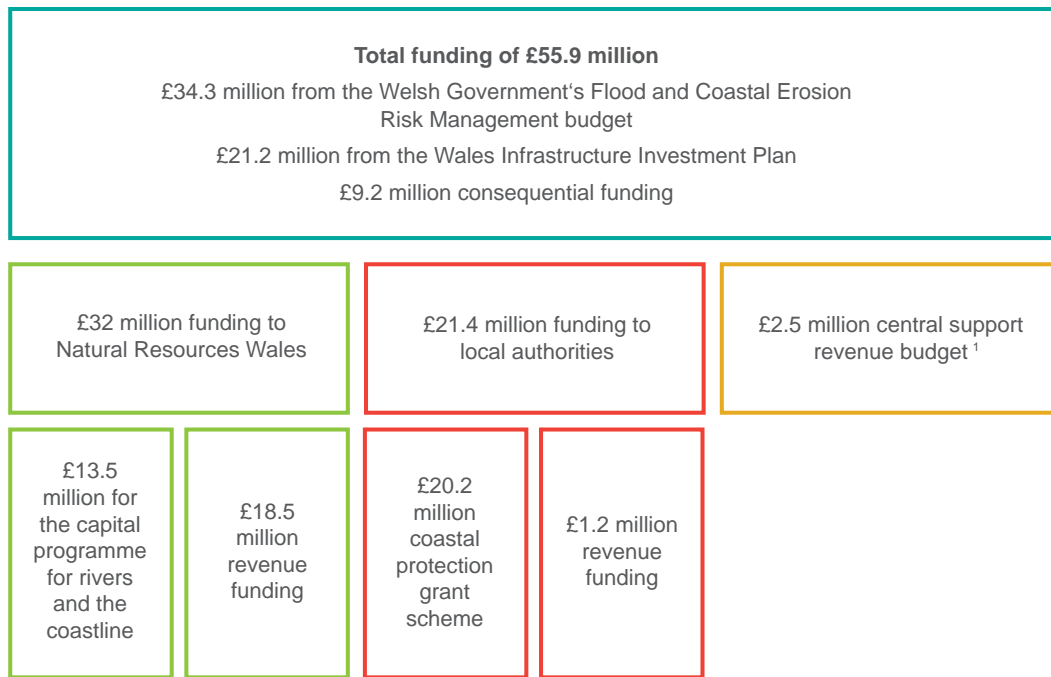
Source: Wales Audit Office analysis of Welsh Government data

¹³ As a result of the winter storms in England in 2015, the UK Government made additional funding available, even though Wales was not as badly affected by these storms as England. Under the Barnett formula through which central funding is allocated, Wales received an additional £9.2 million in 2016-17. The Welsh Government anticipates that all of this consequential funding will be included in the core Flood and Coastal Erosion Risk Management budget for 2016-17, although other departments undertaking flood work could also receive some of this funding.

In 2016-17, the Welsh Government allocated more than half of its budget for flood and coastal erosion risk management to Natural Resources Wales

1.6 The Welsh Government splits its funding for Natural Resources Wales between its Capital Investment Programme for rivers and the coastline, and revenue funding for staff and other activities such as community engagement. Natural Resources Wales funds maintenance of coastal defences through a mix of capital and revenue budgets depending on the size and nature of repairs. **Figure 3** shows the distribution of funding in 2016-17.

Figure 3: Welsh Government and European Union funding allocated for flood and coastal erosion risk management 2016-17 in cash terms



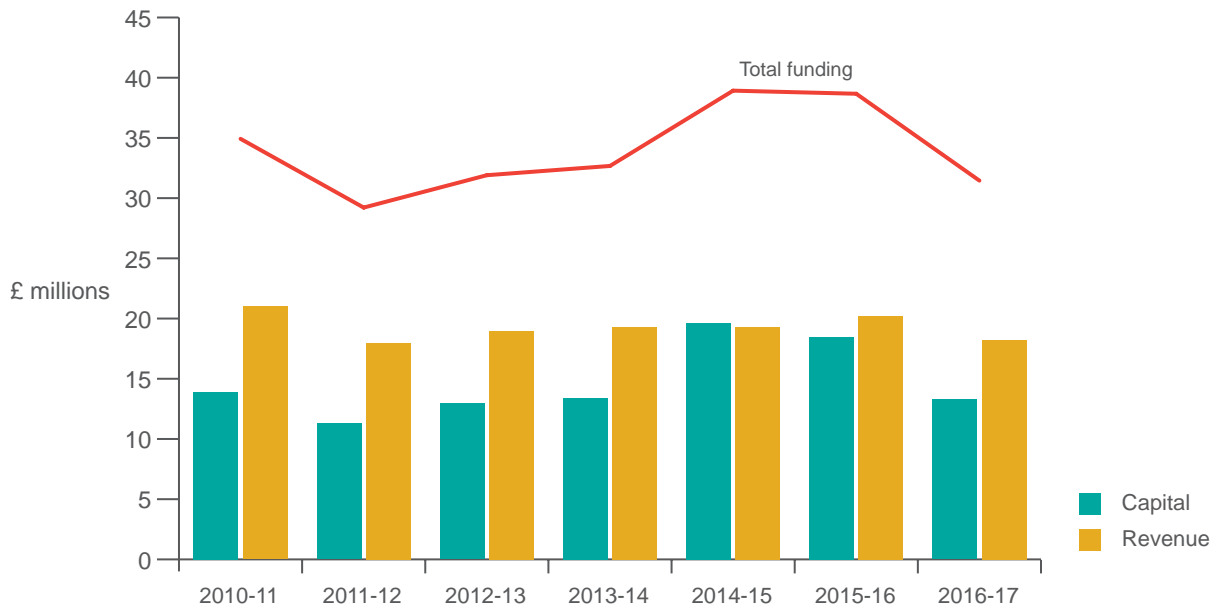
Note

Central support revenue budget covers coastal monitoring, research, conferences and exhibitions, administration and IT costs, consultancy fees for additional policy and project work, as well as salaries and training for the Welsh Government's Flood and Coastal Erosion Risk Management Branch.

Source: Wales Audit Office analysis of Welsh Government data

1.7 Natural Resources Wales became the single environment body for Wales in April 2013. Figures from 2010-11 to 2012-13 relate to Environment Agency Wales. Total real-terms funding to Environment Agency Wales or Natural Resources Wales for flood risk management peaked in 2014-15 at almost £39 million, but in 2016-17, this funding was £31.5 million. The Welsh Government advised us that rather than a cut in funding, the reduction since 2014-15 represents the progress that Natural Resources Wales is making with its capital programme and includes some funding carried over from previous years. (Figure 4).

Figure 4: Welsh Government and European Union flood and coastal erosion risk management funding allocated to Environment Agency Wales and Natural Resources Wales 2010-11 to 2016-17, shown in real terms



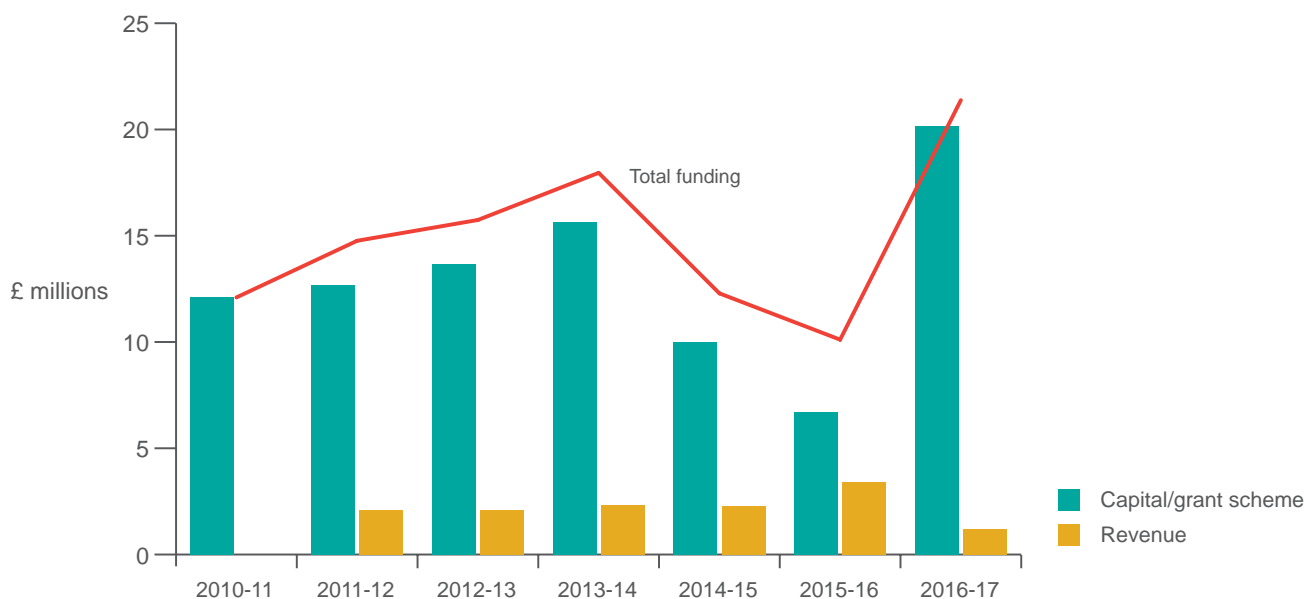
Note
 Figures from 2010-11 to 2012-13 are for Environment Agency Wales. Figures from 2013-14 to 2016-17 are for Natural Resources Wales. The graph shows total funding, not just funding for coastal schemes and activities.

Source: Wales Audit Office analysis of Welsh Government data

The greatest part of funding allocated to councils from the Welsh Government for flood and coastal erosion risk management is capital allocated through the coastal protection grant

1.8 Councils receive revenue funding from the Welsh Government for staff costs, public engagement activities and routine maintenance work. All 22 councils each received £100,000 annual revenue funding to manage all sources of flooding and erosion through the Welsh Government’s Lead Local Flood Authority Grant from 2011-12 to 2014-15. Revenue funding to councils increased in 2015-16. Councils can also apply for the Welsh Government’s coastal protection grant for capital schemes. Total funding for councils increased in real terms between 2010-11 and 2013-14, but reduced sharply in 2014-15 and 2015-16, when funding was £10.1 million, before rising sharply to £21.4 million in 2016-17. The decrease is due to the reduction in capital spending. The Welsh Government said that following the winter storms of 2013-14, capacity constraints meant that councils submitted fewer applications for capital schemes (Figure 5).

Figure 5: Welsh Government and European Union flood and coastal erosion risk management funding for councils 2010-11 to 2016-17 shown in real terms



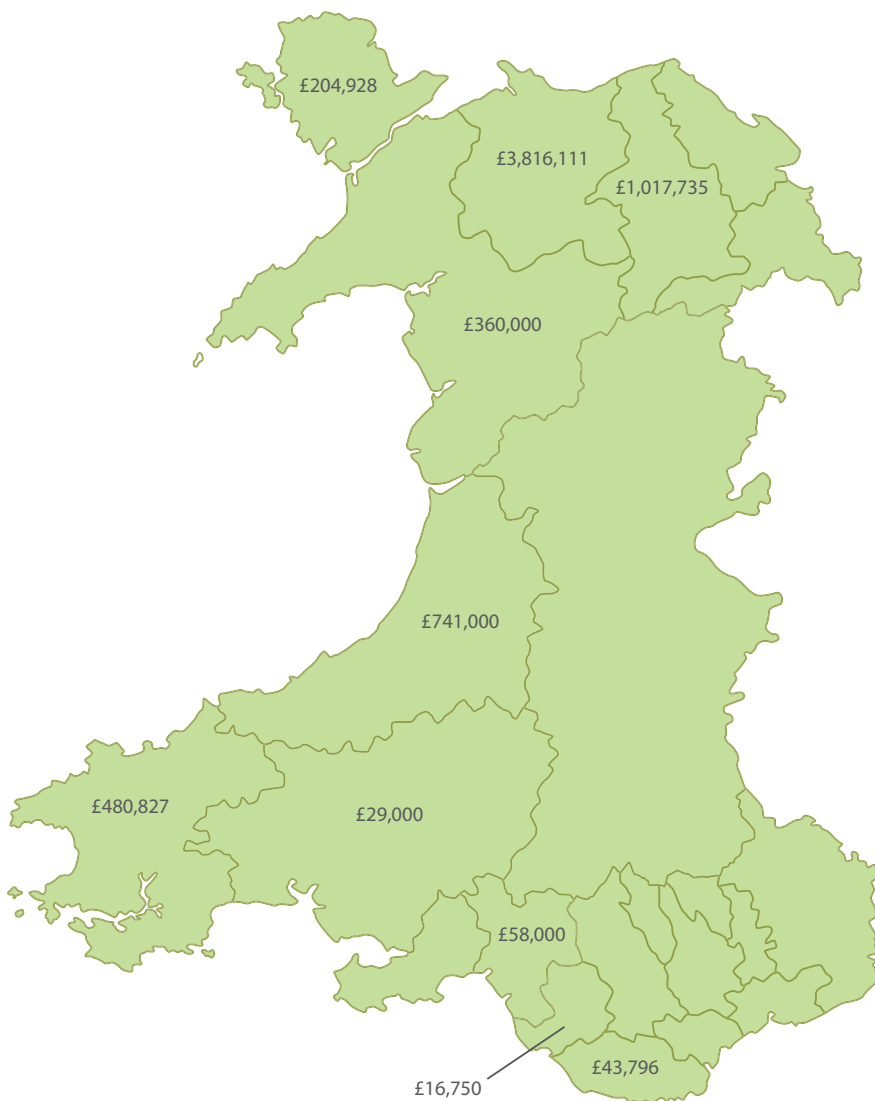
Note

These figures include £6.8 million capital funding distributed across 10 councils to address the damage caused by the winter flooding of 2013-14. The graph shows total funding, not just funding for coastal schemes and activities.

Source: Wales Audit Office analysis of Welsh Government data

1.9 The Welsh Government provided some councils with a share of £6.8 million of capital funding to address the damage caused by the winter flooding of 2013-14 (Figure 6). The Welsh Government provided this emergency funding from its 2013-14 budget. This funding could also be used to repair damage from non-coastal sources of flooding.

Figure 6: One-off funding to councils for damages after the winter floods of 2013-14 in cash terms



Source: Welsh Government

Flood and coastal defence schemes have improved flood protection to thousands of properties over recent years and delivered other benefits, although the evaluation of wider benefits could be more comprehensive

- 1.10 At present, the available evidence with which to assess the overall impact of investment in coastal protection is limited. Assessments often focus on the direct benefits of the number of properties protected without looking at the wider benefits to the economy and natural environment. Recent changes that the Welsh Government has made to the arrangements for its coastal protection grant should more clearly show some of these benefits (see [paragraph 2.54](#)). Welsh Government figures show that investment in coastal protection has improved for 8,674 coastal properties from 2011 to 2015. In October 2015, the Minister for Natural Resources announced that a further 3,800 properties across Wales will benefit from coastal flood defence schemes in Rhyl, Dolgellau, Borth, Cardiff and along the Severn Estuary.
- 1.11 The winter storms of December 2013 and January 2014 put coastal defences to the test. Natural Resources Wales' report on the impact of the storms¹⁴ estimated the cost of repairs to coastal defences at £8 million, with a further £3.3 million damages to street furniture, paths and paving¹⁵. The report also identified other impacts of the flooding including local erosion that caused beach loss around the coast; disruption to local rail and road networks; flooded agricultural land and damage to conservation sites.
- 1.12 While damage due to the winter storms was significant, not least because of the large waves that overtopped some sea defences, the damage could have been worse without investment in coastal protection. The Natural Resources Wales report concluded that the network of coastal defences owned by Natural Resources Wales and other stakeholders protected 99 per cent of properties at risk of flooding and protected 34,000 hectares of agricultural land from the damaging effects of saltwater incursion. The report estimates protection measures avoided nearly £3 billion in costs to individuals and businesses during the winter storms¹⁶. These measures also prevented additional financial costs associated with emergency services, infrastructure repairs and business losses¹⁷.
- 1.13 The Welsh Government commissioned research on the economic impact of flood defence schemes supported by European Regional Development Funding in 2012¹⁸ but has not evaluated schemes funded by its coastal protection grant either individually, or to assess the overall impact of its investment since 2012. Councils are not required to evaluate individual schemes funded by the coastal

¹⁴ **Wales Coastal Flooding Review Phase 1 Report – Assessment of Impacts**, Natural Resources Wales for the Minister for Natural Resources and Food, 2014.

¹⁵ Excludes repair costs to privately owned assets.

¹⁶ Costs were calculated by applying the average buildings insurance flood claim of £40,000 to the number of properties that were at risk of flooding but did not flood.

¹⁷ Natural Resources Wales has not calculated these costs.

¹⁸ **Flood and Coastal Risk Management Programme: An economic impact assessment**, Welsh Economy Research Unit, Cardiff University for the Welsh Government, 2012.

protection grant so there is no consistent national picture of the impact of the Welsh Government's investment. However, some councils have produced reports which highlight the wider benefits of specific schemes. Natural Resources Wales assesses the benefits of individual schemes delivered through its Capital Investment Programme, but it has not evaluated the impact of the Programme overall.

- 1.14 The available evidence suggests that investment in coastal flooding and erosion risk management provides a range of benefits beyond protection from flooding. For example, projects in Colwyn Bay and Borth combined improvements to coastal defences with wider regeneration to enhance recreation opportunities and tourism in the area and create employment (Case studies 1 and 2). A joint project between Natural Resources Wales and the National Trust at Cwm Ivy, in Gower (Case study 3) provided an alternative to traditional 'hard' engineering approaches to managing coastal flooding and erosion. Rather than repairing damage to the sea defence wall, the two organisations have agreed to let the area return to a saltmarsh habitat for birds and other wildlife. Natural Resources Wales has also worked with the City and County of Swansea in the lower Swansea Vale on a project which protects 284 businesses while creating valuable wildlife habitat (Case study 4).
- 1.15 In 2012, the research on the economic impact of European funded schemes estimated that over 100 years, schemes in the study¹⁹ would protect 1,682 businesses and avoid job losses of between 6,380 and 38,280 full-time equivalents. Construction contracts for the schemes totalled £65 million, of which around £41 million was spent within Wales. This spending either directly or indirectly supported nearly £40 million of goods and services in Wales and over 900 person years of employment.

¹⁹ The study included schemes to protect properties from non-coastal sources of flooding.

Case Study 1: Colwyn Bay waterfront

In Colwyn Bay, Conwy County Borough Council improved coastal defences as part of the Porth Eirias regeneration scheme that provided a new water sports centre, restaurant and recreation area on the waterfront in the town. Coastal erosion had gradually washed away large amounts of sand from the beach and storms had caused significant damage to existing defences in Colwyn Bay. Because of this erosion, 180 homes, seven businesses and major infrastructure in the area including roads, railway and Dŵr Cymru Welsh Water assets were at risk of flooding. Partners including the Welsh Government, Arts Council Wales, the National Lottery and the ERDF invested a total of £25 million in the scheme. The first phase of the work improved coastal defences, which enabled the construction of the Porth Eirias development. Work began in 2010 and the new water sports centre opened to the public in 2013, increasing visitor numbers and creating 30 jobs. Four thousand people visited the water sports centre in its first year of operation. The project secured further funding for regeneration of the promenade between Porth Eirias and the existing pier, and provided funds to allow the Council to counter the impact of erosion by placing more sand on the beach.

An assessment of the scheme by Cardiff University in 2012 described the project as a positive example of joint working.

The photograph shows an aerial view of the Porth Eirias development.

Image provided by Conwy County Borough Council



Case Study 2: Borth multi-purpose reef

Borth is a coastal village seven miles north of Aberystwyth and has a history of coastal flooding caused by the historic erosion of shingle from the beach over hundreds of years. Ceredigion County Council has engaged with residents since 2001 on its plans to manage the risks of coastal flooding in the village, through visioning workshops and a series of public meetings. The Council worked with residents to develop options for coastal protection over eight years and chose a scheme which creates a multi-purpose reef. The reef's main purpose is to reduce flood risk but it was also designed to enhance local surfing conditions to attract surfers and tourists to the area. Construction work was done in two phases. Work started in 2009 and was completed in April 2015. The scheme cost £18.8 million, funded mostly by the Welsh Government and ERDF. The project team designed the reef to protect and increase the height of the beach so that it offers improved coastal protection and shapes waves to create good surfing conditions at high tide. The project provides protection for 380 homes, and has reduced the risk of flooding to 40 businesses that provide the equivalent of 160 jobs. Local residents have reported that the defences have successfully protected their properties from flooding.

Ceredigion County Council engaged with local residents throughout the project. Meetings were well attended and the process benefitted significantly from the local councillor acting as a leader to engage with local people and Welsh Government officials. The councillor also chaired the project steering group responsible for overseeing project delivery.

The photograph shows the Borth coastal protection scheme.

The photograph shows the Borth coastal protection scheme.

Image provided by Richard Workman



Case Study 3: Cwm Ivy wetlands

Natural Resources Wales and the National Trust are working together to create a new tidal saltmarsh on the north Gower coast. The sea wall that protected farmland around Cwm Ivy has deteriorated significantly over the years and rising sea levels mean that repairing the wall is not a sustainable solution. In August 2014, sections of the sea wall and embankment collapsed and since then the sea has started to reclaim the land. The two organisations are working together to return around 100 acres of National Trust farmland in the area to its natural state as a saltmarsh habitat. This project is part of the National Trust's approach set out in its Shifting Shores report²⁰ to allow coastal realignment to happen naturally. The saltmarsh will provide new feeding and resting sites for birds and other wildlife and enable the Welsh Government and Natural Resources Wales to meet its obligation to create compensatory habitat as required under the EU Habitats and Birds Directive. This compensatory habitat is needed for other coastal defence work to take place in the Carmarthen Bay Special Area of Conservation²¹. The project team held two public drop-in sessions in June 2015 to collect views on future options for the area, including a solution for sections of the Wales Coastal Path, which were lost when the sea wall and embankment collapsed. Plans and estimated costs for the project are yet to be finalised.

The photograph below shows an aerial view of Cwm Ivy.

Image provided by G R Howe,
The Gower Society



Case Study 4: Lower Swansea Vale

A £7 million project in the lower Swansea Vale provides flood protection and mitigation measures along with valuable wetland wildlife habitat. The scheme is a joint project between Natural Resources Wales and the City and County of Swansea and protects 284 businesses employing more than 10,000 people, 20 houses, a caravan park and it reduces the risk to life of thousands of people frequenting the area for business, shopping and leisure. The scheme aims to provide more space for water by raising and re-aligning part of the embankment along the river Tawe and removing two bridges, and improves flood awareness and emergency response in the area. The lower Swansea Vale project creates a new bridge for cyclists and pedestrians above the level of flood flows and six hectares of wetland wildlife habitat and community space. Partners completed the scheme in 2014, which has attracted new wildlife and plant species to the area.

²⁰ **Shifting Shores – Adapting to Change**, National Trust, 2005. The National Trust published another Shifting Shores report in 2014.
²¹ Under the Habitats Directive, organisations responsible for sea defences that have negative impacts on natural habitats must provide compensatory habitat elsewhere.

The Welsh Government has worked with partners to increase awareness of the risks of coastal flooding and erosion but there is evidence that the public still have a limited understanding of the implications of managed retreat

- 1.16 A key part of the Welsh Government's National Strategy involves raising awareness of the risks of coastal flooding and erosion and educating people on how to live with these risks. One of the key challenges is in engaging people in communities where Shoreline Management Plans indicate that existing defences will not be maintained ('no active intervention') or where the coastline will move landward in the future ('managed retreat') (Box 2). Our 2009 report found that the public were largely unaware of the increasing risks of coastal flooding and erosion. We recommended that the Welsh Government work with the main stakeholders to engage with communities at risk and give them a clear understanding of its strategic approach. The Welsh Government and partners have made some progress to engage with these communities, such as through the support provided for Fairbourne, but they could do more to increase awareness and to involve the public in long-term plans to manage the risks.
- 1.17 Covering issues relating to coastal and inland flooding, the Flood Awareness Wales Programme, operated by Natural Resources Wales in partnership with local councils, is one of the main ways that the Welsh Government raises public awareness of flood risk. Water companies and councils also undertake some activities to raise awareness of flood risk. Flood Awareness Wales changed focus in 2014 after evaluations showed the need to shift from targeting individuals to developing a community response. Staff now work with communities to make community flood plans and train local volunteers to act as flood wardens²². Natural Resources Wales also engages with local people on individual flood defence schemes.
- 1.18 Councils have engaged with the public and other stakeholders in a range of ways. Natural Resources Wales reported to us that several councils have conducted mapping exercises to identify and assess the needs of vulnerable people living in flood risk areas. In some places they have made flood plans to assist specific community groups in the event of a flood. Councils are also working with communities to look at specific flooding issues in public meetings, workshops, and consultation exercises. Grant funding from the Welsh Government has helped to support some of this work with communities.

²² Since 2009, the Flood Awareness Wales team has worked with 314 communities, and helped create 624 community flood plans. Two hundred and seventy-four local flood wardens are involved with the Programme. Figures include coastal and inland flooding – **Flood and Coastal Erosion Risk Management in Wales 2011-2014**, Natural Resources Wales, March 2014.

- 1.19 Conwy County Borough Council is engaging with the Llandudno Coastal Forum on the future of Llandudno's beaches. Gwynedd Council chairs a multi-agency board that is working with the Fairbourne Facing Change citizens' group to develop joint plans to manage future flood risk (Case study 5). In Borth, Ceredigion County Council has engaged residents in planning for coastal protection schemes for a number of years (Case study 2). Citizens' groups formed because local people felt concerned about flood risk but excluded from decisions about their area. The formation of these groups has helped the councils to structure their approach to community engagement, and are positive examples of councils engaging with communities using bespoke approaches adopted for each community's needs.

Case Study 5: Fairbourne, Gwynedd

The West of Wales Shoreline Management Plan identified Fairbourne as an area for managed retreat from 2055 onwards. The Plan raised questions about whether people living in parts of Fairbourne could relocate to land outside the flood risk, and, if so, where this land would be. Gwynedd Council adopted the second Shoreline Management Plan in January 2013, but a public meeting scheduled to explain the implications of the Plan did not take place. Following the winter storms in 2014, the BBC's 'Week In Week Out' programme ran a feature on Fairbourne stating that property prices had significantly reduced and new mortgages were being refused due to concerns that parts of the community may have to relocate in the next 10 years. The programme led to panic and anxiety in the community and Gwynedd Council held a series of public meetings in February 2014 to address public concerns.

Local residents formed the group 'Fairbourne Facing Change' as a way of engaging with Gwynedd Council. In response, the Council developed 'Fairbourne Moving Forward', a partnership of stakeholders to address the issues arising from flood risk. The Council established a project board to manage the project and invited Fairbourne Facing Change to join them. Fairbourne Facing Change now attends every meeting of the Council's project board. In the Fairbourne Moving Forward Annual Report 2014-15, the Chair of Fairbourne Facing Change said 'From very difficult beginnings it is a tribute to all involved that good working relationships have been established.' The project board recognises that it will not be

sustainable to maintain flood defences in Fairbourne beyond the next 40 years²³. In the meantime, it will support the community to function as normal and plan for long-term change.

The photograph below shows Fairbourne during the winter storms of 2014.

Image provided by Gwynedd Council



²³ Gwynedd Council has calculated that flood defences in Fairbourne are likely to be unsustainable after 2054.

- 1.20 While work to engage communities continues, there is still a long way to go to raise public awareness. A survey conducted in 2014²⁴ for the Environment Agency and Natural Resources Wales showed that only half of interviewees living in high-risk areas considered themselves to be at risk of flooding. Of the 13 Council flooding officers who responded to our survey of councils along the Welsh coast ([Appendix 1](#)), only five considered that people who live, work, or own land in at-risk areas understand the risks from flooding to their land. The remaining eight officers told us that despite their efforts to engage with communities, correspondence, planning applications and reaction to local flooding events demonstrate a lack of awareness of flood risk and proposals to manage it. Stakeholders also told us that coastal residents generally do not understand the implications of the Shoreline Management Plans in areas where the approach suggested in these plans is managed retreat, or no further investment to maintain coastal defences.
- 1.21 In 2011, the Welsh Government produced a community engagement toolkit for organisations responsible for flood risk management. While the toolkit was produced at around the same time as the Welsh Government's National Strategy, it does not provide guidance to organisations in engaging communities in difficult issues like managed retreat. The Welsh Government has not developed a community engagement strategy to communicate the implications of its strategic approach to the general public in response to related recommendations from the National Assembly's Public Accounts and Environment and Sustainability Committees.
- 1.22 Although the Flood Awareness Wales Programme is helping engage a range of communities, it does not have a remit to communicate the difficult messages around the most appropriate long-term responses to future flood risk contained in the shoreline management plans. For example, the Programme does not communicate about managed retreat, where this is the recommended approach in the shoreline management plan. Although the Welsh Government has increased revenue funding for the Flood Awareness Wales Programme, we found that councils still have some capacity constraints that limit their involvement in the Programme. In areas like Borth and Fairbourne, the success of community engagement often relied on the enthusiasm of key individuals and council officers found maintaining momentum challenging when community interest started to fade.

²⁴ Ipsos MORI conducted the survey about flood risk awareness during May 2014. In Wales, 256 householders at risk of flooding in coastal and inland areas were interviewed by telephone, in addition to a further 795 interviews with householders at risk of flooding in England. The number of people surveyed is small and further work would be required to provide a more robust picture of public awareness along the Welsh coast.

Part 2

The Welsh Government and partners are improving their approach to managing the risks of coastal flooding and erosion, although the pace of change has been slower than planned



- 2.1 This part of the report considers the clarity of aspects of the Welsh Government's strategic approach to manage the risks of coastal flooding and erosion. It also examines progress in developing funding, asset management and risk assessment arrangements and issues relating to the capacity of the Welsh Government, councils and other partners in the context of wider financial pressures.

The Welsh Government is pursuing a risk-based approach but has not yet set out what aspects of its strategy mean in practice, especially in areas facing managed retreat

The Welsh Government's vision for a risk-based approach to managing coastal flooding and erosion is based on learning from alternative approaches and engagement with stakeholders

- 2.2 The Welsh Government's 2011 **National Strategy for Flood and Coastal Erosion Risk Management in Wales** (the National Strategy) recognises that climate change is increasing the risks of coastal flooding and erosion and appropriately reflects changes to legislation in the Flood and Water Management Act (2010). The National Strategy sets out a holistic approach to managing risks including better preparation and prevention, identifying areas for managed retreat, and working with the natural environment to use wetlands or salt marshes to reduce flood risk. We found that partners had a good understanding of the implications of the risk-based approach in the National Strategy and Shoreline Management Plans.
- 2.3 The Welsh Government engaged a range of stakeholders to evaluate and learn lessons from its previous New Approaches Programme and support the development of the National Strategy. This engagement has continued to inform its current strategic approach. The Welsh Government asked Natural Resources Wales to work with partners to learn from the joint response to the winter storms of 2013-14 through the Wales Coastal Flooding Review ([Appendix 2](#)) and produce a Delivery Plan to address the recommendations in the Review. Stakeholders described the Coastal Review process positively and recognised that the delivery plan workshops marked a change in momentum with genuine buy-in from a range of partners. One council flooding officer told us: 'The current Coastal Review led by Natural Resources Wales is making good progress and will throw up some helpful improvements.' Another flooding officer said: 'The recent coastal flooding review should be the catalyst for improvement, so my suggestion would be that the delivery plan be carefully monitored and fully implemented.'
- 2.4 The Welsh Government has made a clear commitment to the Delivery Plan by leading key projects and providing £150,000 of funding for Natural Resources Wales to develop and monitor the Plan. However, deadlines for key actions in the Delivery Plan often relate to writing reports on options for improvement rather than agreeing and implementing solutions. The challenge for the Welsh Government and partners will be in sustaining momentum and implementing solutions to the Coastal Review recommendations as soon as possible.

- 2.5 The Welsh Government and partners are also exploring international approaches to inform their approach to managing coastal flooding and erosion. We found that the Welsh Government and its partners had a good understanding of alternative approaches and were willing to look to other parts of the UK and further afield, such as the Delfland sand engine in Holland (Box 3), for examples of good practice.
- 2.6 The Welsh Government and Natural Resources Wales are also members of the Joint Flood and Coastal Erosion Risk Management Research and Development Programme with the UK Government's Department for the Environment, Food and Rural Affairs (Defra) and the Environment Agency. The Programme focuses on: policy, strategy and investment; asset management; and incident management and modelling in England and Wales. The Programme publishes information about research projects on its website, in a bi-annual newsletter and through workshops, conferences and webinars. However, although councils and other stakeholders can participate in the Programme's themed groups, stakeholders told us that the Welsh Government and Natural Resources Wales could do more to engage directly with councils to share research findings and good practice identified by the Programme.

The Welsh Government has still not set out in its strategy some options to help councils to prepare communities for managed retreat

- 2.7 Paragraphs 1.21 to 1.22 noted that the public still have a limited understanding of the implications of managed retreat. In our 2009 report, we recommended that the Welsh Government develop a strategy on managed retreat, and it accepted this recommendation in full. Since 2009, Shoreline Management Plans have clearly identified the coastal communities threatened by climate change, and highlight where managed retreat is the recommended approach within the next 50 years. Some previous coastal adaptation schemes, including sea defences, should mitigate and potentially delay the need for managed retreat, and there are plans for more schemes offering increased protection for some threatened communities. However, the Welsh Government has still not set out the options and support that could help councils work with communities that need to be ready to relocate as climate changes make the risks of coastal flooding or erosion unsustainable. Councils acknowledge that public engagement with residents facing managed retreat will be required for many years. The Welsh Government has funded research with Gwynedd Council to learn lessons from Fairbourne, and to inform the coastal adaptation project in the Wales Coastal Flooding Review Delivery Plan (Appendix 2). The research includes buy-to-let schemes, where residents in areas identified for managed retreat in a Shoreline Management Plan could sell their home to the Welsh Government and then lease it back while they continue to live there. The Welsh Government has not decided whether to adopt such a scheme and has not considered its financial implications.

Box 3: Delfland Sand Engine in Holland

About 120 kms of north and south Holland has a sand shoreline that provides some protection from coastal erosion. In 1990, Dutch coastal defence policy changed from the traditional approach of using dams and other fixed structures to large-scale beach nourishment, through a process known as the 'Delfland Sand Engine'. The sand engine involves mining 20 million cubic metres of sand offshore and depositing it on the shoreline to provide some protection against erosion and as a buffer for rising sea levels. In the long term, waves, currents and wind distribute the sand to enable the coast to grow naturally. The sand engine lessens disturbance to local ecosystems associated with smaller-scale beach nourishments and creates additional wildlife habitats, and some recreation and economic opportunities. Researchers are also using the Delfland Sand Engine to gather knowledge about adaptation to climate change.

In partnership with both the public and private sectors, The Crown Estate²⁵ is using good practice gained from the Delfland Sand Engine project to develop a new approach in the UK called 'Sandscaping', and has identified suitable locations to pilot this approach on the UK coastline, including in several locations on the Welsh coast. The picture below shows a new bank of sand created through the sandscaping process.

The picture below is an artist's impression of a sandscaped beach.



Image provided by The Crown Estate

²⁵ The Crown Estate has rights to most of the UK seabed to 12 nautical miles and the rights to natural resources on the continental shelf (excluding hydrocarbons).

- 2.8 Whether to relocate or compensate communities is a difficult issue, although there are examples of approaches that have been taken elsewhere in the world (Box 4). The UK Government has also provided financial support for people and businesses affected by recent winter flooding in England (Box 5), although the Welsh Government understands that this scheme was difficult to administer. Stakeholders in Wales are finding it difficult to plan and engage with local communities without the Welsh Government offering some clear strategic options for communities facing managed retreat. In the absence of a clear national strategic lead on managed retreat, some councils are funding community engagement activities to develop change management plans without a realistic picture of the options available and their legal and financial implications.

Box 4: Relocating communities away from areas of flood risk

Home buy-out schemes in the United States

In October 2012, Hurricane Sandy damaged or destroyed around 650,000 homes, killed at least 159 people, displaced 23,000 people and left around 8.5 million people without electricity, some for up to three weeks. The state of New York introduced the home buy-out scheme to transform the state's coastal zones into publicly owned open space such as wetlands or parks. The scheme is available on a voluntary basis to homeowners living in the flood plain where their house was damaged beyond 50 per cent of its value. Homeowners receive state funding for 100 per cent of the pre-storm market value for their property. The state provides additional incentives for people who relocate within the same county, homes in high-risk areas and for communities that collectively agree to relocate. The United States Government has operated similar schemes in Missouri (1993 and 2015) and Iowa (1993).

Disaster Recovery Funding for flood victims in Alberta, Canada

Homeowners with property affected by the 2013 floods in Alberta can apply to the Alberta Government's Disaster Recovery Programme to cover the cost of uninsurable loss. Residents have a choice of rebuilding their homes or relocating. People who use the fund to repair or reconstruct their home in a flood plain will not be eligible for future Disaster Recovery Programme funding.

Box 5: Support for people affected by the winter floods in England

In January 2016 the UK Government launched a package of measures to support people affected by the winter floods in 2015-16 including:

- a £5,000 repair and renew grant for all affected homeowners and businesses to pay for repairs which improve a property's ability to withstand future flooding;
- providing councils with over £500 for each household affected by the floods to help people with temporary accommodation costs;
- ensuring that flood victims will not pay council tax or business rates for their homes and businesses as long as they are not occupying their properties;
- providing councils with up to £2,500 to help businesses that have had their trading affected by the floods to start operating again; and
- grants of up to £20,000 to help farmers restore agricultural land, damaged as a result of the floods under the Farming Recovery Fund.

Recent legislation provides the basis for better integration of coastal flooding and erosion risk management at a strategic level into wider policies, plans and funding arrangements

- 2.9 Our 2009 report recommended that the Welsh Government improve the integration of coastal flood and erosion risk management with other strategies. Increasingly there are examples of more integrated working such as after flooding events or on coastal regeneration schemes such as at Colwyn Bay. However, in our view the Welsh Government could still do more to ensure that the coastal flood and erosion risk management strategy is more closely integrated with other strategies, notably with tourism and more widely with the regeneration strategy. The Welsh Government plans to review the National Strategy in 2017-18.
- 2.10 The Flood and Coastal Erosion Risk Management Branch has already had some involvement with the development and early implementation of recent new legislation. This new legislation provides further opportunities for the Welsh Government to continue to integrate coastal flood and erosion risk management with other strategies. Recent legislation that promotes integration includes:
- a The Well-being of Future Generations (Wales) Act 2015 – improving partnership working through the new Public Service Board and Local Well-being Plan arrangements;
 - b The Environment (Wales) Act 2016 – learning from the natural resource management approach to manage flood risk more holistically (Box 6). Also to be established under this new legislation in October 2016, the Flood and Coastal Erosion Committee provides an opportunity to advise and to more fully integrate issues as it will consider a wider range of flood and coastal erosion issues than the previous Flood Risk Management Wales Committee.
 - c The Planning (Wales) Act 2015 – planning of flood risk management across local planning authority boundaries in the new Strategic Development Plans²⁶.
- 2.11 From 1 April 2016, the Welsh Government, Natural Resources Wales and councils will have a duty under the Well-being of Future Generations (Wales) Act 2015 to show they have applied the sustainable development principle (Appendix 4) to their decisions. While the Welsh Government's National Strategy predates the Act, it reflects some of the things public bodies need to think about to show that they have applied the sustainable development principle:
- a balancing the short-term needs of communities at risk of flooding with the long-term focus on avoiding investment in areas where the costs of coastal protection outweigh the risks;
 - b focusing on flood prevention and improving the resilience of local communities to avoid higher costs in the future as a result of flood damage;
 - c promoting collaboration with relevant stakeholders; and

²⁶ The Planning (Wales) Act 2015 provides a legal framework for Strategic Development Plans. Strategic Development Plans allow local planning authorities to work together to address housing, employment and infrastructure arrangements which involve more than one authority. There is no legal requirement for local planning authorities to produce the Plans.

- d aiming to involve people with an interest in managing coastal flooding and erosion.

The Welsh Government's planned review of the National Strategy in 2017-18 provides the opportunity to build on the sustainable development principle and ensure that flood risk management objectives are integrated with the wider well-being goals for Wales.

Box 6: Natural resource management trials

Natural Resources Wales is running three pilot studies around the Dyfi, Rhondda and Tawe rivers using the natural resource management approach set out in the Environment (Wales) Act 2016. Rather than managing different parts of the environment in isolation, natural resource management looks at the continuity of natural resources across adjoining locations. Natural resource management seeks sustainable solutions for managing land in ways that support the natural functions within ecosystems. The approach aims to provide multiple benefits for people, wildlife and the economy, and involves engaging local people to use their knowledge of local issues and explore opportunities for managing natural resources. The three pilot studies have gathered evidence about a wide range of natural resource management issues, including flood risk. The pilot studies have so far explored tree planting, storage of water on farmland, creation of wetlands and reconnecting flood plains, but Natural Resources Wales needs to undertake more research to assess the benefits of each potential solution. Current trials focus on inland areas but the approach could be rolled out to include coastal catchment areas in the future.

- 2.12 Emerging plans for the Welsh Government's Coastal Risk Management Programme have the potential to improve integration. The Programme aims to secure 'multiple benefits' for the economy, environment and to improve social cohesion by developing closer links to other areas of government policy. The Programme will be overseen by a programme board of officials from partner organisations and a range of Welsh Government departments. Officials are currently developing critical success factors to ensure 'strategic fit' with national and local government policy. The Welsh Government has not set out how it plans to link its Flood and Coastal Investment Programme with relevant policy areas. The challenge for both programmes will be in securing funding from other Welsh Government departments to support coastal protection schemes. The Welsh Government's Flood and Coastal Erosion Risk Management team has promoted the benefits of flood prevention for tourism, regeneration and for the wider economy but has largely been unsuccessful in securing funding from other Welsh Government departments.
- 2.13 A recommendation in the Wales Coastal Flooding Review was that the Welsh Government endorse the strategic framework established by the Shoreline Management Plans. Giving the Shoreline Management Plans more formal recognition as policy with options and a suggested timescale could help communities develop their local adaptation plans to tackle increasing risks.

The Welsh Government has written to local planning authorities stating that Shoreline Management Plans should be a material consideration in planning decisions. Council flooding officers responding to our survey suggested giving the Plans statutory status would better integrate shoreline planning with national and local policy. Nevertheless, councils told us that the Shoreline Management Plans had influenced their Local Development Plans, individual planning applications and investment in coastal flood defence assets.

Although partners work well together on specific initiatives, some roles and responsibilities and performance management arrangements remain unclear

- 2.14 We found positive examples of partnership working through the Wales Coastal Delivery Plan and individual projects. Natural Resources Wales is working with the National Trust at Cwm Ivy, Gower ([Case Study 3](#)), and with the City and County of Swansea in the lower Swansea Vale ([Case Study 4](#)). Conwy County Borough Council worked with a range of partners to develop Colwyn Bay ([Case Study 1](#)) and Gwynedd Council chairs a multi-agency board that is working with the Fairbourne Facing Change citizen's group to engage with the community ([Case Study 5](#)). Partners have also worked together to produce the Shoreline Management Plans and Local Flood Risk Management Strategies.
- 2.15 Stakeholders reported improved engagement from infrastructure and utility providers through the Wales Coastal Flooding Review Delivery Plan workshops but felt that engagement still varies across providers. The Wales Utility Group²⁷ could offer another forum for involving utility providers in coastal flood and erosion risk management.
- 2.16 Our previous report recommended that the Welsh Government make the roles and expectations of each stakeholder clear. In its National Strategy the Welsh Government has provided a broad description of the roles and responsibilities of organisations responsible for managing the risks of coastal flooding and erosion. Nevertheless, some partners are still unclear about some areas of responsibility.
- 2.17 Taking on the functions previously discharged by Environment Agency Wales, Natural Resources Wales' oversight role includes monitoring and reporting the progress of partners in delivering the aims of the National Strategy under section 18 of the Flood and Water Management Act. The Welsh Government is responsible for holding organisations to account and enforcing implementation where necessary. However, stakeholders were not always clear on the distinction between the responsibilities of the two organisations and some told us that local politicians misunderstood Natural Resources Wales to have an enforcement role on flooding issues. In addition, because Natural Resources Wales has a clear operational responsibility for delivering national objectives, it reports on its own activities and progress against the National Strategy under section 18 of the Flood and Water Management Act 2010 but without the benefits of an independent review²⁸.

²⁷ The Wales Utility Group aims to bring utilities bodies in Wales together to ensure they are prepared in the event of an emergency, including flooding. The Group is currently chaired by the Welsh Government and reports to the Wales Resilience Partnership Team.

²⁸ In England, the Environment Agency is in a similar position because the Flood and Water Management Act 2010 also places a duty on it to report on its progress against objectives in the UK National Strategy.

- 2.18 The Welsh Government has checked the alignment of councils' Local Flood Risk Management Strategies with the national strategy. However, it has not developed routine arrangements to ensure that councils are implementing its National Strategy or the Shoreline Management Plans. Natural Resources Wales reports²⁹ every two years to the Minister about the application of the national strategy, but routine monitoring is limited.
- 2.19 In 2012, the Environment and Sustainability Committee recommended that the Welsh Government prioritise its assessments of the Shoreline Management Plans as a matter of urgency. The Welsh Government set a deadline of 2012 for delivery of the Shoreline Management Plans in its National Strategy. However, councils were slow to produce the Plans and the Welsh Government could not approve some until late in 2014 because the Habitats Directive³⁰ required councils to undertake an assessment of appropriate compensatory habitat for some of the proposed schemes. There were also some delays associated with Plans shared with coastal groups in England. The Coastal Groups are responsible for producing, implementing and monitoring progress of the Shoreline Management Plans. However, stakeholders told us that without clear guidelines from the Welsh Government on timescales or targets for delivering projects in the plans, the Coastal Groups are not sure what they are monitoring.
- 2.20 The Welsh Government has not enforced deadlines for Local Flood Risk Management Strategies and only two out of 15 councils with a coastline met the March 2013 deadline to produce the Strategies³¹. Some councils are making slow progress delivering actions from the Local Flood Risk Management Strategies and Shoreline Management Plans. Council flooding officers generally expressed positive views on the level of guidance provided by the Welsh Government. However, the Welsh Local Government Association and Natural Resources Wales told us they need more guidance on implementing parts of the National Strategy, Local Flood Risk Management Strategies and Shoreline Management Plans at a local level.
- 2.21 Stakeholders have also struggled to understand the distinction between responsibilities for flooding and erosion. Natural Resources Wales has the primary responsibility for coastal flooding, but the overall responsibility for coastal erosion is less clear, particularly after changes introduced in the Flood and Water Management Act (2010)³². There are also instances along the coast where it is difficult to determine if flood risk comes from coastal erosion or from other causes of sea flooding.

²⁹ Reports are made by Natural Resources Wales under section 18 of the Flood and Water Management Act 2010.

³⁰ The Habitats Directive required assessments of 'imperative reasons for overriding public interest'.

³¹ Eight councils produced their Local Flood Risk Management Strategy by the end of 2013, another four by the end of 2014, and one in March 2015.

³² The Coast Protection Act 1949 gave some councils in Wales powers to manage coastal erosion but the Flood and Water Management Act (2010) gave the Environment Agency (Wales) new operational responsibilities for coastal erosion. From 2011, councils must seek approval for coastal erosion works from Environment Agency Wales, and subsequently from Natural Resources Wales.

The Welsh Government has yet to fully develop parts of its long-term funding strategy

The Welsh Government and partners have a broad understanding of the possible long-term costs of managing the risks of coastal flooding and erosion

- 2.22 With increasing risks associated with climate change, managing coastal flooding and erosion is likely to represent significant long-term costs. In 2011, the Environment Agency³³ estimated the cost of implementing the Shoreline Management Plans in England and Wales over the following 100 years. It put costs in Wales at around £2.7 billion (Figure 7), of which £1 billion would need to come from sources other than existing flood and coastal defence budgets.
- 2.23 The Environment Agency's estimates do not include revenue costs for staff and activities such as community engagement, flood forecasting and warning, awareness, development control, maintenance and incident response. The Agency's estimates are also restricted by limited information about the impact of climate change on the future costs of maintaining the coastal defence assets in Wales and in some cases make broad assumptions about increasing future costs. As the Shoreline Management Plans identify areas for managed retreat and no active intervention where investment will be reduced or stop altogether, the future costs of protecting the coastline could be considerably higher if these policies change.

Figure 7: Costs of implementing the Shoreline Management Plans over the next 100 years



Source: The Cost of Implementing Policies for Coastal Defence, Halcrow for the Environment Agency 2011

33 The Cost of Implementing Policies for Coastal Defence, Halcrow for the Environment Agency 2011

2.24 In 2013, the Flood Risk Management Wales Committee estimated the future costs of flood risk management in Wales³⁴ using information from Environment Agency Wales, council revenue budgets and average costs of protection per property. The Committee estimated that at least £60 million should be spent each year on flood risk management. However, the Committee's report did not break down the costs of protection from coastal flooding and erosion from other sources of flooding. Similarly, some other projections do not separate these costs.

The Welsh Government has identified additional funding for coastal protection but has not developed a long-term funding strategy beyond 2020-21 or helped councils to secure options for external funding

2.25 The Welsh Government missed its deadline in the National Strategy to develop a national funding policy and prioritisation methodology by the end of 2013, and some aspects of this policy remain unfinished. In December 2014, Ministers agreed the Welsh Government's initial business case for the Coastal Risk Management Programme³⁵. The Welsh Government has committed that for the period of three years from 2018-19 to 2020-21, its new £150 million capital value Coastal Risk Management Programme will support councils³⁶ to implement capital schemes in line with local Shoreline Management Plans. Options for the Programme to make use of borrowing are still being confirmed, but include prudential borrowing by councils and direct borrowing by the Welsh Government. Funding may also include co-funding from other departments with the Welsh Government and contributions from local partners benefiting from schemes, although details are not yet developed. The Welsh Government has indicated that it intends funding for the Coastal Risk Management Programme to be additional to its annual core funding for flooding and coastal erosion risk management.

2.26 The Welsh Government has not made any firm commitments on departmental capital budgets beyond 2016-17, a year before the Coastal Risk Management Programme commences. The Welsh Government intention to allocate its core capital funding through the new Flood and Coastal Investment Programme will increase the competition for capital funding. The Welsh Government currently allocates capital funding separately to Natural Resources Wales through grant-in-aid arrangements, and to councils through its coastal protection grant. Under the new Programme, Natural Resources Wales and councils will compete for the same funding, and the Welsh Government will pilot the allocation of these funds using the Communities at Risk Register.

2.27 Between 2018-19 and 2020-21, the Coastal Risk Management Programme more than meets the annual cost identified by Halcrow in 2011 (Figure 7) for implementing the coastal schemes identified in Shoreline Management Plans. However, the issue for the Welsh Government and councils is in sustaining enough funding for the implementation of Shoreline Management Planning policies after, and well beyond, 2020-21.

³⁴ **Future funding of flood and coastal erosion risk management in Wales, interim report**, Flood Risk Management Wales for the Minister for Natural Resources and Food, Welsh Government, 2013.

³⁵ At the time it was called the Innovative Finance Coastal Programme.

³⁶ Within the £150 million for the Coastal Risk Management Programme, councils will need to contribute 25 per cent of the cost of capital schemes, with the Welsh Government providing the remaining 75 per cent. This simplifies the system and provides a flat-rate of grant support for councils whereas support under the coastal protection grant was variable and calculated according to means.

2.28 Some stakeholders had concerns that the Welsh Government has not explored all of the options available to fund coastal flood risk management. In 2012, the Environment and Sustainability Committee recommended that the Welsh Government undertake work to secure new sources of funding from across government budgets and from external bodies. The Flood Risk Management Wales Committee also recommended that the Welsh Government explore long-term funding options in its report on future funding in 2013³⁷. The report examined a range of innovative approaches and recommended that the Welsh Government increase direct funding for flood risk management, and consider introducing council flood levies (Box 7)³⁸ and adopting a partnership funding system (Box 8). The Welsh Government has not formally responded to the Committee's recommendations or explored the options to generate additional income that the report raises.

Box 7: Using council tax to pay for flood risk management

Some councils in England have used council tax increases to fund flood risk management. For example, Gloucestershire Council introduced a 1.1 per cent flood levy as part of council tax increases in 2009 after residents voted in favour of the charges. The additional funds provided around £2.3 million that year for flood risk management.

Box 8: Partnership funding in England

The UK Government introduced partnership funding in England in 2012-13 to increase the funding available to communities from external sources to address flood risk. The amount of grant in aid available from the Department for the Environment, Food and Rural Affairs (Defra) depends on the proposed benefits of each scheme. Some schemes are eligible for 100 per cent funding from Defra while others get funding proportionate to their planned benefits and must meet remaining costs from other sources. A calculator on the UK Government website determines how much grant-in-aid funding schemes can expect to receive³⁹. The calculator allocates more funding for schemes protecting households in deprived areas or projects that help meet the objectives of the Water Framework, Birds or Habitats Directives. In England, the Environment Agency approves grant-in-aid schemes on behalf of Defra.

An evaluation of partnership funding by JBA Consulting in 2013⁴⁰ reported an overall increase in funding for capital flood defence projects and greater local choice and responsibility over investment decisions. JBA's analysis of a sample of projects shows that 25 per cent of external contributions came from the private sector. Private-sector investors were often developers or private companies due to benefit directly from the scheme. The remaining 75 per cent of contributions came from councils and other public bodies. Before the UK Government introduced partnership funding, councils generally secured external contributions through a local levy administered by Regional Flood and Coastal Committees. External contributions to flooding schemes have increased from £5.4 million in 2011-12 before the UK Government introduced partnership funding to £54.5 million in 2013-14 and £60.5 million in 2014-15⁴¹.

JBA found that the partnership funding approach has led to a growing acceptance that central government cannot fully fund all projects but that many organisations have found the processes for securing partnership funding challenging. It recommended continued capacity building and guidance to address this issue.

37 **Future funding of flood and coastal erosion risk management in Wales, interim report**, Flood Risk Management Wales for the Minister for Natural Resources and Food, Welsh Government, 2013.

38 The report suggests flood alleviation levies on all residential council tax bills and a similar levy on businesses in Wales.

39 **Flood and Coastal Risk Management (FCRM) partnership funding calculator**, Environment Agency, February 2014 (on the gov.uk website).

40 **Flood and Coastal Erosion Resilience Partnership Funding Evaluation**, JBA Consulting for Defra, April 2014.

41 **Breaking the Bank? Funding for Flood and Coastal Erosion Risk Management in England**, Chartered Institution of Water and Environmental Management, March 2015.

- 2.29 In England, partnership funding has increased external funding for flood risk management from £5.4 million in 2011-12, to £60.5 million in 2014-15. The approach in England may provide lessons for the Welsh Government and partners in generating external funding and encouraging stakeholders to look beyond the Welsh Government for funding.
- 2.30 At the present time, the Welsh Government has chosen not to follow the partnership funding model in Wales. Instead, it hopes that match funding requirements for its Flood and Coastal Investment and Coastal Risk Management Programmes will encourage councils to seek funding from partners including from the private sector, infrastructure providers and others who may benefit from coastal defences. Both Programmes require councils to provide 25 per cent for each scheme, either using their prudential borrowing powers for the Coastal Risk Management Programme⁴², or by securing funding from other sources. The Welsh Government has held workshops for councils and has recently appointed external support to help councils to make funding bids that encompass wider benefits and contributions from partners.
- 2.31 Council officials told us they were concerned about their ability to match fund projects in a time of unprecedented pressure on budgets and in the context of uncertainties regarding local government reorganisation. In the past, some councils have found it difficult to identify alternative sources of funding. In our survey, only three councils reported attracting private sector funding in the last five years and funding was less than £30,000 in each case⁴³. In addition, some council flooding officers felt they lacked the necessary skills to develop successful funding applications.
- 2.32 Applicants submitted a brief business case for proposed projects under the Coastal Risk Management Programme to the Welsh Government in September 2015. By December 2015, all councils with a coastline had applied for the Coastal Risk Management Programme funding. Some councils have identified potential funding partners in their initial application but most lack detail about sources of alternative funding at this stage.
- 2.33 Stakeholders told us that short-term, annual capital funding allocations restrict their ability to plan effectively and make efficiency savings. While the three-year funding commitment made to the Coastal Risk Management Programme is encouraging, the Welsh Government's intention is to keep allocating its core grant on an annual basis, and has not confirmed its funding strategy in the long term, beyond 2020-21. In contrast, the UK Government introduced a six-year funding cycle for flood and coastal erosion capital projects in England in 2015.
- 2.34 The Welsh Government is currently assessing proposals to produce a list of projects to go to the next stage. Feasibility studies and project appraisals are expected to take place between 2016-17 and 2018-19, with construction completed by March 2021. There is a risk that construction will be delayed due to short timescales for councils to develop designs, set up procurement arrangements

⁴² The UK Government introduced Prudential Borrowing legislation in 2003 to give councils the power to borrow money to fund capital projects. The legislation requires councils to produce capital expenditure plans that are affordable, prudent and sustainable.

⁴³ Conwy County Borough Council: £25,000, Denbighshire County Council: £7,000 and Gwynedd Council: £21,000.

and consult on their plans, and then for the Welsh Government to appraise and approve final schemes. A 'Gateway Review' of the Coastal Risk Management Programme in October 2015 identified risks with the three-year delivery window. Following this review, the Welsh Government has decided to continue to plan to deliver the Programme over three years but has identified the need to consider contingency arrangements. The Welsh Government has secured grant funding through the Wales Infrastructure Investment Programme for the development of capital schemes that could receive funding from 2018-19 under the Coastal Risk Management Programme. This funding is confirmed at 100 per cent grant aided for 2016-17, and the Welsh Government is seeking to provide similar financial support to councils developing these schemes in 2017-18.

- 2.35 The Gateway Review also identified capacity and capability constraints which may impact on the Programme team's ability to deliver the Programme. The Welsh Government has not identified the human resources required to administer either its Flood and Coastal Investment or Coastal Risk Management Programmes, but told us it does not currently have the staff to do this effectively. The Welsh Government has recently recruited a second technical officer to assist with some aspects of the administration of its Coastal Risk Management Programme, and plans to increasingly use external support in the technical appraisal of projects.

Revenue funding for councils is under pressure and may not be sufficient to maintain coastal defences

- 2.36 In 2015-16, the Welsh Government replaced the Lead Local Flood Authority grant with the Single Environmental Revenue Grant awarded annually to each council and administered by the Department for Natural Resources. To secure a share of their council's allocation of the new grant, flood risk management services must now compete with other services including waste management where councils risk fines if they fail to meet statutory targets, and for local environmental quality improvements. Although the Single Environmental Revenue Grant is not limited to £100,000 per council as was the case for the Lead Local Authority Flood grant, councils now have to prioritise this funding between several service areas. As previously, councils may decide to use revenue from their Revenue Support Grant, should they wish to use this source of funding for statutory flood risk duties.
- 2.37 Some councils responded to the Welsh Government's consultation on the Flood and Coastal Investment Programme saying that current revenue allocations are insufficient to meet their maintenance requirements. Only one council flooding officer responding to our survey felt they had sufficient revenue funding to maintain the effectiveness of coastal flood risk assets over the next three years⁴⁴. Stakeholders were also concerned that plans for the new Programme do not include an assessment of revenue funding requirements for maintenance, coastal monitoring and community engagement activities.

⁴⁴ Seven respondents felt that their council did not have sufficient funding and five did not know.

Although there has been some progress, more work is needed to ensure that funding can be prioritised to areas of greatest need

- 2.38 The Welsh Government and partners have made some progress in understanding risk since 2009. Natural Resources Wales has worked with other organisations responsible for managing flood risk to produce a National Flood Risk Assessment, flood-hazard and flood-risk maps for flooding from rivers, the sea, reservoirs and surface water. Interactive maps are available on the Natural Resources Wales website.
- 2.39 Environment Agency Wales published a National Coastal Erosion Risk Map in 2012. Since then, Natural Resources Wales has worked with the Welsh Government to analyse erosion risk to properties in Wales⁴⁵. The revised Shoreline Management Plans⁴⁶ also improve the understanding of national risk across Wales. Natural Resources Wales⁴⁷ states that improvements in risk modelling and flood mapping have led to a reduction in the number of properties categorised as being at risk from river or sea flooding from 220,000 in 2009 to 208,000 in 2013. The reduction is also likely to reflect investment in coastal flooding and erosion risk management.
- 2.40 While information about the level of risk in Wales has improved in recent years, further enhancement is needed to identify high-risk priority areas for investment. However, the Welsh Government's progress has been held up, at least in part, due to a lack of information on assets held by Natural Resources Wales and by councils.
- 2.41 The Welsh Government established the Wales Coastal Monitoring Centre in 2010 to improve the co-ordination of coastal monitoring data collection, storage and analysis. Gwynedd Council hosted the Centre, but in recent years the Centre has been inactive although Gwynedd Council submitted a business case to the Welsh Government in 2012, and revised this business case in September 2014. The Council suggested that a consortium of councils, Natural Resources Wales, the Welsh Local Government Association, academics and the third-sector representatives should run the centre. The Wales Coastal Flooding Review recommended that the Welsh Government should make a decision on the future of the Wales Coastal Monitoring Centre, and stakeholders told us that uncertainty about the Centre's future role and remit had restricted its activities and undermined the understanding of national risk. Since early 2016, the Welsh Government has considered options and shortly expects to determine a preferred way forward for the Wales Coastal Monitoring Centre.

⁴⁵ The Welsh Government recognises that data on coastal erosion is relatively new and not always accurate.

⁴⁶ Coastal groups began revising the Shoreline Management Plans in 2011.

⁴⁷ **Flood and Coastal Risk Management in Wales 2011-2014**, Natural Resources Wales, 2014

- 2.42 The Welsh Government aims to improve its understanding of risk with a national flood risk index which combines flood and coastal erosion risk from all sources based on the likelihood of an event happening and the consequences if the event occurs. The Welsh Government plans to use the index to appraise both applications from Natural Resources Wales and councils for its Flood and Coastal Investment Programme. Developing the national flood risk index is a complex task and responses to the Welsh Government's consultation on its Flood and Coastal Investment Programme highlight a range of issues to be resolved. Stakeholders told us there are concerns that the index will be over-complicated and difficult for the public to understand. They were also concerned it may disadvantage inland councils in favour of councils where there are combined risks of coastal flooding and erosion. One stakeholder told us that the index should incorporate data on the economic impact of damage to agricultural land. The Welsh Government intends to trial the index in 2016-17, but does not know when the index will be finalised.
- 2.43 Natural Resources Wales is already using a 'Communities at Risk Register' that combines data on flooding risk from the sea and from watercourses. Natural Resources Wales is not responsible for risk from coastal erosion or from surface water and the Register did not include these risks, although it will soon do so. This Register indicates the potential impacts from these types of flooding and can inform investment decisions in areas where Natural Resources Wales has responsibility and will be used in the trial of the national flood risk index during 2016-17. The Register helps Natural Resources Wales to identify the highest priority projects, with each project assessed according to its business case and the Treasury Green Book. In this way, Natural Resources Wales prioritises and allocates funding through its Capital Programme to the highest risk areas.
- 2.44 Natural Resources Wales owns about a third of coastal defences, councils own a third and the private sector own the remaining third. Private sector owners include Network Rail, utility companies and large landowners such as the National Trust and The Crown Estate. Some coastal defences like railway embankments, highway retaining walls, beaches or sand dunes provide some protection but their owners do not recognise them, or maintain them, as flood defences. Stakeholders told us there are parts of the coast where it is difficult to determine ownership of coastal assets.
- 2.45 The Welsh Government has made little progress improving the national approach to coastal asset management, missing its own deadlines in the National Strategy to develop a register of coastal flood defence assets by 2014, and to establish a programme of regular maintenance. However, Natural Resources Wales is leading a project on coastal defences for the Coastal Review Delivery Plan and in late 2015 produced a report on options for a national defence dataset. In collaboration with the Welsh Government, the Welsh Local Government Association and councils, progress is now being made to combine data from Natural Resources Wales with data from councils.

- 2.46 Organisations responsible for managing coastal flooding and erosion do not collect information on the condition of assets in a consistent way. In 2009, we found that standards of inspection, recording and maintenance of coastal defence assets were variable although we found that Environment Agency Wales had good asset information and arrangements to inspect their assets. They still do. However, our survey in 2015 found that councils have several different approaches to asset management. Eight of the councils we surveyed reported that they had an asset management plan which sets out the location, nature and condition of their coastal assets. Some councils are using spreadsheets to manage the information, while others have invested in asset management software, although the type of software differs across Wales. Inspection regimes vary from annual or 'continuous' inspections in some areas, to ad hoc arrangements in others.
- 2.47 Natural Resources Wales has a regular programme of inspection and maintenance and has so far met its target to maintain the effectiveness of 99 per cent of its high-risk flood and coastal risk management assets during 2015-16⁴⁸. Natural Resources Wales' Communities at Risk Register uses information on the condition of coastal defences to inform its prioritisation of resources but the information only relates to the defences Natural Resources Wales is responsible for.
- 2.48 Information about coastal defence assets is not being shared effectively amongst stakeholders and there is no national overview of coastal defence assets along the coast in terms of their condition, or integrity, including the impact of climate change. Most councils responding to our survey said they do not know the condition and effective life of assets held by private or third-sector stakeholders. Stakeholders also told us that the responsibilities of some organisations for maintaining and sharing information about their assets is not clear. We understand that the Coastal Delivery Plan project led by Natural Resources Wales on roles and responsibilities aims to clarify responsibilities relating to asset management.
- 2.49 Council flooding officers suggested that shared asset management software could also improve information sharing, but Natural Resources Wales say that councils have so far been reluctant to use the software that was developed. Recent progress to combine data from Natural Resources Wales with data from councils (see [paragraph 2.45](#)) suggests progress towards creating a shared asset management database. We also consider that the Welsh Government and partners could also learn lessons from Network Rail's national approach to asset management ([Box 9](#)).

⁴⁸ Based on performance from 1 April to 30 November 2015, Natural Resources Wales Performance Progress Update 28 January 2016.

Box 9: Network Rail Coastal Defence Asset Management System

In Wales, 34 miles of Network Rail's coastal assets are vulnerable to overtopping, to coastal erosion, or to storm surges. Network Rail has a regular programme of inspection for its coastal defences and conducts a detailed annual assessment of all assets. Network Rail rates the condition of its assets from 1 to 5, and uploads information onto interactive software that shows the condition, risk, location and maintenance schedule for each asset. These asset management plans include links to local Shoreline Management Plans that show the suggested approach in each area. Where a coastal asset is made of different materials and forms of construction, each of these elements is assessed to determine its interrelationship, resilience and vulnerability to extreme weather events. If the coastal defence capability of an asset deteriorates or improves, the knock-on impact on other coastal assets updates automatically on the software.

In 2013, Network Rail started an evaluation of the UK coastline to assess the risks to their coastal defences on a national level and to inform their investment decisions. The evaluation assesses risks by considering the threats to the rail infrastructure, the consequences of weather impacts and the controls in place to manage these risks. The evaluation assesses vulnerability to weather impacts and potential future risks due to climate change. In 2014, Network Rail published the results of its evaluation in its Route Weather Resilience and Climate Change Adaptation Plan for Wales. The Plan highlights coastal defences and other asset infrastructure on the rail network where investment could increase resilience to present-day extreme weather events and the effects of future climate changes. Network Rail monitors progress against its plan every year.

The Welsh Government plans to improve governance arrangements for future funding programmes

The Welsh Government's arrangements for monitoring its coastal protection grant have been weak although some changes from April 2016 seek to improve progress reporting, and clarify benefits realised and any savings

- 2.50 In 2010, the Public Accounts Committee recommended that the Welsh Government develop a transparent methodology to assess and prioritise funding of coastal defence schemes. The Welsh Government missed its objective in the National Strategy to develop a way of prioritising funding by the end of 2013 and has made slow progress since then.
- 2.51 The Welsh Government currently allocates funding to councils based on the strength of applications for its coastal protection grant. Councils applying for funding must set out clear objectives, methods, estimated costs and the duration of the work. Applications also include a project appraisal report, cost benefit analysis and relevant consents. The Welsh Government provides project appraisal guidance for applicants based on the Treasury Green Book. The Welsh Government has two technical officers that assess applications and recommend to the Flood and Coastal Erosion Risk Manager whether each scheme should receive grant funding.
- 2.52 So far, the Welsh Government has funded all of the schemes councils have applied for under the coastal protection grant and has not had to compare risks to make a decision on funding one scheme over another. The Welsh Government is currently producing a map to show the location and amounts of its coastal protection grant funding that councils and Natural Resources Wales have spent during the period 2010 to 2015, and the areas of highest risk. The map can also help the Welsh Government to identify vulnerable high-risk locations where councils have not bid for funding, so that these risks can be effectively managed. The Welsh Government is also now able to separate information on funding for council coastal and non-coastal flood protection schemes to provide a better picture of its spending.
- 2.53 Ministerial approval is required for council schemes costing £300,000 or more but in some instances it has been found that information recording the Welsh Government's assessments of applications lacks detail in terms of the assessment, or the rationale for approving schemes. Coastal risk management projects funded through ERDF were assessed for their suitability against the Programme's eligibility criteria by the European Funding Programme Board. The Welsh Government assesses business cases and project appraisal reports submitted by councils, and the Flood Risk Management Wales Committee oversees the allocation of funding for projects in Natural Resources Wales' Capital Programme.

- 2.54 The Welsh Government has lacked sufficient arrangements for scrutiny of its coastal protection grant. Councils provide regular progress reports, but the Welsh Government's Flood and Coastal Erosion Team told us staff capacity restricts their ability to review reports and visit schemes. The Welsh Government has recently recruited an additional technical officer to help with monitoring schemes (see [paragraph 2.35](#)). Councils have not been required to produce closure reports or demonstrate the impact of coastal protection schemes, so the Welsh Government had no assurance on whether projects represent value for money, or whether they could have achieved the same results for less. The Welsh Government has introduced changes to the grant arrangements from April 2016, to improve progress reporting, to clarify the benefits realised from funding, and to show any savings.
- 2.55 The Welsh Government pays its coastal protection grant in arrears based on councils' submissions of the costs incurred. For grant claims over £100,000, the Welsh Government holds five per cent of funds until the Wales Audit Office can certify the grant claims. Certification involves checking that funding allocations match Council spending and grants claims, and that applicants are not making ineligible claims⁵⁰ but it does not assess value for money. We have not reviewed the delivery of individual council coastal protection schemes as part of this study. However, in response to concerns raised locally, auditors have been undertaking work on behalf of the Auditor General to examine issues relating to work to repair the shoreline at Llandudno North Shore and Kinmel Bay in Conwy. That improvement work followed damage to the shoreline during the winter storms of 2013-14 and was supported by Welsh Government funding.
- 2.56 The Welsh Government and councils could learn from the approach Natural Resources Wales uses to monitor its Capital Programme. Natural Resources Wales has recently reviewed the Programme using 'lean' principles⁵¹ to improve efficiency. As a result, Natural Resources Wales assesses projects at a fixed point in the year, which helps the team to build in efficiencies, such as grouping consultancy tenders together. Area teams have oversight of proposed works across Wales so they can manage competing demands for construction materials or contractors by altering timescales. Natural Resources Wales uses project management software to record monthly progress against key milestones and financial targets, and feeds data into progress reports that go to the Natural Resources Wales Capital Programme Board, their executive team and Board, Flood Risk Management Wales Committee, and to the Welsh Government.

⁵⁰ Since 2009, our certification work has not found major issues for the coastal protection grant.

⁵¹ Lean thinking aims to maximise value and minimise waste by focusing on the key processes in an organisation to improve efficiency.

The Welsh Government's plans for its Coastal Risk Management and Flood and Coastal Investment Programmes have the potential to improve decision making and monitoring of coastal spending

- 2.57 The Welsh Government is developing governance arrangements for the Coastal Risk Management Programme and has put in place a Board to ensure the Programme delivers its objectives, is accountable for investment and achieves expected benefits. Members of the Board include Natural Resources Wales, the Welsh Local Government Association and a range of Welsh Government departments. The Board will overview the Programme and its projects, with the Welsh Government reviewing the detail of applications for funding and making recommendations about suitable projects. As noted in [paragraph 2.34](#), the Programme is also part of a 'Gateway Review' process to review progress through the lifetime of the Programme.
- 2.58 Emerging plans for the Welsh Government's Flood and Coastal Investment Programme include similar board arrangements to oversee progress. Organisations in receipt of funding would be responsible for monitoring individual schemes using updated project appraisal guidance to be produced by the Welsh Government, with the aim of ensuring value for money and the incorporation of wider well-being benefits. The Welsh Government consulted stakeholders on its plans for the Programme in December 2014 but has yet to finalise delivery arrangements.
- 2.59 The Flood Risk Management Wales Committee currently oversees the Natural Resources Wales Capital Programme, but will be replaced in October 2016 by a new Flood and Coastal Erosion Committee. The Welsh Government intends the new committee to advise Ministers on the risks and benefits of all sources of flooding and erosion. The Welsh Government is not yet clear how the new committee will fit into governance arrangements for its Coastal Risk Management or Flood and Coastal Investment Programmes.

Lack of capacity within the Welsh Government and councils has delayed progress and threatens to undermine the long-term approach to managing the risks of coastal flooding and erosion

- 2.60 In 2010, the Public Accounts Committee recommended that the Welsh Government should ensure that sufficient resources, including technical and project management capacity are available to manage coastal flooding and erosion. Some progress has been made in assessing skills and capacity gaps, but capacity issues remain, for the Welsh Government and councils.
- 2.61 The Welsh Government's Flood and Coastal Erosion Risk Management team currently employs 6.6 full-time equivalent staff. Stakeholders regarded the Welsh Government team as understaffed and considered that delays in policy development and decisions on managed retreat were due to a lack of capacity.

- 2.62 In response to a recommendation of the Wales Coastal Flooding Review, the Welsh Local Government Association and Natural Resources Wales conducted a skills audit in the summer of 2015⁵². The audit found that councils are not replacing vacant positions and that 20 per cent of the workforce could retire in the next 10 years. The skills audit found that due to a lack of capacity and funding, officers are increasingly becoming generalists, covering a wide range of work and most scored their abilities in managing flood risk as 'basic' or 'capable' rather than 'specialist'. The Welsh Local Government Association intends to work with the Welsh Government, Natural Resources Wales and councils to address skills and capacity gaps. Skills and capacity issues in both the Welsh Government and councils threaten to undermine the long-term approach if not addressed adequately.
- 2.63 Staff numbers vary across councils in Wales. While some variation reflects different levels of flood risk across Wales, current staffing levels may not be sufficient to manage the risks effectively in some councils. Many councils employ less than one full-time equivalent to manage all types of flooding risk and in several instances, employees are responsible for a range of other duties. Over half of the flooding officers that responded to our survey did not think their council had adequate capacity to develop the local strategic approach, or design and deliver solutions to manage coastal flooding or erosion.
- 2.64 The Local Government (Wales) Bill 2015 makes preparations for local government reform in Wales which could, if progressed, see the number of councils in Wales reduced. Local government reform could impact on local capacity to manage flood risk but also present opportunities for efficiency savings through joint working and to consolidate experience across Wales.
- 2.65 Natural Resources Wales currently employs 280 people to work in all aspects of flood risk, including coastal flooding and erosion⁵³. While there were additional pressures arising from the creation of Natural Resources Wales in 2013, the organisation has discharged its flood risk management functions effectively and responded well to the challenges of the winter floods in 2013-14. In December 2015, the Welsh Government confirmed to Natural Resources Wales a cash-terms reduction of five per cent for its flood risk management activities. Funding pressures and new statutory responsibilities associated with the Well-being of Future Generations (Wales) Act 2015 and Environment (Wales) Act 2016 will create challenges for Natural Resources Wales in the future which may restrict its ability to manage flood risk effectively. Our report on the development of Natural Resources Wales⁵⁴ recommended that Natural Resources Wales should manage funding pressures and expectations about its role by agreeing key delivery priorities with the Welsh Government and stakeholders.

⁵² The Welsh Local Government Association conducted a previous skills audit in 2012 and subsequently delivered training workshops with Natural Resources Wales to aim to address skills gaps identified in the audit.

⁵³ These are full-time equivalents. Natural Resources Wales is unable to separate staffing figures for coastal flooding and erosion and other types of flooding because staff have a range of responsibilities.

⁵⁴ **The Development of Natural Resources Wales**, Wales Audit Office, February 2016

Appendices



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Appendix 1 - Audit Methods

Document Review

We have reviewed a range of documents published or provided by the Welsh Government including:

- the National Strategy for Flood and Coastal Erosion Risk Management in Wales, 2011 and information about the development of a national strategy;
- evaluations of previous initiatives including the New Approaches Programme and individual coastal protection schemes;
- financial information including budgets and spending on coastal flooding and erosion;
- information relating to the Welsh Government's coastal protection grant; and
- documents setting out emerging plans for the Welsh Government's Flood and Coastal Investment Programme and Coastal Risk Management Programme.

We also reviewed documents from Natural Resources Wales including:

- documents relating to the Wales Coastal Flooding Review and subsequent delivery plan;
- performance reporting under section 18 of the Flood and Water Management Act 2010;
- information relating to the Flood Risk Management Wales Committee including minutes and reports;
- information relating to Natural Resources Wales' capital programme;
- evaluations of Flood Awareness Wales and community engagement activities; and
- information on individual coastal protection schemes.

Interviews

We interviewed a range of people including Welsh Government Officials, flood risk management staff at Natural Resources Wales, and representatives from Fairbourne Facing Change, the coastal groups, Network Rail, and the Welsh Local Government Association. We also met council flooding officers at Ceredigion, Gwynedd, Monmouthshire, Newport, Pembrokeshire, and Swansea councils.

We also wrote to other stakeholders including academics and coastal engineering consultants, NFU Cymru, the National Trust, Welsh Water, national parks, port authorities, trunk road agencies and the Met Office to invite their views.

Survey of councils

We conducted a survey of councils in Wales with a coastline⁵⁵ during the spring and summer of 2015. The survey asked about councils' approach to coastal flood and erosion risk management and sought views on the national approach.

We also reviewed information on councils' management of coastal flooding and erosion including:

- strategic documents including Shoreline Management Plans, Local Flood Risk Management Strategies and Plans, Local Development Plans, and Asset Management Plans;
- scrutiny and cabinet reports on coastal flooding and erosion;
- staffing levels;
- consultation and community engagement activities; and
- information relating to individual coastal protection schemes.

We were unable to obtain consistent information to analyse councils' capital and revenue expenditure on coastal flooding and erosion over and above funds provided by the Welsh Government or through European Union funding.

⁵⁵ Bridgend, Cardiff, Carmarthenshire, Ceredigion, Conwy, Denbighshire, Flintshire, Gwynedd, Isle of Anglesey, Monmouthshire, Neath Port Talbot, Newport, Pembrokeshire, Swansea, and the Vale of Glamorgan councils. The Isle of Anglesey County Council and Vale of Glamorgan Council did not respond to the survey.

Appendix 2 - Wales Coastal Flooding Review

The **Wales Coastal Flooding Review**⁵⁶ examined the impacts of the winter floods during December 2013 and January 2014 across Wales in two phases. Natural Resources Wales conducted the review, with input from the organisations responsible for coastal flooding and erosion risk management in Wales at the request of the then Minister for Natural Resources and Food. The first phase of the review looked at the effects of the flooding and phase two at the lessons learnt from both events. The Phase Two Report includes 47 recommendations relating to the strategic and operational aspects of coastal flood risk management. The recommendations have been grouped into 10 projects to be addressed in the Wales Coastal Flooding Review Delivery Plan (2015).

- Project 1 – Flood forecasting and coastal design: to improve the accuracy of flood forecasts.
- Project 2 – Flood warning and forecasting: to improve the information used for flood warnings.
- Project 3 – Community resilience: working with communities to improve their resilience to flooding.
- Project 4 – Operational response: to improve the joint response to flooding events.
- Project 5 – Coastal defences: to review defences in high-risk areas to ensure defences are fit for purpose.
- Project 6 – National coastal defence dataset and inspections: to produce a national dataset of coastal defence assets and the areas they protect. The project will also identify options for a more consistent approach to inspecting coastal defences.
- Project 7 – Skills and capacity audit and roles and responsibilities: to carry out an audit of organisations responsible for managing coastal flooding and erosion to assess and develop options to address potential skills and capacity gaps. The project also aims to clarify roles and responsibilities amongst key stakeholders.
- Project 8 – Coastal Groups: to review the role of the Welsh Coastal Groups.
- Project 9 – Coastal adaptation: to improve support to communities to adapt to increasing risks and respond to local Shoreline Management Plan policies.
- Project 10 – Infrastructure resilience: to improve the way that organisations responsible for managing coastal flooding and erosion work with infrastructure and utility operators to increase resilience.

⁵⁶ **Wales Coastal Flooding Review Phase One and Two Reports**, Natural Resources Wales, 2014. The review was led by Natural Resources Wales with contributions from councils and other organisations responsible for managing flood risk.

Appendix 3 - Welsh Government funding for flood and coastal erosion risk management from 2010-11 to 2016-17

The table shows sources of Welsh Government and European Union funding for flood and coastal erosion risk management from 2010-11 to 2016-17. The real-terms value of this funding is shown alongside the cash allocated.

	Welsh Government funding ^{1,2}						Total funding	
	Core flood and coastal erosion risk management budget		Additional Capital funding Received in Year ⁴		European Regional Development Fund		Cash terms	Real terms
	Cash terms	Real terms	Cash terms	Real terms	Cash terms	Real terms		
2010-11	38.6	41.36	5.8	6.21	17.1	18.32	61.5	65.90
2011-12	36.7	38.72	5.7	6.01	9.5	10.02	51.9	54.76
2012-13	35.7	36.99	11	11.40	6	6.22	52.7	54.61
2013-14	37.1	37.66	14	14.21	6.1	6.19	57.2	58.06
2014-15	36.93	36.93	13.5	13.50	1.5	1.50	51.93	51.93
2015-16	36.58	36.51	10.5	10.48	3	2.99	49.81	49.71
2016-17 ³	34.45	33.87	21.21	20.86	N/A	N/A	55.86	54.93

Notes

- Figures include capital and revenue funding.
- Revenue funding includes funding for councils to manage all sources of flooding and erosion through the Lead Local Flood Authority Grant, funding to help councils produce Local Flood Risk Management Strategies and revenue funding for Natural Resources Wales.
- Figures for 2016-17 also included a £4.21 million additional allocation to specific projects (Porthcawl Town Beach and Boverton) and £9.2 million of consequential funding due to Barnett Formula funding adjustments made after the 2015 flooding in England. The Welsh Government anticipates that all of this consequential funding will be included in the core Flood and Coastal Erosion Risk Management budget for 2016-17, although other departments undertaking flood work could also receive some of this funding.
- Additional capital funding received in-year includes the Strategic Capital Investment Fund, which in 2011-12 became the Wales Infrastructure Investment Plan, as well as divisional transfers and in-year additional funding.

Appendix 4 - Applying the sustainable development principle

The Well-being of Future Generations (Wales) Act 2015 places a duty on specified public bodies, including the Welsh Government, Natural Resources Wales and councils, to act in accordance with the sustainable development principle and to demonstrate that they are doing so. This means acting in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs.

Public bodies need to be able to demonstrate how they are working to improve the economic, social, environmental and cultural well-being of Wales in the context of the following seven well-being goals:



Source: Welsh Government

There are five things that public bodies need to think about to show that they have applied the sustainable development principle:

- **Long-term** – The importance of balancing short-term needs with the need to safeguard the ability to meet long-term needs, especially where things done to meet short-term needs may have a detrimental long-term effect.
- **Integration** – The need to take an integrated approach, by considering how:
 - the body’s well-being objectives may impact upon each of the well-being goals; and
 - the body’s well-being objectives may impact upon each other or upon other public bodies’ objectives, in particular where steps taken by the body may contribute to meeting one objective but may be detrimental to meeting another.
- **Involvement** – The importance of involving other persons with an interest in achieving the well-being goals and of ensuring those persons reflect the diversity of the population of:
 - Wales (where the body exercises functions in relation to the whole of Wales); or
 - the part of Wales in relation to which the body exercises functions.
- **Collaboration** – How acting in collaboration with any other person (or how different parts of the body acting together) could assist the body to meet its well-being objectives, or assist another body to meet its objectives; and
- **Prevention** – How deploying resources to prevent problems occurring or getting worse may contribute to meeting the body’s well-being objectives, or another body’s objectives.

In particular, for coastal flooding and erosion, well-being assessments should include consideration of:

- the future impacts of coastal flooding and erosion on communities, business and infrastructure, and
- how well-being objectives address coastal flooding and erosion issues.

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Outcome 1 - To improve the understanding of local flood risk

Measure 1.1 Identify drainage and flood assets and develop asset management system (statutory requirement)

Further progress has been made in the past two years, although pressures to carry out more immediate and pressing work has had some impact on this activity. The Council has purchased a dedicated flood risk asset management system (AMX) and three members of staff have received training. The system is the same as that used by Natural Resources Wales (NRW), which simplifies the exchange of asset data between the two organisations. The Welsh Government is encouraging all Welsh authorities to adopt the same system and has suggested that it would be prepared to consider a grant application regarding further training and data collection. Overall, the measure is approximately 50% complete.

Measure 1.2 Designate flood risk management features (permissive power)

The Flood and Water Management Act made the Council the 'Designating Authority' within Denbighshire, with the power to designate a structure (defined as an artificial or natural feature of the environment in private ownership). If the Council identifies that a structure or feature potentially affects local flood risk, nobody can carry out works on the designated structure or feature without the Council's permission. This activity has yet to commence, due to the Council's resources being focused on more urgent matters, such as flood investigations, the development of flood risk management schemes and the Council's Flood Risk Management Plan (FRMP). The FRMP, which will be out to consultation before the end of November, will help the Council to target areas where private flood risk assets should be designated.

Measure 1.3 Record and map flooding incidents (statutory requirement)

All flooding incidents have been recorded. However, no progress has been made regarding the purchase of flood mapping software. The Flood Risk Manager considers that it is currently more efficient to use local specialist consultants to carry out flood mapping, due to the sporadic nature of flood incidents. Discussions have taken place with Conwy County Borough Council regarding a collaborative approach to flood mapping, although no formal arrangements are currently in place.

Measure 1.4 Carry out flood investigations (statutory requirement)

Whilst there hasn't been any significant flooding in the county during the past two years, there have been numerous minor incidents and near misses. Each of these has been investigated and the Council's understanding of local flood risk has improved as a consequence.

Measure 1.5 Develop Flood Risk Management Plans for areas of high flood risk (best practice)

Because there are no Flood Risk Areas in Denbighshire, as defined by the Flood Risk Regulations, there is no statutory requirement for the Council to produce a Flood Risk Management Plan (FRMP). However, the Council agreed with the Welsh Government that it would produce a county FRMP by December 2015. The process has taken longer than expected, partly due to the large number of minor flooding incidents in the last two years. It is important that the increased understanding of local flood risk as a result of investigating these incidents is reflected in the FRMP. The draft FRMP will be out to consultation in November 2016. The Welsh Government is aware of the state of progress of the FRMP

Measure 1.6 Develop a regional Learning Action Alliance in partnership with neighbouring LLFA's, flood risk management authorities and other private and public sector specialists to share knowledge of flood risk management approaches (best practice)

Whilst no formal 'Learning Action Alliance' has been established, the Council attends quarterly meetings of the North Wales Flood Risk Management Group (Denbighshire has chaired the group for the past two years), which brings together experts from local authorities, Natural Resources Wales and Dwr Cymru Welsh Water, as well as representation from the Welsh Government and the Welsh Local Government Association. The meetings are an opportunity to discuss common problems, share examples of good practice and provide WG and WLGA with feedback on local issues and concerns, which will hopefully guide and inform WG's strategic direction on flood risk management.

Outcome 2 - Ensure that local communities understand their responsibilities in relation to local flood risk management

Measure 2.1 Publish a clear strategy and communicate it (statutory requirement)

The Council received Ministerial approval of its Strategy on 5th November 2014. The Strategy has been published on the Council's website. Further consideration needs to be given to how best to communicate the Strategy to maximise public interest, understanding and engagement. The Flood Risk Manager will work closely with the Destination, Marketing and Communication section in this regard.

Measure 2.2 Develop a communication strategy to improve stakeholder knowledge (best practice)

This work has been delayed. However, a communication strategy will be developed as part of the East Rhyl Coastal Defence Scheme and this will form the template for a county wide strategy.

Measure 2.3 Develop a dedicated flood risk management page on the Council's website (statutory requirement)

Flood risk management information is provided in various pages on the Council's website. The Flood Risk Manager would welcome the Committee's views regarding whether a dedicated 'one stop flood shop' webpage would be of benefit, or whether the existing format is adequate.

Measure 2.4 Publish and distribute information explaining responsibilities, local flood risk, property protection and resilience (statutory requirement)

The Council has provided advice to residents regarding riparian responsibilities, individual property protection and resilience on a case by case basis. The advice is based on national guidance, which is currently being updated by Natural Resources Wales. There is an opportunity to include a link to this guidance on the Council's website.

Measure 2.5 Involve local communities in local initiatives and schemes (best practice)

The Council consults with communities affected by flood and coastal erosion risk management schemes as a matter of course and will involve communities in local initiatives as these arise.

Measure 2.6 Promote and support Community Flood Plans (best practice)

The Council continues to work in partnership with Natural Resources Wales to develop and promote Community Flood Plans. Plans are currently in place in Ruthin (Glasdir estate), Ruthin Town, Rhyl, Prestatyn and St Asaph.

Measure 2.7 Promote and support property based resilience (best practice)

The Council continues to provide advice to residents, usually on a case by case basis, regarding property protection and resilience.

Measure 2.8 Visit schools in flood risk areas (best practice)

The Flood Risk Manager has given a talk to pupils at Llandyrnog School and further school visits will take place as part of the East Rhyl Coastal Defence Scheme, Llanbedr DC Flood Risk Management Scheme and Dyserth Flood Risk Management Scheme.

Measure 2.9 Annual flood awareness event and/or flood awareness roadshow (best practice)

Further effort is required to plan and prepare for a flood awareness event/roadshow. The previous event, which took place in Rhyl in 2009, was a collaborative affair involving various Council departments, Natural Resources Wales, North Wales Fire and Rescue Service and numerous other agencies. There might also be opportunities to work with neighbouring authorities in this regard.

Measure 2.10 Promote and support Dangerpoint (best practice)

Dangerpoint is a facility near Talacre which provides information to visitors, particularly children, regarding dangers within the home and community, including flood risk. The facility relies on visitor numbers to remain viable. The Council provided funding to Dangerpoint in 2015/16 to support the attendance of Year 5 and 6 pupils, but there have been insufficient funds available in 2016/17 to continue this support. An option that the Council has discussed with Dangerpoint is to only pay for the attendance of pupils from schools in flood risk areas, which would cost around £12,000 per annum.

Measure 2.11 Actively engage with the private flood sector to develop innovative techniques to raise awareness (best practice)

The Council is in discussions with a local consultant regarding a partnership approach to raising awareness, particularly in schools and colleges. In addition, the programme of capital works provides an opportunity for the Council to benefit from the extensive knowledge and expertise of the consultants involved in delivering those schemes.

Outcome 3 - Work in partnership with other Risk Management Authorities and stakeholders

Measure 3.1 Work closely with the Natural Resources Wales and Dŵr Cymru Welsh Water to develop cost effective solutions to flooding issues (best practice)

The Council has regular meetings with Natural Resources Wales and Dŵr Cymru Welsh Water to discuss possible solutions to known flooding issues. Whilst this has led to a better collective understanding of flood risk, it hasn't resulted in any particular solutions. What it has done is to reinforce the good working relationship the Council has with NRW and DCWW.

Outcome 4 - Actively manage flood risk associated with new development proposals

Measure 4.1 Develop and apply a robust local policy for the drainage of new development sites (statutory requirement)

The Council is still awaiting guidance from the Welsh Government regarding Sustainable Drainage Systems (SuDS) and the role of the SuDS Approval Body

(which would most likely be the Council) Also, the Welsh Government has yet to issue an order for the commencement of Schedule 3 of the Flood and Water Management Act, which relates to sustainable drainage. In the meantime, it would be prudent for the Council to delay the development and application of a local policy. In the absence of a policy, the Council has managed to build a good working relationship with local developers and sustainable approaches to surface water management are generally adopted as good practice.

Measure 4.2 Develop a process with the Planning Department to create clear advice and direction to developers on FRM and Drainage. Encourage developers to adopt a 'best practice' approach to site drainage (statutory requirement)

This needs to be formalised in conjunction with the Planning department but, as with Measure 4.2, it would be prudent for the Council to wait until the Welsh Government issues its guidance.

Outcome 5 - Encourage proactive, responsible maintenance of privately-owned flood defence and drainage assets

Measure 5.1 Identify highest risk private flood defence and drainage assets (statutory requirement)

Further progress has been made, with the assets being recorded on the AMX system. The measure is now approximately 40% complete. The Welsh Government has suggested that it might make funding available during 2016/17 to support this activity, although with only 5 months remaining of the financial year and winter approaching, it is unlikely that this funding could be used effectively. It is anticipated that this measure will be completed within the next 24 months.

Measure 5.2 Develop technical advice for owners to guide them in preparing local maintenance plans (best practice)

No progress has been made in terms of developing formal technical advice, due to other flood risk management priorities. However, technical advice has been provided to landowners on a case by case basis.

Outcome 6 - Investigate opportunities to reduce surface water run-off from the upper catchments and for flood storage in flood plain areas

Measure 6.1 Develop a register of land ownership for Denbighshire and neighbouring authority areas with shared catchments (best practice)

Further progress has been made, the measure is now 70% complete. In some respects, the final 30% of landowners could be the most difficult to identify due to unregistered land and ambiguity of land ownership. As a consequence, the

measure could prove impossible to fully complete. Nevertheless, the register of landowners in areas of greatest flood risk should be reasonably comprehensive.

Measure 6.2 Develop proposals to engage with significant landowners to employ land management techniques and initiatives which help to reduce the rate of surface water run-off (best practice)

Most of the owners of large land holdings within areas of potential flood risk in Denbighshire have been contacted. The measure will be reviewed periodically, but is substantially complete.

Outcome 7 - Identify affordable, sustainable flood risk management projects

Measure 7.1 Review the Council's programme of flood risk management schemes (best practice)

Complete, with the result that future fluvial and coastal flood risk management schemes have been prioritised.

Measure 7.2 Use Flood Risk Management Plans to identify further measures to manage and reduce flood risk (statutory requirement)

This measure will be developed in conjunction with the preparation of Flood Risk Management Plans.

Measure 7.3 Encourage and promote community and private contribution towards the costs of flood schemes (statutory requirement)

This will form an integral part of the schemes in development at St Asaph, Dyserth, Llanbedr Dyffryn Clwyd, East Rhyl and Rhyl Yacht Club. The schemes are currently in the early stages of the development, so the techniques and methods which could be used are unclear. If necessary, the Council will seek the assistance of specialist consultants in this regard and will consider examples of where community and private contribution has helped to bring about the success of a project

Measure 7.4 Continue to promote flood risk management schemes that might be eligible for Welsh Government grant aid (best practice)

The Council has received approval from the Welsh Government to develop flood risk management schemes at St Asaph, Dyserth, Llanbedr Dyffryn Clwyd, East Rhyl and Rhyl Yacht Club.

Outcome 8 - Ensure local FRM knowledge is aligned with the Councils emergency planning procedures.

Measure 8.1 Embed the LFRMS into flood response and recovery plans and use developing knowledge on flood risk to “tune” emergency procedures (statutory requirement)

One of the aims of the Strategy, and a statutory requirement for the Council, is to improve the Council's understanding of local flood risk. This knowledge is subsequently fed into flood response and recovery plans. An example of this is at east Rhyl, where procedures were reviewed and amended to reflect our improved knowledge of flood risk following the December 2013 storms. The Council has subsequently carried out work to reduce flood risk in the area, such as the installation of flood gates on the promenade and improvements at Rhyl Golf Course. These have been taken into account and the response plan adjusted accordingly.

Measure 8.2 Continue to develop Denbighshire County Council's Multi Agency Flood Plan (statutory requirement)

The current revision of the Multi Agency Flood Plan was issued by the North Wales Resilience Forum in March 2014 and will be reviewed and updated if necessary in March 2017. The Council attends regular meetings of the Local Resilience Forum Severe Weather Group, which has a broad attendance, including representation from the North Wales Councils Emergency Planning Service, Dwr Cymru Welsh Water, Natural Resources Wales, Network Rail, North Wales Police, North Wales Fire and Rescue Service and the utility companies. All well as contributing to the Council's discharge of its responsibilities under the Civil Contingencies Act, attending the meetings provides a valuable opportunity to discuss flood risk matters with other agencies, who sometimes have different priorities, but often share common aims.

Mae tudalen hwn yn fwriadol wag



Flood Risk Management Strategy

Wellbeing Impact Assessment Report

This report summarises the likely impact of a proposal on the social, economic, environmental and cultural well-being of Denbighshire, Wales and the world.

Assessment Number:	59
Brief description:	Scrutiny Committee review of the progress made by the Council in implementing the measures and objectives of the Local Flood Risk management Strategy.
Date Completed:	11/10/2016 10:59:47 Version: 1
Completed by:	Wayne Hope
Responsible Service:	Highways & Environmental Services
Localities affected by the proposal:	Whole County,

IMPACT ASSESSMENT SUMMARY AND CONCLUSION

Before we look in detail at the contribution and impact of the proposal, it is important to consider how the proposal is applying the sustainable development principle. This means that we must act "in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs."

Score for the sustainability of the approach

Could some small changes in your thinking produce a better result?

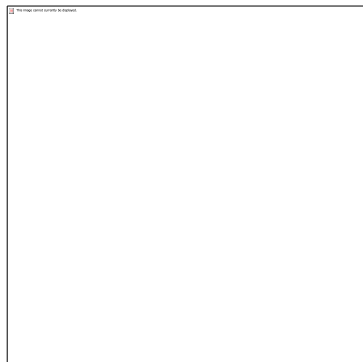


(3 out of 4 stars)

Actual score : 21 / 24.

Summary of impact

Wellbeing Goals



A prosperous Denbighshire	Positive
A resilient Denbighshire	Positive
A healthier Denbighshire	Positive
A more equal Denbighshire	Positive
A Denbighshire of cohesive communities	
A Denbighshire of vibrant culture and thriving Welsh language	
A globally responsible Denbighshire	Positive

Main conclusions

Flood risk management by its very nature has an overall positive impact. However, the Council's approach to flood risk management will ensure that opportunities are explored to maximise those positive impacts.

THE LIKELY IMPACT ON DENBIGHSHIRE, WALES AND THE WORLD

A prosperous Denbighshire

Overall Impact	Positive
Justification for impact	For the reasons described above.

Positive consequences identified:

Flood risk management covers a broad range of activities, so it's difficult to be precise regarding carbon impacts. However, promoting a low carbon society will be a major consideration in all flood risk management activities.

The effective management of flood risk will have make positive contribution to the economic viability of communities at risk of flooding.

The Council's programme of capital flood risk management investment will prioritise the use of the local supply chain. By managing flood risk in the County, the Council will encourage inward investment and economic stability.

In delivering capital flood risk management projects, the Council will promote the development and use of local skills, for example, flood modelling and construction expertise.

A large part of flood risk management involves the maintenance, upgrade and renewal of flood risk assets, for example, coastal defences.

Unintended negative consequences identified:

Mitigating actions:

Proactive assessment and review of impacts at each stage of a flood risk management activity.

A resilient Denbighshire

Overall Impact	Positive
Justification for impact	FRM activities are tightly regulated, which makes it virtually impossible for a negative impact on the environment and biodiversity to occur.

Positive consequences identified:

Flood risk management activities are tightly controlled by environmental legislation and opportunities to improve the ecological status of an affected location will be explored.

As above.

Materials will be recycled and reused where possible, for example, when concrete coastal defences are replaced, the old defences can be crushed and reused as granular fill.

The Flood Risk Management team takes every opportunity to improve the public's understanding of the environment and biodiversity, in the context of flood risk. FRM activities will, by default, have a positive impact on FRM.

Unintended negative consequences identified:

Mitigating actions:

A healthier Denbighshire

Overall Impact	Positive
Justification for impact	

Positive consequences identified:

Flooding has a serious detrimental impact on people's emotional and mental well-being, so effective flood risk management will have a positive effect.

Unintended negative consequences identified:

Mitigating actions:

A more equal Denbighshire

Overall Impact	Positive
Justification for impact	Managing flood risk has a positive impact on vulnerable members of the community.

Positive consequences identified:

During a flood, the very young, very old and the disabled tend to be the most vulnerable. Managing flood risk will have an overall positive impact on these people.

Unintended negative consequences identified:

Mitigating actions:

A Denbighshire of cohesive communities

Overall Impact	
Justification for impact	FRM is about managing and reducing the risk of flooding to communities, with an emphasis on community engagement.

Positive consequences identified:

Effective management of flood risk leads to safer communities.
Public engagement and the contribution to the development of community flood plans is a significant part of flood risk management in Denbighshire.
Flood risk management schemes will be carried out in a way that is sympathetic to surrounding environment.

Unintended negative consequences identified:

Mitigating actions:

A Denbighshire of vibrant culture and thriving Welsh language

Overall Impact	
Justification for impact	

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

A globally responsible Denbighshire

Overall Impact	Positive
Justification for impact	

Positive consequences identified:

Local suppliers will be used whenever possible.
Suppliers will be required to demonstrate their compliance with equalities legislation.

Unintended negative consequences identified:

Mitigating actions:

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Archwilio Cymunedau
Dyddiad y Cyfarfod:	27 Hydref 2016
Aelod / Swyddog Arweiniol:	Y Cyngorydd David Smith / Graham Boase
Awdur yr Adroddiad:	Mike Jones
Teitl:	Effaith cynyddu tâl parcio ar hyd a lled y Sir

1. Am beth mae'r adroddiad yn sôn?

Archwilio effaith cynyddu tâl parcio a gyflwynwyd ar 1 Ebrill 2016 yng nghanol trefi Sir Ddinbych. Nid yw'r adroddiad yn ystyried defnydd ehangach posibl o feysydd parcio ar gyfer staff sy'n eiddo i adeiladau swyddfeydd y Cyngor gan mai'r adran Eiddo sy'n rheoli'r rheini.

2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

Gofynnodd GCIGA am adroddiad er mwyn archwilio'r effaith y mae cynyddu tâl parcio wedi'i gael ar ganol trefi o ran nifer yr ymwelwyr.

3. Beth yw'r Argymhellion?

Bod y Pwyllgor yn:

- i) Ystyried ac yn rhoi sylwadau ar gynnwys yr adroddiad.
- ii) Ystyried ac yn rhoi sylwadau ar y camau gweithredu arfaethedig a nodir yn Atodiad A.
- iii) Ystyried adroddiad arall mewn blwyddyn er mwyn edrych ar gynnydd.

4. Manylion am yr adroddiad

Cefndir

- 4.1 Mae'r prisiau parcio hen a newydd wedi'u nodi yn Atodiad B. Mae'r rhain yn adlewyrchu'r cynnydd tâl cyntaf ers Ebrill 2009 (h.y. 7 mlynedd)
- 4.2 Mae'r ffi am drwyddedau parcio wedi aros yr un fath, er enghraifft, mae trwydded flynyddol i'w defnyddio yn ein meysydd parcio arhosiad hir yn dal yn £104.34.
- 4.3 Mae'r cynllun sydd ar waith ers tro o ganiatáu i bob Cyngor Tref nodi 5 diwrnod o barcio am ddim yn eu tref pob blwyddyn yn parhau, fel y mae'r cynllun o gyflwyno parcio dyddiol am ddim ar ôl 3pm yn nghanol trefi yn ystod y 4 wythnos sy'n arwain at y Nadolig.
- 4.4 Pennaeth yr Amgylchedd a Phriffyrdd a benderfynodd gynyddu'r tâl parcio eleni, yn dilyn llunio Astudiaeth Rheoli Parcio a Thraffig Canol Trefi Sir Ddinbych ym mis Mawrth 2015 a thrafodaethau dilynol yn y Pwyllgor Archwilio Cymunedau ym mis

Gorffennaf 2015 ac yng nghyfarfod cyllideb Rhyddid a Hyblygrwydd gyda'r Aelodau ym mis Hydref 2015.

- 4.5 Y rheswm dros gynyddu'r tâl oedd (i) cynyddu incwm er mwyn mynd i'r afael â'r bwlch yn y gyllideb (nid yw incwm meysydd parcio i'r gyllideb wedi cyrraedd y targedau ers blynyddoedd ac mae hynny wedi creu pwysau sylweddol flwyddyn ar ôl blwyddyn ar y gyllideb), (ii) darparu refeniw digonol er mwyn gallu buddsoddi yn isadeiledd y meysydd parcio, fel peiriannau talu newydd, ac (iii) er mwyn rheoli parcio yn nghanol trefi yn well trwy gynyddu amllder mynd a dod mewn meysydd parcio arhosiad byr er mwyn cynyddu nifer y lleoedd sydd ar gael i siopwyr.
- 4.6 Wrth nesáu at benderfynu y dylid codi'r ffioedd, cadarnhaodd yr Aelodau y dylid parhau i godi tâl cyson ledled y Sir mewn meysydd parcio cyhoeddus.
- 4.7 Ond, yn ymarferol, mae amgylchiadau lleol yn golygu bod ffioedd gwahanol 'ar y llawr' (e.e. posibl i Gynghorau Tref, neu GAA cyn hynny, dalu rhywfaint o'r arian er mwyn cynnig ffioedd is mewn meysydd parcio penodol. Mae hyn wedi digwydd yn Rhuthun yn y gorffennol ac mae'n digwydd ar hyn o bryd ym Mhrestatyn a Dinbych. Yn achos Llangollen, gosodwyd ffi uwch ym maes parcio Heol y Farchnad er mwyn talu am aelod o staff i weithio fel Cynorthwywr Parcio Coetsis yn y maes parcio hwnnw am nifer o oriau yr wythnos).

Ymateb y Cyhoedd i gynyddu'r pris

- 4.8 Mae tua 35 cwyn/pryder gan y cyhoedd wedi cael eu hadolygu ers cyflwyno'r prisiau newydd. O'r rhain, roedd y nifer helaethaf yn cyfeirio'n benodol at Ddinbych, ac roedd cyfrannau cyfartal o'r gweddill yn cyfeirio'n benodol at y Rhyl, Prestatyn a Rhuthun.
- 4.9 Mae'r rhan fwyaf o'r cwynion/pryderon yn trafod yr effaith andwyol y mae cynyddu'r ffi wedi'i gael ar ganol rhai trefi penodol yn eu golwg nhw. Gan fod y nifer fwyaf wedi dod o Ddinbych, mae'n debyg bod cynyddu'r ffioedd wedi cael effaith anghyfartal yn y dref hon.
- 4.10 Bu Swyddogion mewn cyfarfod â GAA Dinbych a Chyngor Tref Dinbych i drafod y materion ynglŷn â chynyddu'r tâl. Arweiniodd hyn at Swyddogion yn cyflwyno rhai cynlluniau gyda phwerau wedi'u dirprwyo, fel cyflwyno rhai lleoedd parcio am ddim am yr awr gyntaf (2 awr mewn lleoedd anabl) mewn un maes parcio, dynodi Maes Parcio Arhosiad Byr yn un Arhosiad Hir, a chyflwyno cymhorthdal Cyngor Tref i amrywio ffioedd ym Maes Parcio Stryd y Dyffryn hyd at ddiwedd y flwyddyn ariannol hon, ac oddi ar hynny, o bosibl.

Monitro effaith o safbwynt maes parcio/refeniw

- 4.11 Cofnodir incwm parcio'n fisol ar gyfer pob maes parcio yn y Sir, ac mae hynny'n caniatáu gallu cymharu incwm rhwng mis Ebrill a mis Awst eleni â'r un cyfnod y llynedd. Mae'r ffigyrau cymharu i'w gweld yn Atodiad C.
- 4.12 Roedd gostyngiad bach yng nghyfanswm incwm pob maes parcio ym mis Ebrill 2016 o'i gymharu â mis Ebrill 2015, ond bu cynnydd incwm sylweddol yn y 4 mis wedyn.

4.13 Nid yw ffigyrau incwm ar eu pennau eu hunain yn cyfleu faint o ddefnydd a wneir o feysydd parcio, felly bu dadansoddi pellach er mwyn cymharu nifer y tocynnau a werthwyd. Oherwydd cyfyngiadau hen beiriannau tocynnau, mae hon wedi bod yn broses lafurus. Bydd buddsoddi mewn peiriannau talu ac arddangos modern yn y dyfodol yn caniatáu cael gwybodaeth o'r fath yn hawdd.

Cymharu gwerthiant tocynnau

4.14 Mae Atodiad D yn dangos cymhariaeth o werthiant tocynnau fesul maes parcio, tref a phris.

4.15 Mae data gwerthu tocynnau mis Ebrill eleni yn dangos gostyngiad o 31% yn nifer y tocynnau a werthwyd o gymharu â mis Ebrill y llynedd. Gellir egluro hyn oherwydd:

- i) Ymateb anffafriol i gynyddu'r prisiau yn y lle cyntaf
- ii) Tywydd oer a gwlyb anhymhorol yn ystod mis Ebrill eleni
- iii) Penwythnos Gŵyl y Banc y Pasg yn ystod mis Mawrth yn 2016 ond ym mis Ebrill yn 2015.

4.16 Gostyngodd nifer y tocynnau a werthwyd 9% rhwng 1 Mai a 31 Awst o gymharu â'r llynedd.

4.17 Nid yw'n anarferol i werthiant tocynnau amrywio rhywfaint o flwyddyn i flwyddyn, hyd yn oed heb newid pris (er enghraifft, gwerthwyd 7.6% yn llai o docynnau ym mis Mehefin 2014 nag ym mis Mehefin 2015).

4.18 Mae gwerthiant Trwyddedau Parcio wedi cynyddu 18% hyd yma yn y flwyddyn ariannol hon, o gymharu â'r un cyfnod y llynedd. Gan na chododd prisiau'r trwyddedau, mae'n amlwg bod mwy o drigolion wedi prynu trwyddedau eleni, a bydd hynny, wrth gwrs, yn lleihau gwerthiant tocynnau.

4.19 O ganlyniad i'r gwahaniaeth sylweddol rhwng mis Ebrill a'r misoedd eraill, a'r gogwydd y mae posibl i'r gwahaniaeth hwnnw ei greu yn y data, mae Atodiad D yn cynnwys dau dabl. Mae Tabl 1 yn dangos y data gan gynnwys mis Ebrill ac mae Tabl 2 yn dangos y data hebdo.

4.20 O gymharu gwerthiant tocynnau rhwng 1 Mai a 31 Awst 2016 â'r un cyfnod yn 2015, nid yw gwerthiant tocynnau 30 munud wedi newid llawer, mae gwerthiant tocynnau 1 awr wedi cynyddu 7% ac mae gwerthiant tocynnau trwy'r dydd wedi cynyddu 124%.

4.21 Mae gwerthiant tocynnau 3 awr (4 awr o'r blaen) wedi gostwng bron i 32%. Nid oes amheuaeth nad yw'r gostyngiad sylweddol hwn o ganlyniad i gynyddu'r ffioedd a byrhau hyd y band tâl hwnnw o 4 awr i 3 awr. Yng nghyd-destun data arall, mae'n debygol fod yn canlynol yn digwydd:

- i) Ar sail tystiolaeth anffurfiol flaenorol a nifer o'r cwynion a dderbyniwyd ers mis Ebrill 2016, roedd rhai pobl sy'n gweithio yn nghanol ein trefi yn arfer prynu dau docyn 4 awr; un yn y bore ac un yn ystod amser cinio er mwyn parcio trwy'r dydd, un ai mewn maes parcio arhosiad byr neu faes parcio arhosiad hir, am gyfanswm o £2.00 (£1.00 am bob tocyn 4 awr), ond bellach nid oes

modd gwneud hyn gan ein bod wedi cynyddu'r gost a byrhau hyd y band tâl hwn o 4 awr i 3 awr. Ers newid y pris, mae'n debygol bod yr unigolion hyn un ai wedi prynu trwydded barcio flynyddol yn lle; wedi dod o hyd i leoliad gwahanol i barcio am ddim; neu yn hytrach wedi dechrau prynu tocynnau trwy'r dydd.

- ii) Mae hi hefyd yn debygol bod rhai'n prynu tocyn 1 awr yn lle tocyn 3 awr, gan ymdrin â'u busnes yn gynt, lle gallent fod wedi prynu tocyn 4 awr ac aros am fwy o amser yng nghanol y dref yn y gorffennol.

4.22 Mae'r llun rhwng Trefi gwahanol yn y Sir hyd yn oed yn fwy cymhleth. Nid yw Rhuthun na Llangollen wedi profi newid sylweddol yn nifer y tocynnau sy'n cael eu gwerthu o gymharu â'r llynedd, ond mae gwerthiant tocynnau yn y Rhyl, Dinbych, Prestatyn a Rhuddlan wedi gostwng 24%, 18%, 10% ac 18% yn y drefn honno.

4.23 Mae'n amlwg mai yn y Rhyl y mae'r gwerthiant tocynnau wedi gostwng fwyaf, ond ni chafwyd llawer o gwynion am hyn o gymharu â lleoedd eraill yn y Sir. Un eglurhad posib' yw fod gan y Rhyl fwy o leoliadau parcio gwahanol, gan gynnwys meysydd parcio preifat (e.e. Canolfan y Rhosyn Gwyn ac Archfarchnad Morrison's); nifer sylweddol o leoedd parcio am ddim ar y stryd ac arnynt gyfyngiad amser; a pharcio am ddim ar y stryd heb gyfyngiadau ychydig y tu allan i ganol y dref.

Arolwg busnes mewn perthynas ag effaith cynyddu'r prisiau.

4.24 Cynhaliodd y Tîm Datblygu Economaidd a Busnes arolwg 'clipiau sain' byr o fusnes ar draws y Sir ym mis Mehefin er mwyn derbyn adborth sy'n canolbwyntio ar gynyddu'r ffioedd. Gweler Atodiad E.

Casgliad

4.25 Ar sail ein dadansoddiadau o incwm a dderbyniwyd a chyfanswm y tocynnau a werthwyd, mae effaith cynyddu'r pris ledled y Sir yn gyffredinol wedi bod yn llai nag yr oedd nifer yn ei disgwyl, er gwaethaf yr ymateb anffafriol a fu yn y dechrau ym mis Ebrill yn syth ar ôl cynyddu'r ffi. Mae hyn yn cyd-fynd â chanfyddiadau ymchwil blaenorol i archwilio'r cysylltiad rhwng parcio a manwerthu yng nghanol y dref, gan gynnwys astudiaeth LIC, "Asesu Effaith Ffioedd Meysydd Parcio ar y Nifer sy'n Siopa yng Nghanol y Dref".

4.26 Fodd bynnag, ystyrir bod llawer o le i wella ein cyfleusterau a'n systemau parcio o hyd; mae Atodiad A yn rhestru ymyraethau posib' er mwyn gwneud hynny.

5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?

Datblygu'r economi leol – rheoli parcio yng nghanol y dref yn well er mwyn cynyddu mynd a dod o'r lleoedd parcio a nifer y lleoedd sydd ar gael mewn meysydd parcio arhosiad byr, yn enwedig.

6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?

Fe gostiodd cynyddu'r ffioedd tua £11,000. Roedd cyfran fwyaf yr arian hwn yn mynd at gost ailraglennu'r peiriannau talu ac arddangos. Roedd incwm y peiriannau talu ac

arddangos £193,225 yn uwch rhwng 1 Ebrill a 31 Awst nag oedd yn ystod yr un cyfnod yn 2015 (mewn meysydd parcio ar draethau a meysydd parcio talu ac arddangos).

7. Beth yw prif gasgliadau yr Asesiad o Effaith ar Les? Gellir lawrlwytho adroddiad yr Asesiad o Effaith ar Les o'r wefan a dylid ei ychwanegu fel atodiad i'r adroddiad.

2 Seren. Sgôr wirioneddol: 12 allan o 24. Cyfeiriwch at Atodiad F.

8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?

Cyflwynwyd papur i GCIGA ym mis Gorffennaf 2016 a arweiniodd at ofyn am yr adroddiad hwn.

9. Datganiad y Prif Swyddog Cyllid.

Mae'r meysydd parcio wedi gorwario tua £150,000 yn gyson dros y blynyddoedd diwethaf. Yn ystod y cyfnod hwn, mae'r gwasanaeth hefyd wedi methu â darparu'r arian angenrheidiol i fuddsoddi yn isadeiledd y meysydd parcio, gan olygu bod llawer o waith bellach angen ei wneud. Bydd yr incwm ychwanegol sy'n dod o newid y ffioedd parcio yn cael ei ddefnyddio, yn gyntaf, i lenwi bwlch incwm y gorffennol er mwyn talu'r costau cynnal. Bydd unrhyw incwm ychwanegol pellach yn cael ei ddefnyddio i fuddsoddi mewn meysydd parcio ac isadeiledd priffyrdd yn ehangach.

10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?

Peidio â chydabod mai ein meysydd parcio yw pyrth ein trefi, gan geisio cadw cydbwysedd rhwng hynny a'r angen i sicrhau bod incwm yn ariannu gwelliannau a gwaith cynnal a chadw pob dydd.

11. Pŵer i wneud y Penderfyniad

Deddf Rheoleiddio Traffig y Ffyrdd 1984

Mae Adran 7.4.2. o Gyfansoddiad y Cyngor yn amlinellu pwerau'r Pwyllgor Archwilio o ran archwilio effaith penderfyniadau a rhoi polisiau ar waith.

Mae tudalen hwn yn fwriadol wag

APPENDIX A – RECOMMENDATION 3(ii)

Suggested parking interventions to implement or to explore further to assess their viability

1. The Council retains the existing County-wide charging scheme, (see Appendix B).
2. Officers can amend the management arrangements in car parks, including introducing variations to the County-wide charging scheme, through discussions with MAGs, Town Councils and the Lead Member.
3. Officers to attend each of the six MAGs over the next six months (October 2016 to March 2017) to discuss the management arrangements for the car parks in their area.
4. Develop a car park asset management plan to help prioritise investment, to include more modern pay and display machines; improved signage; improved general maintenance, environmental improvements including additional planting etc.
5. Explore options for using parking payment machines to issue vouchers for use in local shops, cafes and Council facilities. This could range from simple printed vouchers that print on the rear of every ticket to more sophisticated payment machines that offer multiple options.
6. Make pay and display tickets transferable between car parks within the County to improve flexibility especially for visitors, so someone could buy an all-day ticket in one car park, which would allow parking that day in any other Council car park across Denbighshire.
7. Explore the expansion of the existing parking permit system to include more options aimed at tourists. For example, parking permits with a duration of one week, or one weekend could be sold in local newsagents, as they do in places like Jersey.
8. Look at options for hotel and B&B parking voucher schemes which would allow hoteliers to issue their guests with a permit/parking voucher to cover the duration of the stay, and avoid instances of guests having to go out to buy a pay and display ticket first thing in the morning to avoid receiving a parking fine.
9. Better promote the annual long stay parking permit and consider the introduction of payment in instalments.

Mae tudalen hwn yn fwriadol wag

Appendix B – Comparison of old and new parking tariffs, including current subsidised parking tariffs

TABLE 1 - Short Stay car parks				
Morley Road, Railway Station, Morfa Hall, Rhyl; King's Avenue, Prestatyn; Market Street, Ruthin				
Previous Tariff Costs			New Tariff Costs (as of 1st April 2016)	
30 mins	10p		30 mins	30p
1 hour	50p		1 hour	£1.00
4 hours	£1.00		3 hours	£2.00
All Day	£7.00		All Day	£3.50

TABLE 2 - Short Stay car parks				
Market Street, Llangollen				
Previous Tariff Costs			New Tariff Costs (as of 1st April 2016)	
30 mins	10p		30 mins	30p
1 hour	50p		1 hour	£1.00
4 hours	£1.00		3 hours	£2.50
All Day	£7.00		All Day	£3.50

TABLE 3 – Short Stay On-street Parking				
St Peter's Square, Ruthin				
Previous Tariff Costs			New Tariff Costs (as of 1st April 2016)	
45 mins	50p		45 mins	50p
4 hours	£1.00			

TABLE 4 - Long Stay car parks				
West Kinmel Street, Rhyl; Parliament Street, Rhuddlan; Lower High Street, Coronation Gardens, Prestatyn; East Street, Mill Street, Hall Street, Royal Pavilion, Brook Street, Llangollen; Dog Lane, Rhos Street, Troed y Rhiw, Cae Ddol, Park Road, Ruthin; Factory Ward, Post Office Lane, Crown Lane, Multistorey, Denbigh; Green Lane, Corwen; Bowling Green, St Asaph.				
Previous Tariff Costs			New Tariff Costs (as of 1st April 2016)	
30 mins	10p		30 mins	30p
1 hour	50p		1 hour	£1.00
4 hours	£1.00		3 hours	£1.50
All Day	£3.50		All Day	£3.50

Subsidised Car Parks

TABLE 5 – Subsidised Short Stay car parks				
Vale Street, Denbigh				
Previous Tariff Costs* (Prior to 1st April 2016)			New Subsidised Tariff Costs (as of 1st September 2016)	
30 mins	10p		30 mins	30p
1 hour	50p		2 hours	£1.00
4 hours	£1.00		3 hours	£2.00
All Day	£7.00		All Day	£3.50
Between 1st April 2016 and 31st August 2016, tariff costs were the same as the new costs in Table 1				
Since 1st September, Denbigh Town Council have been subsidising the car park so that the second tariff band is for 2 hours instead of 1 hour.				

TABLE 6 – Subsidised Long Stay car parks	
Central Car Park, Fern Avenue, Prestatyn	
These car parks are completely free to the public because they are fully subsidised by Prestatyn Town Council.	

APPENDIX C
Comparison of Pay and Display Income before and after parking charge increase

		2015-16	2016-17	Increase in income
		1st April to 31st August 2015	1st April to 31st August 2016	
TOWN C/PKS				
MORLEY RD	RHYL	£21,184	£28,696	£7,512
WEST K/ST		£7,610	£9,471	£1,861
MORFA HL		£5,479	£5,286	-£193
RHYL RAIL		£2,990	£3,997	£1,007
SUB-TOTAL		£37,263	£47,450	£10,187
PARL ST				
	RHUDDLAN	£4,728	£6,160	£1,432
KING'S AVE				
	PRESTATYN	£10,135	£13,865	£3,730
LOWER HIGH ST		£6,392	£10,875	£4,483
CORONATION G		£3,634	£4,144	£510
SUB-TOTAL		£20,161	£28,884	£8,723
MARKET ST				
	LLANG'LL	£38,444	£79,475	£41,031
EAST ST		£16,805	£22,863	£6,058
HALL ST		£5,589	£5,876	£287
MILL ST		£17,031	£24,239	£7,208
BROOK ST		£1,615	£1,545	-£70
PAVILION		£6,675	£11,152	£4,477
SUB-TOTAL		£86,159	£145,150	£58,991
ST PETER SQ				
	RUTHIN	£4,506	£4,486	-£20
MARKET ST		£11,892	£24,411	£12,519
DOG LANE		£4,532	£7,812	£3,280
RHOS ST		£908	£806	-£102
TROED Y R		£1,311	£1,977	£666
CRISPIN Y		£4,226	£7,858	£3,632
PARK RD		£1,750	£3,500	£1,750
SUB-TOTAL		£29,125	£50,850	£21,725
FACTRY W				
	DENBIGH	£20,226	£26,140	£5,914
VALE ST		£8,781	£14,684	£5,903
POST OFF L		£1,305	£1,667	£362
CROWN LN		£836	£1,271	£435
MULTI ST		£2,482	£3,035	£553
SUB-TOTAL		£33,630	£46,797	£13,167
GREEN LANE				
	CORWEN	£5,922	£10,671	£4,749
BOWLING G				
	ST ASAPH	£3,100	£5,037	£1,937
TOWN CNTR TOTAL		£220,088	£340,999	£120,911

Mae tudalen hwn yn fwriadol wag

APPENDIX D - TABLE 1 - COMPARISON OF PAY AND DISPLAY TICKET SALES (1st APRIL - 31st AUGUST)

		Pay and Display Ticket Sales					Pay and Display Ticket Sales					Change in Pay and Display Ticket Sales				
		1st April to 31st August 2015-16					1st April to 31st August 2016-17									
		Band 1	Band 2	Band 3	Band 4	Total tkts	Band 1	Band 2	Band 3	Band 4	Total tkts	Band 1	Band 2	Band 3	Band 4	Total tkts
TOWN C/PKS																
MORLEY RD	RHYL	1,751	4,502	18,758	0	25,011	1,592	6,671	9,814	274	18,352	-158	2169	-8944	274	-6,659
WEST K/ST		382	1,683	5,124	459	7,648	436	1,329	2,322	1,294	5,380	53	-354	-2802	835	-2,268
MORFA HL		1,134	2,116	4,308	0	7,557	1,773	4,636	25	10	6,444	639	2520	-4283	10	-1,113
RHYL RAIL		868	734	1,602	133	3,337	680	850	895	165	2,590	-187	116	-707	31	-747
TOTAL		4,134	9,035	29,792	592	43,553	4,482	13,486	13,056	1,742	32,766	347	4451	-16736	1150	-10,787
												8.40%	49.27%	-56.18%	194.15%	-25%
PARL ST	RHUDDLAN	1,604	1,604	3,766	0	6,973	1,238	1,860	2,181	188	5,466	-366	256	-1584	188	-1,507
												-22.8%	16.0%	-42.1%		-22%
KING'S AVE	PRESTATYN	10,453	6,363	5,908	0	22,724	9,983	6,182	2,269	22	18,455	-471	-181	-3640	22	-4,270
LOWER HIGH ST		986	1,365	5,080	152	7,582	1,497	2,642	4,297	383	8,818	511	1277	-784	231	1,236
CORONATION G		2,343	1,371	1,714	286	5,714	1,772	1,217	913	293	4,194	-571	-155	-802	8	-1,519
TOTAL		13,782	9,099	12,703	437	36,020	13,251	10,040	7,478	698	31,467	-530	941	-5225	260	-4554
												-3.8%	10.3%	-41.1%	59.5%	-13%
MARKET ST	LLANG'LL	1,620	6,077	32,408	405	40,510	2,773	13,372	21,755	1,555	39,454	1152	7295	-10653	1150	-1,056
EAST ST		228	683	8,078	2,389	11,378	343	1,102	5,494	3,834	10,772	116	419	-2585	1444	-606
HALL ST		596	1,030	3,307	488	5,421	460	665	1,598	764	3,488	-136	-365	-1709	277	-1,933
MILL ST		131	1,183	9,987	1,840	13,141	314	1,199	5,873	4,039	11,425	183	16	-4114	2199	-1,716
BROOK ST		129	129	1,035	144	1,437	65	165	472	186	889	-64	36	-563	43	-548
PAVILION		175	642	4,497	526	5,840	147	379	3,096	1,739	5,361	-28	-263	-1401	1213	-479
TOTAL		2,880	9,744	59,312	5,791	77,727	4,102	16,881	38,288	12,117	71,388	1222	7138	-21024	6326	-6339
												42.4%	73.3%	-35.4%	109.2%	-8%
ST PETER SQ	RUTHIN	9,012				9,012	8,972				8,972	-40				-40
MARKET ST		4,574	11,611	704	704	17,592	5,694	7,971	7,078	82	20,825	1120	-3640	6374	-621	3,233
DOG LANE		1,225	6,288	408	245	8,166	1,395	1,507	2,826	471	6,198	170	-4781	2417	226	-1,967
RHOS ST		264	1,410	53	35	1,763	211	112	280	60	663	-53	-1299	227	25	-1,100
TROED Y R		266	1,370	133	133	1,903	205	380	609	178	1,372	-61	-990	476	44	-530
CRISPIN Y		3,167	6,136	495	99	9,897	2,243	2,161	2,627	310	7,340	-924	-3975	2132	211	-2,556
PARK RD		722	2,598	253	36	3,608	394	512	1,304	261	2,471	-328	-2086	1051	225	-1,137
TOTAL		19,230	29,413	2,045	1,252	51,941	19,115	12,642	14,724	1,362	47,842	-116	-16770	12678	110	-4098
												-0.6%	-57.0%	619.8%	8.8%	-8%
FACTRY W	DENBIGH	12,752	7,439	15,231	0	35,422	9,665	7,272	5,697	654	23,287	-3087	-167	-9535	654	-12,135
VALE ST		8,062	2,980	6,485	0	17,527	9,723	7,651	1,902	45	19,320	1660	4672	-4583	45	1,793
POST OFF L		1,043	485	873	24	2,426	471	339	292	214	1,316	-572	-146	-581	189	-1,109
CROWN LN		240	185	643	22	1,090	241	235	278	156	910	1	49	-365	134	-180
MULTI ST		57	128	769	470	1,423	58	109	450	638	1,255	1	-19	-319	168	-168
TOTAL		22,154	11,217	24,001	516	57,888	20,157	15,607	8,619	1,706	46,088	-1998	4390	-15382	1191	-11,799
												-9.0%	39.1%	-64.1%	230.9%	-20%
GREEN LANE	CORWEN	9,359	3,529	2,148	307	15,342	6,620	3,620	2,025	579	12,844	-2739	91	-123	273	-2,498
												-29.3%	2.6%	-5.7%	88.8%	-16%
BOWLING G	ST ASAPH	922	1,361	2,020	88	4,391	1,124	1,607	1,724	145	4,600	202	246	-296	57	209
												21.9%	18.1%	-14.7%	64.9%	5%
TOWN CNTR TOTAL		74,065	75,000	135,786	8,984	293,835	70,087	75,743	88,094	18,537	252,461	-3,978	742	-47,692	9,554	-41,374
												-5.4%	1.0%	-35.1%	106.3%	-14%

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Mae tudalen hwn yn fwiadol wag

APPENDIX D - TABLE 2 - COMPARISON OF PAY AND DISPLAY TICKET SALES (1st MAY - 31st AUGUST)

		Pay and Display Ticket Sales					Pay and Display Ticket Sales					Change in Pay and Display Ticket Sales				
		1st May to 31st August 2015-16					1st May to 31st August 2016-17									
		Band 1	Band 2	Band 3	Band 4	Total tkts	Band 1	Band 2	Band 3	Band 4	Total tkts	Band 1	Band 2	Band 3	Band 4	Total tkts
TOWN C/PKS																
MORLEY RD	RHYL	1,391	3,578	14,909	0	19,878	1,213	5,083	7,478	209	13,983	-178	1505	-7431	209	-5,895
WEST K/ST		307	1,351	4,114	368	6,140	413	1,261	2,204	1,228	5,107	106	-90	-1910	860	-1,033
MORFA HL		920	1,717	3,495	0	6,131	1,420	3,713	20	8	5,160	500	1996	-3475	8	-971
RHYL RAIL		718	608	1,326	111	2,763	628	784	825	152	2,388	-91	176	-501	41	-375
TOTAL		3,337	7,253	23,844	479	34,913	3,674	10,841	10,527	1,597	26,639	338	3587	-13316	1118	-8,274
												10.12%	49.46%	-55.85%	233.41%	-24%
PARL ST	RHUDDLAN	1,328	1,328	3,118	0	5,774	1,070	1,608	1,886	162	4,727	-258	280	-1232	162	-1,047
												-19.4%	21.1%	-39.5%		-18%
KING'S AVE	PRESTATYN	8,324	5,067	4,705	0	18,096	8,275	5,125	1,881	18	15,299	-49	58	-2824	18	-2,798
LOWER HIGH ST		852	1,180	4,391	131	6,554	1,293	2,281	3,710	330	7,614	441	1101	-681	199	1,060
CORONATION G		1,839	1,077	1,346	224	4,486	1,456	1,000	750	241	3,446	-383	-77	-596	17	-1,039
TOTAL		11,016	7,323	10,442	355	29,136	11,024	8,405	6,341	589	26,359	8	1082	-4101	234	-2777
												0.1%	14.8%	-39.3%	65.9%	-10%
MARKET ST	LLANG'LL	1,296	4,860	25,919	324	32,398	2,385	11,501	18,711	1,337	33,934	1089	6641	-7208	1013	1,535
EAST ST		179	538	6,369	1,884	8,970	294	943	4,703	3,282	9,222	114	405	-1666	1398	251
HALL ST		482	833	2,674	395	4,384	398	576	1,385	662	3,022	-84	-257	-1289	268	-1,362
MILL ST		105	945	7,982	1,470	10,502	271	1,034	5,066	3,484	9,854	166	89	-2916	2013	-648
BROOK ST		91	91	732	102	1,016	57	144	412	163	776	-35	53	-319	61	-240
PAVILION		121	443	3,104	363	4,031	124	321	2,621	1,472	4,539	3	-122	-483	1109	507
TOTAL		2,275	7,711	46,779	4,537	61,302	3,529	14,519	32,898	10,400	61,346	1254	6808	-13882	5863	44
												55.1%	88.3%	-29.7%	129.2%	0%
ST PETER SQ	RUTHIN	6,632				6,632	7,580				7,580	948				948
MARKET ST		3,757	9,538	578	578	14,451	4,566	6,392	5,676	66	16,701	809	-3145	5098	-512	2,250
DOG LANE		959	4,925	320	192	6,396	1,079	1,166	2,186	364	4,796	120	-3760	1866	172	-1,601
RHOS ST		197	1,050	39	26	1,313	137	72	182	39	430	-60	-978	142	13	-882
TROED Y R		170	874	85	85	1,213	189	351	562	164	1,266	20	-523	477	79	53
CRISPIN Y		2,358	4,568	368	74	7,368	2,056	1,981	2,408	284	6,729	-302	-2587	2040	210	-639
PARK RD		498	1,792	174	25	2,489	335	436	1,110	222	2,105	-162	-1355	936	198	-384
TOTAL		14,571	22,747	1,565	980	39,862	15,944	10,398	12,125	1,140	39,606	1373	-12348	10560	160	-256
												9.4%	-54.3%	674.9%	16.3%	-1%
FACTRY W	DENBIGH	10,143	5,917	12,115	0	28,175	7,860	5,914	4,633	532	18,938	-2283	-3	-7483	532	-9,237
VALE ST		6,464	2,389	5,199	0	14,052	8,104	6,377	1,585	37	16,103	1640	3989	-3614	37	2,051
POST OFF L		882	410	738	21	2,050	316	228	196	144	884	-565	-182	-542	123	-1,166
CROWN LN		170	131	455	15	771	188	183	217	122	711	18	52	-237	107	-60
MULTI ST		44	99	592	362	1,096	45	85	350	496	976	1	-13	-242	135	-119
TOTAL		17,702	8,945	19,099	398	46,144	16,513	12,788	6,982	1,331	37,613	-1189	3842	-12117	933	-8,531
												-6.7%	43.0%	-63.4%	234.8%	-18%
GREEN LANE	CORWEN	7,475	2,818	1,716	245	12,254	5,864	3,206	1,794	513	11,377	-1611	388	78	268	-877
												-21.6%	13.8%	4.6%	109.4%	-7%
BOWLING G	ST ASAPH	763	1,126	1,671	73	3,632	969	1,386	1,486	125	3,966	206	260	-184	52	334
												27.1%	23.1%	-11.0%	72.0%	9%
TOWN CNTR TOTAL		58,466	59,252	108,233	7,066	233,017	58,587	63,151	74,038	15,857	211,632	121	3,899	-34,195	8,791	-21,384
												0.2%	6.6%	-31.6%	124.4%	-9%

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Mae tudalen hwn yn fwiadol wag

Appendix D

Business Survey

1. Introduction:

- 1.1 In June EBD Officers of the Council approached a number of businesses to ask their views on the increase in car parking charges. Given the level of complaints/concerns received from Denbigh as a result of the increase, a larger number of business in Denbigh were approached compared to other towns.

In total 26 business were approached, broken down as follows;

Denbigh	8
Ruthin	2
Rhyl	5
Prestatyn	3
Llangollen	3
Corwen	2
St Asaph	1
Rhuddlan	2

- 1.2 Contact was made either over the telephone or face to face. They were asked whether they were aware of the increase in car parking charges and whether the impact had any impact on their business. Officers also viewed some of the complaints/comments received and reviewed some of the relevant content on social media.

2. Summary of Responses Received:

Responses received varied across the Council, as expected given the diversity of our towns.

2.1 Denbigh:

Feedback has been received from the businesses contacted, the business group, Town Council and social media.

Almost all of the businesses contacted strongly felt there had been a drop in footfall in the town over the three months and in the usage of the car parks, all but one of the 8 businesses reported that their trade had been negatively impacted by this.

From those businesses approached, estimates of the decline in takings varied between 5% and 30% for the period April-June this year compared to last year. We were provided with takings information from one business on the High Street which showed a decline of 22.5% in June 2016 from June 2015 as well

as a decline in daily transactions. The information on daily transactions actually showed a steady decline from 2000, suggesting that parking charges are not the main impact on reduction in takings.

There were concerns on the wider impact of the car park pricing, with anecdotal evidence of regular customers no longer visiting the town as well as those visiting the town for other purposes e.g. baby groups and library users not paying to park for longer and thus not spending time on the High Street, resulting in loss of passing trade.

Reference was made to four shops which are “on the brink of closure”.

There was mention that the parking price increases may have disproportionately impacted upon those with disabilities and reduced mobility.

The increases have also reportedly had an impact upon business owners and staff parking, with the result being many of them appear to now park on side streets, in residential areas or use the free parking at Lidl.

2.2 Ruthin:

Whilst the feeling was that footfall was declining, and businesses were struggling it was not being so strongly linked solely to the parking charges.

It was noted that there had been a steady decline in passing footfall over a number of years, but the recent increases in charges had perhaps had more impact on “customer morale” and on the image of our town centres, resulting in a potential loss of passing trade.

There were some concerns that customers are receiving parking tickets as they have not noticed that the charges have increased.

2.3 Rhyl:

No negative comments from most of the businesses regarding the impact of the increased charges. The main shoppers car park in Rhyl is likely to be the White Rose Centre, which is why changes in DCC pricing may have been less of an issue for businesses.

There was negative comments on the condition of car parks, signage, availability of on street parking and drop off/pick up locations. Car parks were described as unattractive places to park that did not instil confidence in shoppers.

There was a feeling that free car parking could draw in more shoppers.

2.4 Prestatyn:

No negative comments made regarding the impact of the increased charges.

Comments arose on issues with congestion on weekends and lack of spaces on the shopping park, as well as problems with finding long-stay parking for staff.

There is currently a large amount of free parking in Parc Prestatyn and Ty Nant.

2.5 Llangollen:

A mixed response and although there weren't any concerns noted regarding a fall in car park usage, it was felt that the increased charges could put tourists off from visiting again, an impact which perhaps won't be felt until later in the year.

Has impacted upon staff parking and displaced these cars to neighbouring streets.

2.6 Rhuddlan:

Not aware of the changes, no impacts noted.

2.7 St Asaph:

Not aware of the changes, no impacts noted.

2.8 Corwen:

No impacts noted.

3 General:

Car parking charges are only one of a complex array of factors that impact on the vitality of our town centres. Generally our town centres, like many across the Country, are facing challenging times with both wider evidence and commentary pointing to an ongoing, long term decline in retail on the high street. Our high street businesses face pressures from:

- Time available for shopping
- Worries about the economic outlook
- Retail savvy consumers who use the internet to secure value for money purchases
- Out of town locations with free parking, easy access, greater choice and more space from which to deliver the shopping experience
- Increased proportions of spending on household bills, leisure and eating out rather than goods
- Increased competition

As such, all aspects of the customer *experience* take on an enhanced importance e.g. street cleanliness, ease of movement, ambience, time taken, opening hours, mobile connectivity, car parking, quality of service, price etc. Small changes in these 'experience' factors are likely to impact on visitor

numbers, but attributing a decline to any one specific factor is probably not possible.

Indeed a report was prepared for WG in March 2015 entitled, "Assessing the Impact of Car Parking Charges on Town Centre Footfall". That report is very helpful in understanding the issue, and it states;

"Car park charging is often perceived, particularly amongst businesses as being a key determinant for changes in footfall levels in town and city centres.....However, the available evidence is almost entirely anecdotal."

"Beyond anecdote, there is very little published evidence which links changes in car park charges to changes in town centre footfall."

3.1 Public Transport visits to our Town Centres;

Passenger transport usage figures for free travellers is down 6.2% in the South of the County and 3% in the North of the County for June this year compared to June last year, indicating that fewer people are arriving into the towns on the bus services.

Parking Charge Increase

Wellbeing Impact Assessment Report

This report summarises the likely impact of a proposal on the social, economic, environmental and cultural well-being of Denbighshire, Wales and the world.

Assessment Number:	58
Brief description:	The impact of the parking charge increase on town centre businesses
Date Completed:	Version: 0
Completed by:	
Responsible Service:	
Localities affected by the proposal:	Whole County,

IMPACT ASSESSMENT SUMMARY AND CONCLUSION

Before we look in detail at the contribution and impact of the proposal, it is important to consider how the proposal is applying the sustainable development principle. This means that we must act "in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs."

Score for the sustainability of the approach

Could you do more to make your approach more sustainable?
(2 out of 4 stars)

Actual score : 12 / 24.

Summary of impact

Wellbeing Goals

A prosperous Denbighshire	Neutral
A resilient Denbighshire	Neutral
A healthier Denbighshire	Neutral
A more equal Denbighshire	Negative
A Denbighshire of cohesive communities	Positive
A Denbighshire of vibrant culture and thriving Welsh language	Neutral
A globally responsible Denbighshire	Neutral

Main conclusions

THE LIKELY IMPACT ON DENBIGHSHIRE, WALES AND THE WORLD

A prosperous Denbighshire

Overall Impact	Neutral
Justification for impact	A greater turnover of parking spaces will boost local shops. However, this could be countered by people choosing not to shop in town centres as often, or for as long, because of the increased cost of parking.

Positive consequences identified:

Will encourage turn over of parking spaces thus increasing the availability of conveniently-located spaces for shoppers
 Additional revenue will allow investment in more modern parking machine technology, offering more flexible payment methods

Unintended negative consequences identified:

May discourage some motorists from visiting a town centre they previously shopped in

Mitigating actions:

Complementary measures such as the free parking spaces in Ruthin and Denbigh help mitigate some of the negatives and this could be rolled out to cover more towns.

A resilient Denbighshire

Overall Impact	Neutral
Justification for impact	Very little impact in terms of resilience

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

A healthier Denbighshire

Overall Impact	Neutral
Justification for impact	No impact

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

A more equal Denbighshire

Overall Impact	Negative
Justification for impact	Only impact is potential negative on people with lower income

Positive consequences identified:

Unintended negative consequences identified:

Increased parking costs could have more impact upon people with a lower income

Mitigating actions:

Free spaces in some car parks provide some alternative

A Denbighshire of cohesive communities

Overall Impact	Positive
Justification for impact	Increased investment with benefit appearance of area

Positive consequences identified:

Additional revenue will allow an increase in the car park maintenance budget to improve the physical attractiveness of our car parks

Unintended negative consequences identified:

Mitigating actions:

Car Park Asset Management Plan will maximise investment by helping to prioritise expenditure

A Denbighshire of vibrant culture and thriving Welsh language

Overall Impact	Neutral
Justification for impact	No impact

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

A globally responsible Denbighshire

Overall Impact	Neutral
Justification for impact	No impact

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Archwilio Cymunedau
Dyddiad y Cyfarfod:	27 Hydref 2016
Aelod / Swyddog Arweiniol:	Y Cynghorydd David Smith / Graham Boase
Awdur yr Adroddiad:	Mike Jones
Teitl:	Y broses, y fethodoleg a'r meini prawf ar gyfer ymgymryd ag Archwiliadau Diogelwch Ffyrdd mewn perthynas â cheisiadau cynllunio

1. Am beth mae'r adroddiad yn sôn?

Egluro'r broses, y fethodoleg a'r meini prawf ar gyfer ymgymryd ag Archwiliadau Diogelwch Ffyrdd sy'n ymwneud â cheisiadau cynllunio.

2. Beth yw'r rheswm dros lunio'r adroddiad hwn?

Edrych ar y broses, y fethodoleg a'r meini prawf a ddefnyddir ar gyfer Archwilio Diogelwch Ffyrdd ac a ydynt yn cael eu rhoi ar waith yn briodol ac yn gyson mewn perthynas â cheisiadau cynllunio a dderbynnir yn Sir Ddinbych.

3. Beth yw'r Argymhellion?

Bod y Pwyllgor yn ystyried ac yn rhoi sylwadau ar gynnwys yr adroddiad.

4. Manylion am yr adroddiad

Cefndir

4.1 Bydd gan fathau ceisiadau cynllunio penodol sy'n cael eu cyflwyno i'r Cyngor er mwyn penderfynu arnynt effeithiau posibl ar rwydwaith y priffyrdd. Bydd ar swyddogion cynllunio angen gwybodaeth arbenigol gan swyddogion priffyrdd o Adain Traffig, Parcio a Diogelwch Ffyrdd wrth benderfynu ar geisiadau o'r fath. Bydd yr sylwadau gan swyddogion priffyrdd yn cael eu hystyried wrth benderfynu ar gais cynllunio a bydd swyddogion priffyrdd perthnasol yn dod i Bwyllgorau Cynllunio, pan fo angen.

4.2 Wrth asesu goblygiadau cynnig cais cynllunio ar y briffordd, bydd swyddogion priffyrdd yn defnyddio ystod o ddulliau, gan ddibynnu ar faint a natur yr hyn sy'n cael ei geisio. Un dull felly yw "Archwiliad Diogelwch Ffyrdd" (ADFF).

Beth yw Archwiliad Diogelwch Ffyrdd?

4.3 Mae ADFF yn archwiliad arbenigol sydd wedi'i gynllunio er mwyn asesu diogelwch cynigion i addasu'r briffordd, ac nid er mwyn asesu effaith y cynnig datblygu ar ddiogelwch priffyrdd. Mae manylion ynglŷn ag ADFFau wedi'u cynnwys yn y ddogfen

"Cynllunio Priffyrdd 19/15" sy'n ffurfio rhan o "*Lawlyfr Cynllunio ar gyfer Ffyrdd a Phontydd*" y Llywodraeth Ganolog. Mae Copi o CP19/15 wedi'i ddarparu yn Atodiad A yr adroddiad hwn. Mae'r llawlyfr yn ddogfen dechnegol ac mae'n gwneud ADFfau yn ofynnol ar gyfer gwelliannau i briffyrdd sydd ar rwydwaith y Cefnffyrdd a'r Traffyrdd. Er nad yw'n ofynnol ar weddill rhwydwaith y ffyrdd, mae'r Cyngor, fel y rhan fwyaf o awdurdodau priffyrdd eraill, yn defnyddio ADFfau i asesu diogelwch gwaith gwella ar briffordd.

- 4.4 Diben ADFf yw darparu "gwiriad diogelwch" annibynnol o waith gwella sy'n cael ei gynnig ar briffyrdd wrth gynllunio ac ar ôl y gwaith adeiladu. Wrth wneud yr archwiliad yn ystod y cam cynllunio, gall ddwyn unrhyw broblemau diogelwch posibl i'r golwg yn gynnar yn y broses. Maent yn cael eu defnyddio'n rheolaidd ar gyfer y rhan fwyaf o gynlluniau gwella priffyrdd h.y. nid y rhai sy'n ymwneud a cheisiadau cynllunio'n unig. Yng nghyd-destun ceisiadau cynllunio, bydd yr ADFf yn cynorthwyo'r swyddog priffyrdd wrth ymateb i "gynllunio" ar effaith y datblygiad ar y briffordd (h.y. os yw gwaith gwella'r briffordd yn cael ei gynnig fel rhan o'r datblygiad, yna bydd y gwaith hwn ar y briffordd yn un o ystyriaethau'r briffordd).
- 4.5 Nid yr ADFf yw'r unig wiriad o ddiogelwch priffyrdd mewn perthynas â chais cynllunio. Wrth asesu ceisiadau cynllunio, bydd swyddogion priffyrdd yn defnyddio'u profiad a'u barn eu hunain i ystyried goblygiadau diogelwch datblygiad arfaethedig ac unrhyw addasiadau cysylltiedig i rwydwaith y priffyrdd. Yn yr un modd, bydd angen Datganiad Trafnidiaeth neu Asesiad Trafnidiaeth ar bob un datblygiad ond y rhai lleiaf, a fydd fel arfer yn cynnwys dadansoddiad o hanes damweiniau ar y rhwydwaith priffyrdd lleol er mwyn rhoi gwybodaeth i'r swyddog priffyrdd wrth ymateb.
- 4.6 Mae tri cham i ADFf fel arfer:
- i) ADFf Cam 1; wrth gwblhau cynlluniau rhagarweiniol y cynnig
 - ii) ADFf Cam 2; wrth gwblhau cynlluniau manwl y cynnig
 - iii) ADFf Cam 3; wrth gwblhau addasiadau go iawn ar y briffordd
- 4.7 Nid yw ADFf yn gysylltiedig â gwaith Tîm "Archwilio" y Cyngor na Swyddfa "Archwilio" Cymru, nac ychwaith â Thîm Iechyd a Diogelwch y Cyngor nac Awdurdod Gweithredol Iechyd a Diogelwch. Mater cynllunio "priffyrdd" technegol ydyw.
- 4.8 Yng nghyd-destun ceisiadau cynllunio, nid yw ADFfau ond yn asesu diogelwch addasiadau arfaethedig i'r briffordd h.y. nid asesu a yw egwyddor cyffredinol datblygiad arfaethedig yn dderbyniol o ran y briffordd yw eu pwrpas.
- Pryd y gwneir Archwiliadau Diogelwch Ffyrdd mewn perthynas â Cheisiadau Cynllunio?
- 4.9 Bydd rhai ceisiadau cynllunio penodol yn gofyn am addasu'r briffordd (e.e. mynediad newydd i gerbydau i mewn i safle'r datblygiad neu oleuadau traffig newydd ar groesffordd gerllaw). Bydd gwaith o'r fath ar y briffordd, wrth gwrs, angen caniatâd gan y Cyngor fel "Awdurdod Priffyrdd", sy'n broses wahanol i'r broses gynllunio.
- 4.10 Gan ddibynnu ar y gwaith a gynhigiwyd ar y briffordd fel rhan o unrhyw gais cynllunio, efallai y bydd ar y Cyngor angen i'r ymgeisydd gynnal ADFf. Mae'r meini prawf ar

gyfer cynnal ADFf ar gyfer gwaith ar y briffordd sy'n ymwneud â datblygiad wedi'i nodi yn Atodiad B.

- 4.11 Nid oes angen cynnal ADFf ar gyfer cais cynllunio nad yw'n cynnig unrhyw waith gwirioneddol ar y briffordd, gan mai i waith addasu gwirioneddol ar y briffordd yn unig y mae ADFf yn berthnasol.
- 4.12 Pan fydd Swyddogion Priffyrdd yn ystyried bod angen ADFf i gefnogi cais cynllunio, bydd gofyn i'r ymgeisydd gyflwyno'r ADFf fel rhan o'r wybodaeth gefndirol a gyflwynir gyda'r cais cynllunio.
- 4.13 Gan ddibynnu ar lefel y manylder a ddangosir yn y cais cynllunio o ran y cynnig i wneud gwaith ar y briffordd, efallai y bydd angen ADFf Cam 2 hefyd. Os mai ar y "cam cynllunio rhagarweiniol" y mae'r gwaith a fwriedir ar y briffordd, yna bydd angen ADFf Cam 1 a bydd angen ADFf Cam 2 yn nes ymlaen yn y broses (gan gymryd y rhoddir caniatâd cynllunio a bod angen y gwaith ar y briffordd) e.e. nid yw pob cais cynllunio'n dangos "cynllun manwl" o'r gwaith arfaethedig ar y briffordd gan y gallent gael eu cyflwyno beth amser ar ôl rhoi caniatâd cynllunio. Mae hon yn broses resymegol gan mai "materion technegol" ar gyfer y swyddogion priffyrdd yw "cynllun manwl" terfynol y gwaith ar y briffordd, a bydd arnyn nhw angen cymeradwyaeth ffurfiol y Cyngor fel "Awdurdod Priffyrdd" ar gyfer unrhyw achos cyn y gellir dechrau'r gwaith ar y briffordd, hyd yn oed os rhoddwyd caniatâd cynllunio eisoes.
- 4.14 Mae ADFf Cam 3 yn fater rhwng y datblygwr/ymgeisydd a'r Cyngor fel "Awdurdod Priffyrdd" ac ni fyddai fel arfer yn rhan o'r broses gynllunio.
- 4.15 Os cyflwynir cais cynllunio sy'n cynnwys gwaith arfaethedig ar Gefnffordd, yna bydd angen i'r ymgeisydd gyflwyno ADFf a bydd "cynllunio" yn ymgynghori â Llywodraeth Cymru ar oblygiadau'r cynnig, gan gynnwys yr ADFf.

Pwy sy'n cynnal Archwiliadau Diogelwch Ffyrdd?

- 4.16 Bydd yr ADFf yn cael ei gynnal ar gost yr ymgeisydd. Mae'n rhaid i ADFf gael ei wneud gan o leiaf ddau Archwiliwr Diogelwch Ffyrdd cymwys, a fydd yn arbenigwyr sydd wedi'u hyfforddi i ymchwilio i wrthdrawiadau. Mae'n rhaid i'r Archwilwyr fod yn gwbl annibynnol ar gynllun y gwaith ar y priffyrdd sy'n cael ei gynnig.
- 4.17 Mae'n arferol i'r ymgeisydd gomisiynu'r archwilwyr cymwys i gynnal yr ADFf gan fod yr Archwilwyr wedi cymhwyso'n broffesiynol ac yn annibynnol ar y broses gynllunio.

Sut y cynhelir Archwiliadau Diogelwch Priffyrdd

- 4.18 Mae proses a methodoleg cynnal ADFf wedi'i nodi yn y ddogfen "Llawlyfr Cynllunio ar gyfer Ffyrdd a Phontydd" CP19/15 (canllaw'r Llywodraeth).
- 4.19 Dylai'r ADFf fod o safon digon uchel i alluogi'r swyddog priffyrdd i ddeall yr effaith y bydd y gwaith arfaethedig ar y briffordd yn ei gael ar ddiogelwch pawb sy'n defnyddio'r ffordd. Os na fydd yn ddigon da, bydd y swyddog priffyrdd yn gofyn am fwy o waith ar yr ADFf cyn gyrru ei sylwadau at y pwyllgor cynllunio.

- 4.20 Yr ymgeisydd/datblygwr a fydd yn rhoi'r briff i'r aseswyr, ond mae'n amlwg y bydd angen iddo gyfeirio at ddiogelwch y gwaith sy'n cael ei gynnig ar y briffordd, gan ystyried Cynllunio Priffyrdd 19/15 ac mae'n rhaid iddo fodloni gofynion y swyddog priffyrdd.

Casgliad

- 4.21 Yn y bôn, mater diogelwch priffyrdd sy'n ymwneud â gwneud gwaith gwirioneddol ar y briffordd yw ADFf. Mae angen ADFf yn aml fel rhan o'r broses gynllunio, ond nid yw'n asesu effaith diogelwch cyffredinol y datblygiad ei hun ar y briffordd. Yn hytrach, mae'n rhoi sylwadau ar unrhyw waith arfaethedig ar y briffordd sy'n gysylltiedig â'r datblygiad.
- 4.22 Os rhoddir caniatâd cynllunio o dan amgylchiadau o'r fath, bydd angen cymeradwyaeth y Cyngor fel "Awdurdod Priffyrdd" ar y gwaith ar y briffordd eto. Mae'r ADFf felly'n helpu i roi gwybodaeth yn y cais cynllunio, ond ei brif bwrpas yw cefnogi'r caniatâd angenrheidiol gan y Cyngor fel yr "Awdurdod ar Briffyrdd".

5. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?

Gwella ein ffyrdd – Mae ADFfau'n cyfrannu at wella diogelwch rhwydwaith y priffyrdd.

6. Faint fydd hyn yn ei gostio a sut y bydd yn effeithio ar wasanaethau eraill?

Mae ADFfau sy'n gysylltiedig â datblygiadau'n cael eu hariannu gan y datblygwr. Yn yr un modd, bydd unrhyw newidiadau i'r dyluniad neu i'r cynllun terfynol o ganlyniad i'r datblygiad yn cael eu hariannu gan y datblygwr.

7. Beth yw prif gasgliadau yr Asesiad o Effaith ar Les? Gellir lawrlwytho adroddiad yr Asesiad o Effaith ar Les o'r wefan a dylid ei ychwanegu fel atodiad i'r adroddiad.

2 Seren. Sgôr wirioneddol: 14 allan o 26. Cyfeiriwch at Atodiad C.

8. Pa ymgynghoriadau a gynhaliwyd gyda'r Pwyllgorau Archwilio ac eraill?

Cyflwynwyd papur i GCIGA ym mis Gorffennaf 2016 a arweiniodd at ofyn am yr adroddiad hwn.

9. Datganiad y Prif Swyddog Cyllid

Nid oes unrhyw oblygiadau ariannol uniongyrchol o'r adroddiad hwn i'r Cyngor gan fod pob cost sy'n gysylltiedig â chynnal yr ADFf ac unrhyw gostau sy'n ymwneud â newidiadau i'r dyluniad neu i'r cynllun terfynol o ganlyniad i'r ADFfau yn cael eu hariannu gan y datblygwr.

10. Pa risgiau sydd ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?

Y risg amlycaf fyddai gwrthdrawiad traffig ffordd difrifol neu angheuol mewn lleoliad a addaswyd yn ddiweddar fel rhan o ddatblygiad. Un o'r cwestiynau cyntaf y byddai'r Heddlu, neu Gwêst, yn ei ofyn fyddai a gynhaliwyd ADFf ai peidio. Er nad yw'n orfodol ar ffyrdd nad ydynt yn Gefnffyrdd, maent bellach yn cael eu cynnal ar lawer o ffyrdd fel arfer da ar draws y diwydiant priffyrdd. Felly, os penderfynir peidio â chynnal ADFf, mae'n bwysig bod hwn yn benderfyniad gwrthrychol ar sail bodloni meini prawf cedyrn a chilir, yn hytrach na phenderfyniad goddrychol yn niffyg proses glir.

11. Pŵer i wneud y Penderfyniad

Mae pwerau'r Pwyllgor Archwilio mewn perthynas â'r mater hwn wedi'u hamlinellu yn Adran 7 yng Nghyfansoddiad y Cyngor.

Mae tudalen hwn yn fwriadol wag

**VOLUME 5 ASSESSMENT AND
PREPARATION OF ROAD
SCHEMES**

**SECTION 2 PREPARATION AND
IMPLEMENTATION**

Part 2

HD 19/15

ROAD SAFETY AUDIT

SUMMARY

This document provides the requirements for Road Safety Audit which are mandatory for all trunk road Highway Improvement Schemes including motorways. It describes the stages at which Road Safety Audit shall be carried out, the procedures to be followed and the requirement for road safety monitoring of Highway Improvement Schemes after opening. **HD 19/15** supersedes **HD 19/03** and **IAN 152/11** (and the other Overseeing Organisation documents **IAN 152/11 (W)**, **DEM 136/11** and **TS Interim Amendment 40/11**).

INSTRUCTIONS FOR USE

1. Remove existing Contents pages for Volume 5.
2. Insert new Contents pages for Volume 5 dated March 2015.
3. Remove HD 19/03 from Volume 5, Section 2, Part 2 and archive as necessary.
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5. Please archive this sheet as appropriate.

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THE HIGHWAYS AGENCY

HD 19/15
Volume 5, Section 2,
Part 2



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NORTHERN IRELAND

Road Safety Audit

Summary: This document provides the requirements for Road Safety Audit which are mandatory for all trunk road Highway Improvement Schemes including motorways. It describes the stages at which Road Safety Audit shall be carried out, the procedures to be followed and the requirement for road safety monitoring of Highway Improvement Schemes after opening. HD 19/15 supersedes HD 19/03 and IAN 152/11 (and other Overseeing Organisation documents IAN 152/11 (W), DEM 136/11 and TS Interim Amendment 40/11).

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**VOLUME 5 ASSESSMENT AND
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Part 2

HD 19/15

ROAD SAFETY AUDIT

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1. INTRODUCTION

Background

- 1.1. The objective of this Standard is to ensure that the road safety implications of all Highway Improvement Schemes are fully considered for all users of the motorway and trunk road network. The application of the Standard to those working on the highway is covered in paragraph 2.17.
- 1.2. The Overseeing Organisations attach great importance to the improvement of road safety. The use of Standards that are based on road safety considerations help to ensure that this objective is met.
- 1.3. Many elements of a Highway Improvement Scheme design are based on the use of Design Standards and Advice Notes. Whilst these Standards and Advice Notes provide a basis for safe design, care has to be taken when combining elements from them to avoid the creation of potential hazards. However, it is important to note that Road Safety Audit is not exclusively concerned with those aspects that are associated with the interaction of Design Standards. The objective of Road Safety Audit is to identify aspects of a Highway Improvement Scheme that could give rise to road safety problems and to suggest modifications that would improve the road safety of the resultant scheme.
- 1.4. Although road safety has always been considered during scheme preparation, there have been instances where details of the design have contributed to collisions and/or incidents on newly opened schemes. Design Teams do not necessarily contain staff with Collision Investigation or Road Safety Engineering experience and consequently they may not foresee potential factors pertaining to collision causation.
- 1.5. The Road Safety Audit procedure has been developed to ensure that operational road safety experience is applied during the design and construction process in order that the number and severity of collisions is kept to a minimum. Road Safety Auditors identify and address problem areas using the experience gained from highway design, road safety engineering, collision analysis and road safety related research. The Overseeing Organisations' aim is that the monitoring of Road Safety Audited schemes will result in more informed designs, leading to schemes that rarely require road safety related changes after opening.
- 1.6. It is recommended that Design Teams include staff with Road Safety Engineering experience to ensure that road safety issues are considered during the design process. However, Road Safety Engineers included within the Design Team cannot be permitted to be part of the appointed Road Safety Audit Teams. This is because of a potential lack of independence from the scheme design as their views may be influenced by familiarity and a natural "pride of authorship". The involvement of a Road Safety Engineer within the Design Team is not considered to be an acceptable substitute for undertaking Road Safety Audit.

Scope of this Standard

- 1.7. This Standard sets out the procedures required to implement Road Safety Audit on Highway Improvement Schemes on trunk roads including motorways. It defines the relevant schemes and stages in the design and construction process at which Road Safety Audit shall be undertaken and sets out the requirements for post- implementation collision monitoring.
- 1.8. This document includes several significant changes from the previous Standard **HD 19/03 (DMRB 5.2.2)**. This document also incorporates the requirements and advice in the withdrawn **IAN 152/11, IAN 152/11(W), DEM 136/11** and **TS Interim Amendment 40/11**, which relates to **EC Directive 2008/96/EC** in respect to Road Safety Audit. The main changes in this Standard include:

- additional guidance on schemes to be Road Safety Audited;
- clarification of the process for the collision monitoring of completed Highway Improvement Schemes in the form of Stage 4 Road Safety Audit;
- further information on the application of Road Safety Audit for developer-led schemes;
- inclusion of the Road Safety Auditor Certificate of Competency requirements;
- additional guidance on the preparation of the Road Safety Audit Brief;
- inclusion of the Road Safety Audit Response Report and guidance on its preparation; and
- additional guidance on the preparation of the Road Safety Audit Exception Report.

Mandatory Sections

- 1.9. Mandatory sections of this document are contained in boxes. The organisations involved in the Road Safety Audit process must comply with these sections or obtain agreement to a Departure from Standard from the Overseeing Organisation. The remainder of the document contains advice and explanation, which is commended to users for consideration.

Application in Northern Ireland

- 1.10. This Standard will apply to those roads designated by the Overseeing Organisation.

Superseded Documents

- 1.11. This Standard supersedes **HD 19/03 (DMRB 5.2.2)**, which is hereby withdrawn. The contents of this Standard also supersede **IAN 152/11, IAN 152/11 (W), DEM 136/11 and TS Interim Amendment 40/11**.

Implementation

- 1.12. This Standard shall be used forthwith for all Road Safety Audits on all Highway Improvement Schemes with the exception of Road Safety Audits for which a Road Safety Audit Brief in accordance with HD 19/03 has been issued before the publication date of **HD 19/15**. Those Road Safety Audits may be completed in accordance with **HD 19/03**.
- 1.13. Exemptions granted under paragraph 2.6 of **HD 19/03** prior to the publication of this Standard are recognised as valid. However, where this previous exemption only refers to a stage of the Road Safety Audit process, any stages of the process subsequent to the exemption must follow the requirements of this Standard.

Definitions

- 1.14. **Collision Investigation:** The collection and examination of historical collision data over a period of time in order to identify common trends and factors which may have contributed to the collisions. This could also include the detailed forensic investigation of single collisions.

- 1.15. **Design Organisation:** The organisation(s) commissioned to undertake the various phases of scheme preparation.
- 1.16. **Design Team:** The group within the Design Organisation undertaking the various phases of scheme preparation.
- 1.17. **Design Team Leader:** A person within the Design Team responsible for managing the scheme design and co-ordinating the input of the various design disciplines.
- 1.18. **Director:** The Director in the Overseeing Organisation with overall responsibility for the Highway Improvement Scheme. The Director will make the final decision in respect of the acceptance of any Exception Reports produced (see Annex L). For Transport Scotland, the term Director shall mean the Chief Road Engineer. For the Welsh Government, the term Director shall mean the Chief Highway Engineer. For the Department for Regional Development Northern Ireland, the term Director shall mean the Director of Engineering.
- 1.19. **Exception Report:** A report from the Project Sponsor to the Director on each recommendation in the Road Safety Audit Report that the Project Sponsor proposes should not be implemented. (See paragraphs 3.7 to 3.14 and Annex L).
- 1.20. **Highway Improvement Schemes:** All works that involve construction of new highway or permanent change to the existing highway layout or features. This includes changes to road layout, kerbs, signs and road markings, lighting, signalling, drainage, landscaping, communications cabinets and the installation of roadside equipment. The term “Highway Improvement Scheme” is considered to include the **EC Directive 2008/96/EC** term “Infrastructure Project”.
- 1.21. **Interim Road Safety Audit:** The application of Road Safety Audit to the whole or part of a Highway Improvement Scheme at any time during its design and construction. Interim Road Safety Audit is neither mandatory nor a substitute for the Stage 1, 2 and 3 Road Safety Audits.
- 1.22. **Like-for-like Maintenance Scheme:** A scheme or highway feature proposed as maintenance works, that solely involves the replacement or refurbishment of a highway feature with a corresponding feature, which as a minimum, will appear the same, be located in the same position, perform the same and be constructed of comparable materials as the feature it replaces.
- 1.23. **Non-Motorised Users (NMUs):** NMUs are considered to be pedestrians, cyclists and equestrians. The term NMU also includes disabled people and wheelchair users.
- 1.24. **Overseeing Organisation:** The highway or road authority responsible for the motorway or trunk road Highway Improvement Scheme to be Road Safety Audited, or in the case of developer-led or third party organisation promoted schemes, the highway or road authority responsible for the motorway or trunk road affected by the proposed Highway Improvement Scheme.
- 1.25. **Overseeing Organisation Specialist:** A person from the Overseeing Organisation that has the appropriate training, skills and experience in the Road Safety discipline. For the Highways Agency this will be an appropriate person from the Safer Roads – Design Team. For the Welsh Government this would be a specialist within the Network Management Division of the Transport Department. For the Department for Regional Development Northern Ireland this will be the Road Safety Engineering Policy Manager and for Transport Scotland this will be the Head of Standards.

- 1.26. **Project Sponsor/Project Manager:** A person from the Overseeing Organisation responsible for ensuring the progression of a scheme in accordance with the policy and procedures of the Overseeing Organisation, and ensuring compliance with the requirements of this Standard. It should be noted that the Project Sponsor may not always be from the same organisation as those promoting the scheme, as the scheme may be proposed by a third party organisation (see paragraph 1.40).
- 1.27. **Road Safety Audit:** The evaluation of Highway Improvement Schemes during design and at the end of construction (preferably before the scheme is open to traffic). The aim is to identify potential road safety problems that may affect any users of the highway and to suggest measures to eliminate or mitigate those problems. The Road Safety Audit process includes the collision monitoring of Highway Improvement Schemes to identify any road safety problems that may occur after opening. The Stage 4 Road Safety Audit will include the analysis and reporting of 12 and 36 months of personal injury collision data from when the scheme became operational.
- 1.28. **Road Safety Audit Brief:** The instructions to the Road Safety Audit Team defining the scope and details of the Highway Improvement Scheme to be Road Safety Audited, including sufficient information for the Road Safety Audit to be undertaken (see Annex E).
- 1.29. **Road Safety Audit Report:** The report produced by the Road Safety Audit Team describing the road safety related problems identified by the Road Safety Audit Team and the recommended solutions to those problems.
- 1.30. **Road Safety Audit Response Report:** A report produced by the Design Team following Road Safety Audit Stages 1, 2 and 3 in which the Design Team responds to the problems and recommendations raised in the Road Safety Audit Report. The Road Safety Audit Response Report (see Annex K) will assist the Project Sponsor when deciding on the need to produce an Exception Report (see Annex L).
- 1.31. **Road Safety Audit Site Visit:** a visit to the location of a proposed or completed Highway Improvement Scheme.
- 1.32. **Road Safety Audit Team:** A team that works together on all aspects of the Road Safety Audit, independent of the Design Team and approved for a particular Road Safety Audit by the Project Sponsor on behalf of the Overseeing Organisation. The Road Safety Audit Team shall comprise a minimum of two persons (a Team Leader and Team Member). The individuals within the Road Safety Audit Team may be drawn from the Design Organisation or from other organisations.
- 1.33. **Road Safety Audit Team Leader:** A person with the appropriate training, skills and experience who is approved for a particular Road Safety Audit by the Project Sponsor on behalf of the Overseeing Organisation. The Road Safety Audit Team Leader has overall responsibility for carrying out the Road Safety Audit and managing the Road Safety Audit Team.
- 1.34. **Road Safety Audit Team Member:** A member of the Road Safety Audit Team with the appropriate training, skills and experience necessary for the Road Safety Audit of a specific scheme, reporting to the Road Safety Audit Team Leader.
- 1.35. **Road Safety Audit Team Observer:** A person with the appropriate training, skills and experience accompanying the Road Safety Audit Team to observe and gain experience of the Road Safety Audit process. The Road Safety Audit Team Observer is encouraged to contribute actively to the Road Safety Audit process.
- 1.36. **Road Safety Engineering:** The design and implementation of Highway Improvement Schemes intended to reduce the number and severity of collisions involving road users, drawing on the results of Collision Investigations.

- 1.37. **Road Safety Matters:** Any element of the road environment that could potentially contribute to a Road Traffic Collision or incident. The definition of Road Safety Matters also includes features that could present an unacceptable risk of trips, slips or falls to road users.
- 1.38. **Road Traffic Collision:** A collision between road users or between a road user and a feature on or adjacent to the highway.
- 1.39. **Specialist Advisor:** A person approved by the Project Sponsor to provide specialist independent advice to the Road Safety Audit Team, should the scheme include complex features outside the experience of the Road Safety Audit Team Members, e.g. a complex traffic signal controlled junction (see paragraph 2.85).
- 1.40. **Third Party Organisations:** Organisations such as a developer, a developer's consultant, a local authority, Statutory Undertaker or other private organisation that could be promoting a Highway Improvement Scheme on the Overseeing Organisation's road network.

2. ROAD SAFETY AUDIT

Schemes to be Road Safety Audited

- 2.1. This Standard shall apply to all Highway Improvement Schemes (see paragraph 1.20) on trunk roads including motorways, regardless of procurement method. This includes work carried out under agreement with the Overseeing Organisation resulting from developments alongside or affecting the trunk road or Highway Improvement Schemes being promoted by third party organisations.
- 2.2. Highway Improvement Schemes that will not impact on road user behaviour or adversely change the outcome of an incident involving an errant vehicle, due to the nature of the works and/or the distance of the improvement from the operational highway may, in certain circumstances be excluded from the Road Safety Audit process without the need for a formal Departure from Standard application (see paragraph 2.10). In such situations, Project Sponsors must formally consult with Overseeing Organisation Specialists at an early stage and gain agreement from the Specialist that the Road Safety Audit process does not need to be applied to the Highway Improvement Scheme.
- 2.3. The Project Sponsor must formally record on their scheme file (or equivalent) any decision not to apply Road Safety Audit to a scheme that they consider will not impact on road safety. If the Overseeing Organisation Specialist does not formally agree that the scheme may be excluded from the Road Safety Audit process and the Project Sponsor still considers the Road Safety Audit unnecessary, then the Departure from Standard process must be applied in accordance with paragraph 2.10 of this Standard.
- 2.4. Like-for-like maintenance schemes are excluded from Road Safety Audit (see paragraph 1.22). However, Project Sponsor's and Designer's attention is drawn to paragraph 2.6 of this Standard. This Standard does apply to Highway Improvement Schemes that are constructed as part of the same procurement package as maintenance works.
- 2.5. When considering whether a scheme is a like-for-like maintenance scheme, the Project Sponsor must consider if the works may change road user behaviour or adversely change the outcome of an incident involving an errant vehicle. If the feature could potentially change road user behaviour or its presence could exacerbate the severity of a collision then the Road Safety Audit process detailed in this Standard must be applied. If a Project Sponsor is unsure if the scheme under consideration could impact on road user behaviour or change the outcome of an incident involving an errant vehicle, they must formally consult with an appropriate Specialist from the Overseeing Organisation.
- 2.6. Project Sponsors and Designers should ensure that any like-for-like replacement or refurbishment scheme does not reinstate a feature that is known by the Overseeing Organisation or Design Organisation to adversely affect road user safety (e.g. the replacement of a non-passively safe traffic sign in the same location where it has been previously struck by errant road users on numerous occasions).

Delegation

2.7. The Overseeing Organisation will decide on the extent of delegation of the Director's and Project Sponsor's responsibilities, duties and tasks, with respect to this Standard. Project Sponsors may delegate to an assistant within the Overseeing Organisation. The Project Sponsor is responsible for ensuring that the assistant is competent to carry out the responsibilities, duties and tasks delegated. Project Sponsors may also delegate to a supplier employed as a "Department's Representative" provided they are independent from the design, construction and Road Safety Auditor organisations and the individuals appointed are competent to undertake the role. If a Project Sponsor or Director is unsure if the individual they are intending to delegate to is competent and independent, they should formally consult with an appropriate Specialist from the Overseeing Organisation.

2.8. The Project Sponsor must inform the Road Safety Audit Team Leader and Design Team Leader in writing of any such delegations.

Application to Temporary Traffic Management Schemes

2.9. This Standard is not generally required for application to temporary traffic management schemes. The Department for Transport publication "Safety at Street Works and Road Works A Code of Practice" and Chapter 8 of the Traffic Signs Manual contain the necessary guidance to facilitate the safe planning and implementation of temporary traffic management activities. However, Road Safety Audit should be applied to exceptional temporary traffic management schemes that involve temporary changes to the layout and operation of junctions or realignment of roads that will affect the network for a considerable period. Examples of such schemes include installation of a temporary roundabout junction or a diversion using a length of temporary carriageway to allow major excavation on a main carriageway. If a Project Sponsor is unsure if the scheme under consideration should be subjected to Road Safety Audit, they should formally consult with an appropriate Specialist from the Overseeing Organisation.

Exemption

2.10. Where the Project Sponsor considers it unnecessary for Road Safety Audit to be applied to a particular Highway Improvement Scheme and the scheme in question has not been excluded from Road Safety Audit in accordance with paragraph 2.2 or paragraph 2.49 of this Standard, approval for a Departure from Standard must be obtained from the Overseeing Organisation. The Departure application must clearly state why a Road Safety Audit is not considered necessary.

2.11. A Departure from Standard allowing exemption from Road Safety Audit will only be approved when, in the opinion of the Overseeing Organisation, the effect of the Highway Improvement Scheme on the highway would be negligible and the costs and safety risks of undertaking the Road Safety Audit would outweigh its benefits.

The Relationship between Road Safety Audit and Health & Safety Legislation

2.12. Road Safety Audit does not cover health & safety legislation issues concerning the construction, maintenance and use of the road.

2.13. Although the Road Safety Audit Team's contribution to design is limited, in making recommendations they may be considered to have undertaken design work under health & safety legislation. It is therefore recommended that Road Safety Audit Teams make themselves aware of current health & safety legislation and consider the implications of their recommendations for the health & safety of others.

2.14. Overseeing Organisation Project Sponsors and Directors should make themselves aware of current health & safety legislation and consider the implications of their instructions to Design Teams and Road Safety Audit Teams in terms of health & safety.

2.15. When incorporating Road Safety Audit recommendations into scheme designs (see paragraph 3.15), the Design Team shall be responsible for reviewing and amending any design risk assessments required by health & safety legislation. The Design Team must also consider the impact that incorporating Road Safety Audit recommendations could have on other design elements.

Scope of Road Safety Audit

2.16. Road Safety Audit shall only consider Road Safety Matters (see paragraph 1.37).

2.17. Issues relating to the health & safety of operatives constructing, operating or maintaining the highway are not covered by Road Safety Audit. Only issues relating to the design and construction of facilities for highway maintenance that may potentially contribute to a Road Safety Matter (see Paragraph 1.37) should be considered by the Road Safety Audit process.

2.18. Road Safety Audit is not a technical check that the design conforms to Standards and/or best practice guidance. Design Organisations are responsible for ensuring that their designs have been subjected to the appropriate design reviews (including, where applicable, Non-Motorised User (NMU) Audits **HD 42/05 “Non-Motorised User Audits” (DMRB 5.2.5)**) prior to Road Safety Audit.

2.19. Road Safety Audit is not a check that the scheme has been constructed in accordance with the design.

2.20. Road Safety Audit does not consider structural safety.

Road Safety Audit

2.21. When making recommendations for dealing with identified problems, Road Safety Audit Teams must make allowance for the fact that strategic decisions on matters such as route choice, junction type, standard of provision and approved Departures from Standards already reflect an appropriate balance of a number of factors including road safety. Recommendations requiring major changes in these areas are unlikely to be acceptable when balanced with other aspects of the scheme and the Road Safety Audit Team must not make such proposals. In the unlikely situation where the road safety implications of the strategic decisions have not been fully considered previously, the Project Sponsor may extend the scope of the Road Safety Audit to include consideration of these items. The Project Sponsor must clearly identify within the Road Safety Audit Brief where the scope of the Road Safety Audit has been extended to cover strategic decisions.

2.22. Where the Project Sponsor has extended the scope of the Road Safety Audit to include strategic decisions in the Road Safety Audit Brief, it should be noted that the Road Safety Audit Team's recommended changes to the strategic elements of the design may not be accepted by the Project Sponsor and the Designer's original scheme layout as detailed in the Road Safety Audit Brief may be progressed. Therefore, when Road Safety Auditors are permitted to consider strategic elements of a Highway Improvement Scheme and they make recommendations for changes to the strategic decisions, the Road Safety Audit Team must also ensure that they fully assess the original layout as proposed by the Design Team so that any road safety problems are identified and addressed.

- 2.23. Advice is given on the general aspects that should be addressed at Road Safety Audit Stages 1, 2 and 3 in the lists in Annexes A to C of this Standard. An illustrative Stage 2 Road Safety Audit Report is shown in Annex F and illustrative Stage 4 Road Safety Audit Reports are contained in Annexes G and H.
- 2.24. The lists in Annexes A, B and C are not intended to be exhaustive. They provide a prompt for optional supplementary checks that Road Safety Audit Teams could make following their less prescriptive and more wide-ranging Road Safety Audit.

2.25. Road Safety Auditors must examine the overall layout of the Highway Improvement Scheme. All users of the highway shall be considered including motorists, pedestrians, cyclists, equestrians and facilities for those working on the highway (see paragraph 2.17). Particular attention should be given to vulnerable road users such as the very young, older users and the mobility and visually impaired.

- 2.26. The potential for road safety problems is often greatest at junctions, tie-ins and immediately beyond tie-ins. Where a Highway Improvement Scheme joins an existing road or junction, inconsistency in the standard of provision may potentially lead to collisions, so particular attention should be paid to these areas to ensure the safest possible transition is achieved. This applies particularly to on-line improvements where variations in the standard of provision between new and existing sections may not be obvious to the road user.

Stages of Road Safety Audit

2.27. Highway Improvement Schemes shall be Road Safety Audited at Stages 1, 2, 3 and 4. If, for any reason, a Stage 1 Road Safety Audit has not been carried out (for example, where a scheme is of such a scale that no preliminary design has been necessary and the scheme has progressed directly to detailed design with the agreement of the Project Sponsor), Road Safety Audit Stages 1 and 2 shall be combined at Stage 2 and shall be referred to as a Combined Stage 1 & 2 Audit. The information provided as part of the Road Safety Audit Brief for a Combined Stage 1 & 2 Road Safety Audit must be of sufficient detail to undertake a detailed design Road Safety Audit (see paragraph 2.33).

2.28. Stage 1 and Stage 2 Road Safety Audits must not be combined as purely a cost and/or programme saving measure.

Stage 1 Road Safety Audit: Completion of Preliminary Design

- 2.29. Stage 1 Road Safety Audits will be undertaken at the completion of preliminary design, (for example at the Order Publication Report Stage) before publication of draft Orders and for developer-led Highway Improvement Schemes, before planning consent is applied for (see paragraphs 2.54 to 2.61).
- 2.30. The end of the preliminary design stage is often the last occasion at which land requirements may be changed. It is therefore essential that Stage 1 Road Safety Audits considers any road safety issues which may have a bearing upon land take, licence or easement before the draft Orders are published or planning consent is applied for.

2.31. At Road Safety Audit Stage 1 all Road Safety Audit Team members must visit together the sites of Highway Improvement Schemes:

- that involve permanent change to the existing highway layout or features; and
- where new offline proposals tie-in to the existing highway.

2.32. The need to consider the site during specific traffic conditions at the Stage 1 Road Safety Audit should be identified in the Road Safety Audit Brief (see paragraph 2.89h).

Stage 2 Road Safety Audit: Completion of Detailed Design

2.33. Stage 2 Road Safety Audits will be undertaken at the completion of the detailed design stage. At this stage, the Road Safety Audit Team is concerned with the more detailed aspects of the Highway Improvement Scheme. The Road Safety Audit Team will be able to consider geometry (such as the layout of junctions and highway cross sections), street furniture (such as the position of traffic signs and road restraint systems), carriageway markings, street lighting provision and other issues (see Annex B).

2.34. The Stage 2 Road Safety Audit should include a review of the issues raised in the Stage 1 Road Safety Audit Report. Any issues that have not been satisfactorily resolved from the Stage 1 Road Safety Audit either by the element of the scheme being redesigned, as a result of clarification given by the provision of further information or by an approved Exception Report, should be reiterated in the Stage 2 Road Safety Audit Report.

2.35. At Road Safety Audit Stage 2 all team members must visit together the sites of Highway Improvement Schemes:

- that involve permanent change to the existing highway layout or features; and
- where new offline proposals tie-in to the existing highway.

2.36. The need to consider the site during specific traffic conditions at the Stage 2 Road Safety Audit should be identified in the Road Safety Audit Brief (see paragraph 2.89h).

Stage 3 Road Safety Audit: Completion of Construction

2.37. The Stage 3 Road Safety Audit should be undertaken when the Highway Improvement Scheme is substantially complete and preferably before the works are opened to road users. This is to minimise potential risk to road users and the difficulty that would be experienced by Road Safety Audit Teams in traversing the site when open to traffic. Where this is not feasible, alternative arrangements should be agreed with the Project Sponsor. This may result in the Road Safety Audit being carried out a short time after opening or in phases where a scheme is subject to phased completion and opening. However, all Highway Improvement Schemes should be subjected to a Stage 3 Road Safety Audit within 1 month of opening. If there is an accessibility issue that restricts the Road Safety Audit Team from fully traversing areas of the site (e.g. an area of live motorway that cannot be accessed on foot), reference to this should be included in the introduction of the Road Safety Audit Report for consideration by the Project Sponsor.

2.38. Road Safety Auditors are required to examine the Highway Improvement Scheme from all users' viewpoints and may decide to drive, walk and/or cycle through the scheme as well as consider motorcycle and equestrian use to assist their evaluation and ensure they have a comprehensive understanding. Issues raised in the Stage 2 or Combined Stage 1 & 2 Road Safety Audit Report should also be reviewed at the Stage 3 Road Safety Audit and reiterated if not satisfactorily resolved, either by the element of the scheme being redesigned, as a result of clarification given by the provision of further information or by an approved Exception Report.

2.39. All Road Safety Audit Team Members must examine the scheme site together during daylight. They shall also examine the site together during the hours of darkness at Stage 3 so that hazards particular to night operation can be identified.

2.40. The Road Safety Audit Team should also consider the potential impact on road safety of different traffic conditions which may be specific to the Highway Improvement Scheme location. For example at peak periods, the beginning or end of the school day or during frequent events. The need to consider the site during specific traffic conditions should be identified in the Road Safety Audit Brief (see paragraph 2.89h).

2.41. Road Safety Auditors should also consider the potential impacts on road safety of various weather conditions that may not be present at the time of inspection.

2.42. The Road Safety Audit Team Leader should discuss any alterations recommended at the Stage 3 Road Safety Audit with the Project Sponsor as soon as possible to give the opportunity for modifications to be undertaken before opening. This will provide a safer working environment for the workforce and delays to road users will be minimised.

Stage 4 Road Safety Audit: Monitoring

2.43. The Overseeing Organisation will arrange for evidence led collision monitoring of Road Safety Audited Highway Improvement Schemes. Stage 4 Road Safety Audits should be undertaken by individuals with the appropriate training, skills and experience as identified in paragraphs 2.76 to 2.84 of this Standard.

2.44. When a Highway Improvement Scheme is opened to road users, monitoring in the form of Stage 4 Road Safety Audits must be carried out on the number of personal injury collisions that occur, so that any road safety problems can be identified and remedial action taken as soon as possible.

2.45. Stage 4 Road Safety Audit collision monitoring reports shall be prepared using 12 months and 36 months of personal injury collision data from the time the Highway Improvement Scheme became operational and shall be submitted to the Overseeing Organisation. The Stage 4 Road Safety Audit process is an evidence led review of personal injury collisions that have occurred in the vicinity of the Highway Improvement scheme. The collision records shall be analysed in detail to identify:

- locations at which personal injury collisions have occurred; and
- personal injury collisions that appear to arise from similar causes or show common factors.

- 2.46. When considering the timing of the 12 month and 36 month Stage 4 Road Safety Audits, allowance should be made for any significant changes that may have been implemented as a result of the Stage 3 Road Safety Audit. In the case where there have been significant changes following the period the scheme first became operational, then the 12 month and 36 month reports should make reference to these changes and their potential impact on the personal injury collision history.
- 2.47. The analysis of personal injury collision data should include identification of changes in the collision population in terms of number, rate (taking account of any traffic flow changes), types and other collision variables, comparisons should be made with control data. Where the Highway Improvement Scheme is an on-line improvement then the collision record before the scheme was built should be compared with the situation after opening. The collision data should be analysed to identify the influence of problems and recommendations identified at previous Road Safety Audit stages, and any Exception Reports.
- 2.48. If collision records are not sufficiently comprehensive for detailed analysis, the Police should be contacted to ascertain the availability of statements and report forms, which could aid the 12 month and 36 month data analysis.

- 2.49. Where no personal injury collisions have been recorded in the vicinity of the Highway Improvement Scheme over the 12 month or 36 month periods, a formal Stage 4 Road Safety Audit collision monitoring report is not required. If, for the above reason, the Project Sponsor decides not to proceed with the Stage 4 Road Safety Audit collision monitoring report, then this decision must be formally recorded, with appropriate reasoning, on their Highway Improvement Scheme file (or equivalent).
- 2.50. At Road Safety Audit Stage 4 all Road Safety Audit Team members must visit together the sites of Highway Improvement Schemes:
- where higher than expected numbers of personal injury collisions have occurred since the scheme became operational (when compared to control data); or
 - where the personal injury collision rate or severity has increased since the scheme became operational; or
 - where characteristics within the personal injury collision data post-opening show unexpected common trends (e.g. a high frequency of personal injury collisions during the hours of darkness or on a wet road surface).

- 2.51. When a site visit is undertaken (for the reasons identified in paragraph 2.50), the Road Safety Audit Team should consider if the personal injury collision analysis justifies an inspection during a particular time period (e.g. the hours of darkness or peak hour).
- 2.52. The Stage 4 Road Safety Audit collision monitoring report should identify any road safety problems indicated by the collision data analysis and any related observations during any site visits undertaken. The report should make recommendations for remedial action as appropriate.
- 2.53. Illustrative Stage 4 Road Safety Audit Reports examining 12 months and 36 months of collision data are contained in Annexes G and H respectively.

Developer-led and Third Party Organisation-led Schemes

2.54. The design and Road Safety Audit process for developer-led and third party organisation-led Highway Improvement Schemes can vary from the process for Overseeing Organisation promoted Highway Improvement Schemes. Most significantly, the scheme may be designed by an organisation working for the developer or third party organisation rather than an organisation working for the Overseeing Organisation. The developer-led scheme will be submitted for planning approval to the local planning authority and, where there are highway implications, the highway or road authority will be consulted. The following paragraphs provide additional requirements and guidance for all organisations involved in the Road Safety Audit of developer-led and third party organisation led Highway Improvement Schemes.

- 2.55. Where developer-led schemes or third party organisation-led schemes will result in Highway Improvements Schemes (as defined in paragraph 1.20) on the motorway and trunk road network, the contents of this Standard must be followed for all Stages of Road Safety Audit.
- 2.56. The Road Safety Audit Team approval and appointment must follow the process set out in paragraphs 2.70 to 2.75 of this Standard. As with highway or road authority promoted schemes, the Overseeing Organisation responsible for the affected motorway or trunk road is responsible for ensuring that the developer-led or third party scheme complies with the Road Safety Audit procedure as detailed in this Standard.
- 2.57. A Road Safety Audit Brief must be prepared and issued in accordance with paragraphs 2.87 and 2.88 of this Standard for all Road Safety Audit Stages (see Annex E).
- 2.58. A Stage 1 Road Safety Audit (or combined Stage 1 & 2 Road Safety Audit where there has been no preliminary design) must be undertaken before planning consent is applied for.
- 2.59. The process of issuing and considering the draft Road Safety Audit Report identified in paragraphs 2.102 to 2.106 of this Standard must be followed for both developer-led and third party led schemes for all Road Safety Audit Stages. Once the Road Safety Audit Report has been finalised, the scheme Designer is responsible for producing a Road Safety Audit Response Report in accordance with paragraphs 3.1 and 3.2 of this Standard.
- 2.60. At all Road Safety Audit Stages, recommendations made in the Road Safety Audit Report that impact on the motorway or trunk road network must be either incorporated into the design, included within the constructed scheme or dealt with by means of Exception Report(s) to the satisfaction of the Overseeing Organisation Project Sponsor and Director. In the case of the Stage 1 Road Safety Audit Report (or combined Stage 1 & 2 Road Safety Audit Report), recommendations must be accommodated or Exceptions Reports produced to the satisfaction of the Overseeing Organisation Project Sponsor and Director prior to planning consent being given.
- 2.61. At all stages the Project Sponsor is responsible for the production of any Exception Reports. Typically the Project Sponsor will request that the developer or third party organisation produces the Exception Report(s) on their behalf. The Exception Report(s) must be produced to the satisfaction of the Overseeing Organisation's Project Sponsor and Director, for elements of the scheme on the motorway or trunk road network. The Exceptions Report(s) must be agreed with the Overseeing Organisation's Project Sponsor and Director prior to the scheme progressing to the next stage.

Design Changes and Road Safety Audit Shelf Life

- 2.62. Stage 1, Combined Stage 1 & 2 and Stage 2 Road Safety Audits must be repeated if the scheme design materially changes, if there are many minor changes which could together impact on road user safety, or if the previous finalised Road Safety Audit for the relevant stage is more than 5 years old. In the case of minor changes to a Highway Improvement Scheme then the repeated Road Safety Audit should only be concerned with the elements of the scheme that have been changed. If the changes are more significant or if there are many minor changes then the whole Road Safety Audit stage should be repeated.
- 2.63. Throughout the period following the Stage 2 Road Safety Audit, the Design Organisation and/or Contractor must keep the Project Sponsor informed of all design changes that occur so that any requirement for an additional Stage 2 Road Safety Audit can be identified. The Project Sponsor must then initiate any additional Road Safety Audits required.

Interim Road Safety Audit

- 2.64. The requirement for independence need not prevent contact between the Design Team and the Road Safety Audit Team throughout the design and construction process, provided certain conditions are met (see paragraph 2.68). The Interim Road Safety Audit process can provide the benefit of early identification of potential road safety problems leading to savings in both programme and design costs. This could be particularly beneficial to larger projects with accelerated programmes, such as Highway Improvement Schemes involving early contractor involvement.

- 2.65. The Project Sponsor will decide whether to employ Interim Road Safety Audit. Design Teams must not contact Road Safety Audit Teams without the Project Sponsor's prior written authorisation. Road Safety Audit Teams undertaking Interim Road Safety Audit must only be appointed with the approval of the Project Sponsor in accordance with paragraphs 2.70 to 2.75 of this Standard.

- 2.66. Subject to the Project Sponsor's prior agreement, at any time during the preliminary and detailed design stages, Designers may submit or be instructed to submit designs of the whole or parts of schemes to the Road Safety Audit Team for completion of an Interim Road Safety Audit. The Road Safety Audit Team and Design Team are permitted to meet if considered necessary, to enable the Design Team to explain their designs and the Road Safety Audit Team to explain any identified problems and recommendations. This meeting should be chaired by the Project Sponsor.
- 2.67. In addition, Interim Road Safety Audit may be employed during the construction process with the agreement of the Project Sponsor. Elements of the constructed scheme may be subjected to Interim Road Safety Audit, when works are partially complete or when individual elements or sections of the scheme are complete and opened to road users in stages.

2.68. Interim Road Safety Audit is subject to the following conditions:

- Road Safety Audit Teams must report in the format illustrated in the Road Safety Audit Report in Annex F, namely the “problem/recommendation” format, unless instructed differently by the Project Sponsor in writing.
- Road Safety Audit Teams must limit their reports to matters within the scope of this Standard.
- Minutes of meetings must be recorded.
- All communications between the Road Safety Audit and Design Teams including design submissions, Interim Road Safety Audit Reports and minutes of meetings must be submitted to the Project Sponsor.
- Interim Road Safety Audit supplements the Road Safety Audits at Stages 1, 2, 3 and 4, therefore these Stage 1, 2, 3 and 4 Road Safety Audits must also be carried out and reported.

2.69. The Road Safety Audit Team will require a Road Safety Audit Brief for an Interim Road Safety Audit. This should contain as many of the items given in paragraph 2.89 as are available.

Road Safety Audit Team Approval and Appointment

2.70. Responsibility for the appointment of the Road Safety Audit Team at all stages will vary according to the procurement method for the scheme. Reference should be made to the scheme contract documents or the Overseeing Organisation for each scheme. If it is considered appropriate, the Project Sponsor may ask the Design Organisation to propose a Road Safety Audit Team for approval.

2.71. It is a fundamental principle of the Road Safety Auditing process that the Road Safety Audit Team is independent from the Design Team (see paragraph 1.6). The Project Sponsor must not accept a Road Safety Audit Team where its independence from the Design Team is in doubt. In such cases, an alternative Road Safety Audit Team must be proposed.

2.72. At Road Safety Audit Stages 1, 2, 3 and 4 the Road Safety Audit Team must comprise the Audit Team Leader and at least one Audit Team Member. This enables discussion between the Road Safety Auditors of the problems and recommendations and maximises the potential to identify problems. Road Safety Audit Team Observers may also join the Road Safety Audit Team to gain experience in carrying out Road Safety Audit. However, the number of Road Safety Audit Team Observers shall be limited to a maximum of two.

2.73. The Road Safety Audit Team must satisfy the Project Sponsor of their competence to undertake the Road Safety Audit. Members of the Road Safety Audit Team must demonstrate their competence by means of a road safety specific curriculum vitae. The information provided in the curriculum vitae must concisely set out how the proposed Road Safety Audit Team member’s training, skills and experience (including Continuing Professional Development) align with the guidance and requirements of this Standard. Approvals of the Road Safety Audit Team are scheme specific and the use of personnel or organisations on previous Road Safety Audit work does not guarantee their suitability to Road Safety Audit other schemes. Experience must be relevant to the type of scheme being Road Safety Audited and this relevant experience must be identified in the proposed Road Safety Audit Team members’ curriculum vitae.

2.74. At all Road Safety Audit stages the Project Sponsor is responsible for approving the Road Safety Audit Brief which shall be issued to the Road Safety Audit Team.

- 2.75. It is not necessary for the same Road Safety Audit Team to undertake all Road Safety Audit stages of a scheme, however, any changes to a Road Safety Audit Team and its individual members will require further approval from the Project Sponsor.

Road Safety Audit Team Training, Skills and Experience

- 2.76. Paragraphs 2.77 to 2.84 include guidance on the general levels of training, skills and experience that are expected of Road Safety Auditors. Most are not mandatory requirements but are intended to assist Project Sponsors when considering proposals for Road Safety Audit Teams and also to assist potential auditors to prepare themselves as candidates for Road Safety Audit Teams. The guidance is intended to be flexible, recognising that the experienced road safety professionals that are needed to carry out Road Safety Audits may have developed their careers from a range of backgrounds.
- 2.77. The most appropriate candidates for Audit Team Leader and Audit Team Member are individuals whose recent experience involves Collision Investigation or Road Safety Engineering on a regular basis. This should ensure that Road Safety Auditors are well versed in the most recent practices and developments in the field. Those candidates who have the recommended experience in Collision Investigation or Road Safety Engineering experience, but who have not undertaken such work on a regular basis in the previous 2 years, are unlikely to be acceptable, due to their lack of current relevant experience.
- 2.78. Candidates who carry out Road Safety Audits full time, to the exclusion of Collision Investigation or Road Safety Engineering work are unlikely to be acceptable as they may lack the appropriate and recent Collision Investigation or Road Safety Engineering experience.
- 2.79. Road Safety Auditors should also have an understanding of how best practice highway design principles may benefit road safety. It is not intended that Road Safety Auditors have extensive detailed design knowledge. However, they should have a reasonable understanding of design Standards and best practice design principles, and how the application of these can minimise collision risk.

2.80. The Continuing Professional Development (CPD) record included in the curriculum vitae must focus on Road Safety Audit, Collision Investigation and Road Safety Engineering. It shall include any other relevant CPD, covering areas such as highway design, traffic management and highway maintenance.

- 2.81. It should be noted that relevant CPD does not have to take the form of formal training courses alone. Outcome based structured reading, the preparation and presenting of relevant material and work based learning can all form part of a CPD record. Examples of what constitutes CPD can be found in places such as the Engineering Council (ECUK) web site.

2.82. Road Safety Audit Teams comprised of highway design engineers with little or no experience of road safety work are not acceptable.

- 2.83. The following list gives guidelines on acceptable training, skills and experience for Road Safety Audit Team Members:

- **Road Safety Audit Team Leader:** A minimum of 4 years Collision Investigation or Road Safety Engineering experience. Completion of at least 5 Road Safety Audits in the past 12 months as a Road Safety Audit Team Leader or Member. In order to become an Audit Team Leader the auditor will already have achieved the necessary training to become an Audit Team Member. However, they should also demonstrate a minimum 2 days CPD in the field of Road Safety Audit, Collision Investigation or Road Safety Engineering in the past 12 months.

- **Road Safety Audit Team Member:** A minimum of 2 years Collision Investigation or Road Safety Engineering experience. Completion of at least 5 Road Safety Audits as Road Safety Audit Team Leader, Member or Observer in the past 24 months. The Road Safety Audit Team Member should have attended at least 10 days of formal Collision Investigation or Road Safety Engineering training to form a solid theoretical foundation on which to base practical experience. They should also demonstrate a minimum of 2 days CPD in the field of Road Safety Audit, Collision Investigation or Road Safety Engineering in the past 12 months.
- **Road Safety Audit Team Observer:** A minimum of 1 year Collision Investigation or Road Safety Engineering experience. The Road Safety Audit Team Observer should have attended at least 10 days of formal Collision Investigation or Road Safety Engineering training.

Road Safety Auditor Certificate of Competency

- 2.84. At least one individual within the Road Safety Audit Team undertaking Road Safety Audit on the motorway and/or trunk road network must hold a Certificate of Competency in Road Safety Audit, acquired in accordance with Annex J of this Standard.

Specialist Advisors

- 2.85. The Overseeing Organisation, Design Organisation and the Road Safety Audit Team should consider if there are any particular features of the project, such as complex signal controlled junctions, temporary traffic management or maintenance issues that warrant the appointment of Specialist Advisors to advise the Road Safety Audit Team. Appointment of Specialist Advisors is subject to the approval of the Project Sponsor who would separately instruct them on their role. A Specialist Advisor is not a member of the Road Safety Audit Team but advises the team on matters relating to their specialism.

Design Manual for Roads and Bridges Standard GD 02/08

- 2.86. Paragraphs 2.76 to 2.84 of this Standard supersede the indicative levels of experience, professional status, training and competency suggested in **GD 02/08 “Quality Management Systems for Highway Design” (DMRB 0.1.2)** for Road Safety Auditors.

Road Safety Audit Brief

- 2.87. The Road Safety Audit Brief defines the scope of the Road Safety Audit to be undertaken. The Project Sponsor has overall responsibility for the Road Safety Audit Brief. However, the Design Team may prepare the Road Safety Audit Brief on their behalf. A copy of the Road Safety Audit Brief must be forwarded to the Project Sponsor for formal approval in advance of the Road Safety Audit. The Project Sponsor may instruct the Design Team to delete unnecessary items or to include additional material, as they consider appropriate. The Project Sponsor must document the reasons for deleting or adding any information to the Road Safety Audit Brief. The Project Sponsor must issue the Road Safety Audit Brief and instruct the Road Safety Audit Team when the scheme is ready to be Road Safety Audited.
- 2.88. To maximise the benefit from the Road Safety Audit process, the Road Safety Audit Brief needs careful preparation and must include sufficient information to enable an efficient and effective Road Safety Audit to be undertaken.

- 2.89. An illustrative Road Safety Audit Brief is shown in Annex E of this Standard. A Road Safety Audit Brief should contain the following:
- a) A description of the proposed Highway Improvement Scheme clearly identifying its objectives.
 - b) Scheme drawings showing the full geographical extent of the scheme and including the areas beyond the tie-in points.
 - c) Details of determined and pending Departures and Relaxations from Standards, and/or the Design Strategy Record(s) where they have been produced for an improvement to an existing motorway or trunk road.
 - d) Clear identification of the elements of the scheme proposals included within the scope of the Road Safety Audit to be undertaken and also those elements of the scheme that fall outside of the scope, including strategic decisions. The Road Safety Audit Brief should clearly identify where the scope of the Road Safety Audit has been extended to allow consideration of strategic decisions.
 - e) General scheme details, to help give an understanding of the purpose of the scheme and how the layout will operate, including design speeds, speed limits, traffic flows, forecast flows, queue lengths, NMU flows and desire lines (including NMU Context and Audit reports undertaken in accordance with **HD 42/05 (DMRB 5.2.5)**). Also details of any environmental constraints on the design and how these may have affected any strategic decisions made.
 - f) Details of any safety risk assessments undertaken as part of the design process (on the Strategic Road Network in England these will be undertaken with reference to **GD 04/12 “Standard for Safety Risk Assessment on the Strategic Road Network” (DMRB 0.2.3)**).
 - g) Any other relevant factors which may affect road safety such as adjacent developments (existing or proposed), proximity of schools or retirement/care homes and access for emergency vehicles.
 - h) The Road Safety Audit Brief should identify if the location of the Highway Improvement Scheme should be visited at a particular time of the day (e.g. peak traffic periods or beginning or end of the school day).
 - i) For on-line schemes and at tie-ins, the previous 36 months personal injury collision data in the form of ‘stick plots’ and interpreted listings. The personal injury collision data should cover both the extent of the scheme and the adjoining sections of highway.
 - j) At Road Safety Audit Stages 2 and 3, details of any changes introduced since the previous Road Safety Audit stage.
 - k) Any changes in the Highway Improvement Scheme that are not shown on the design or As-Built drawings.
 - l) Plans using an appropriate scale for the Road Safety Audit Team to mark up for inclusion in the Road Safety Audit Report.
 - m) Previous Road Safety Audit Reports, Interim Road Safety Audit Reports, Road Safety Audit Response Reports and Exception Report(s)

- n) Contact details of the Maintaining Agent to whom any identified maintenance defects should be notified (by telephone and immediately confirmed in writing for serious defects) separately from the Road Safety Audit Report (see paragraph 2.105).
- o) Details of the appropriate police contact.
- p) Details of any site access arrangements including any specific health & safety requirements such as inductions, Personal Protective Equipment and vehicle livery requirements.

2.90. If the Road Safety Audit Team considers the Road Safety Audit Brief to be insufficient for their purpose, requests for further information shall be made to the Design Team Leader and copied to the Project Sponsor. Any information requested but not supplied to the Road Safety Audit Team must be identified in the introduction to the Road Safety Audit Report.

Road Safety Audit Management

- 2.91. The Project Sponsor and Design Team should liaise and ensure that the Road Safety Audit process is initiated at the appropriate stages, allowing sufficient programme time to complete the full Road Safety Audit procedure. This should include an allowance for the incorporation of design changes.
- 2.92. The Design Team should ensure that the Road Safety Audit Team is given sufficient notice of when the scheme will be ready for Road Safety Audit and the date by which the report will be required.

2.93. The Road Safety Audit Team Leader must invite representatives of the Police and the Maintaining Agent to accompany the Road Safety Audit Team to offer their views for the Stage 3 Road Safety Audit.

- 2.94. The Road Safety Audit Team Leader may also, with the approval of the Project Sponsor, invite representatives of the Police and the Maintaining Agent to advise on Road Safety Audits at Stages 1, 2 and 4 where the Road Safety Audit Team Leader considers that their participation will benefit the Road Safety Audit.
- 2.95. During any Road Safety Audit site visit the total number of Road Safety Audit Team Members and its advisors should not exceed 6 individuals. This is because traversing sites in large groups can make the Road Safety Audit process more complex and could increase the potential for health & safety issues.
- 2.96. Site visit risk assessments should be produced prior to visiting site and reviewed during the site visit should conditions change. Risk assessment should be undertaken in accordance with the latest health and safety guidance/legislation and the Road Safety Audit organisation's Health & Safety policy. Any control measures identified during the site visit risk assessment process should be adhered to.

Road Safety Audit Report

- 2.97. At all Stages, the Road Safety Audit Team must prepare a written report. For Stage 4 Road Safety Audit Reports see paragraph 2.43 to 2.53. Stage 1, 2 and 3 Road Safety Audit Reports shall include:
- a) Identification of the Road Safety Audit stage including a unique document reference number and the status of the Road Safety Audit Report.
 - b) A brief description of the proposed Highway Improvement Scheme including details of its location and its objectives.
 - c) Details of who supplied the Road Safety Audit Brief, who approved the Road Safety Audit Brief and who approved the Road Safety Audit Team.
 - d) Identification of the Road Safety Audit Team membership as well as the names of others contributing such as the Police, Maintaining Agent and Specialist Advisors.
 - e) Details of who was present at the site visit, the date and time period(s) when it was undertaken and what the site conditions were on the day of the visit (weather, traffic congestion, etc.).
 - f) The specific road safety problems identified, supported with the background reasoning.
 - g) Recommendations for action to mitigate or remove the road safety problems.
 - h) A location map based on the scheme plan(s), marked up and referenced to problems and if available, photographs of the problems identified.
 - i) A statement, signed by both the Road Safety Audit Team Leader and the Road Safety Audit Team Member(s) in the format given in Annex D.
 - j) A list of documents and drawings reviewed for the Road Safety Audit.
- 2.98. The Road Safety Audit Report must contain a separate statement for each identified problem describing the location and nature of the problem and the type of collisions or incident considered likely to occur as a result of the problem. When deciding whether to include a potential problem, a Road Safety Auditor must consider who may be involved in a collision and how it might happen. If a collision type cannot be associated with the problem being considered, then it may not be appropriate to include the problem in the Road Safety Audit Report.
- 2.99. Each problem must be followed by an associated recommendation. The Road Safety Audit Team must aim to provide proportionate and viable recommendations to eliminate or mitigate the identified problems. On the Strategic Road Network in England, this will require awareness of the Highways Agency's level of tolerability of safety risk for road users referred to in **GD 04/12 (DMRB 0.2.3)**. Recommendations to "consider" should be avoided. Recommendations to "monitor" must only be made where a need to supplement the scheduled Stage 4 Road Safety Audit monitoring is specifically identified in terms of frequency and incidence of particular vehicle manoeuvres or collision contributory factors and the monitoring task can be specifically allocated. The use of the word "must" shall also be avoided in Road Safety Audit recommendations, as this may be misinterpreted as an instruction from the Road Safety Audit Team.
- 2.100. Items such as correspondence with the Overseeing Organisation or copies of marked up checklists must not be included in the Road Safety Audit Report.

2.101. An illustrative Stage 2 Road Safety Audit Report is shown in Annex F. The Road Safety Audit Report format shown is recommended for use for Road Safety Audit Stage 1, 2 and 3 Audits. Alternatively, the Project Sponsor may instruct the Road Safety Audit Team via the Road Safety Audit Brief to present the problems and recommendations in an alternative format, such as the order that they are encountered progressing along the length of the Highway Improvement Scheme.

- 2.102. The Road Safety Audit Team must send a draft Road Safety Audit Report directly to the Project Sponsor and not via the Design Team. The Road Safety Audit Team Leader shall discuss the draft Road Safety Audit Report with the Project Sponsor prior to formal submission so that misinterpretations of the scheme proposals or anything agreed to be outside the terms of reference can be identified and removed. If a Project Sponsor is unsure if a particular item should be removed from a Road Safety Audit Report, they must formally consult with an appropriate Specialist from the Overseeing Organisation.
- 2.103. Where the Project Sponsor agrees a variation on a recommendation with the Road Safety Audit Team Leader, this revised recommendation must be incorporated into the final Road Safety Audit Report. The Road Safety Audit Team Leader must consider the need to discuss variations with the Road Safety Audit Team and Specialist Advisors before variations are made and the final Road Safety Audit Report submitted to the Project Sponsor.
- 2.104. The Road Safety Audit Team Leader must not include in the Road Safety Audit Report, technical matters that have no implications on road safety or any other matters not covered by the Road Safety Audit Brief, such as maintenance defects observed during site visits and health & safety issues.
- 2.105. The Road Safety Audit Team Leader must send any comments on matters that are not covered by the Road Safety Audit Brief to the Project Sponsor in separate correspondence. Maintenance defects noted during site visits shall be immediately reported direct to the Maintaining Agent and the Project Sponsor must also be informed.
- 2.106. On receipt of the finalised Road Safety Audit Report, the Project Sponsor must issue the document to the Design Team to allow them to prepare a Road Safety Audit Response Report in accordance with this Standard.

3 ROAD SAFETY AUDIT – SUBSEQUENT ACTIONS

Road Safety Audit Response Report

- 3.1. It is the Project Sponsor's responsibility to ensure that all problems raised by the Road Safety Audit Team are given due consideration. To assist with this, the Design Team must prepare a Road Safety Audit Response Report to the Road Safety Audit Report at the Stage 1, Combined 1 & 2, Stage 2 and Stage 3 Road Safety Audits.
- 3.2. An illustrative Road Safety Audit Response Report is shown in Annex K. The Road Safety Audit Response Report should include the following:
- a) A summary of the scheme, the Stage of Road Safety Audit, the document reference and date of the Road Safety Audit Report it considers.
 - b) Full consideration of each problem and recommendation raised in the Road Safety Audit Report.
 - c) The Road Safety Audit Response Report should reiterate each problem and recommendation made, followed by a suggested Road Safety Audit response from the Design Team. The Road Safety Audit Response Report should include the problem location plan provided in the Road Safety Audit Report.
 - d) The Road Safety Audit Response Report should, for each problem and recommendation, do one of the following:
 - accept the problem and recommendation made by the Road Safety Audit Team;
 - accept the problem raised, but suggest an alternative recommendation, giving reasoning for the alternative recommendation or;
 - disagree with the problem and recommendation raised, giving appropriate reasoning for rejecting both the problem and recommendation.
 - e) Details of the representatives from the Design Team who prepared the Road Safety Audit Response Report.
- 3.3. The Design Team Leader shall send a draft Road Safety Audit Response Report to the Project Sponsor for consideration. Where the Project Sponsor agrees an amendment to a response with the Design Team Leader, this amendment shall be incorporated into the final Road Safety Audit Response Report. If a Project Sponsor is unsure about the contents of a Road Safety Audit Response Report they must formally consult with an appropriate Specialist from the Overseeing Organisation.
- 3.4. It is possible that the Project Sponsor may not be able to agree all the responses with the Design Team Leader. In this situation the final Road Safety Audit Response Report should identify this difference of opinion.
- 3.5. The Road Safety Audit Response Report should be issued to the Project Sponsor within 1 month (or an alternative timescale as agreed with the Project Sponsor) of the Design Team receiving the finalised Road Safety Audit Report.

- 3.6. The Project Sponsor must provide a copy of the final Road Safety Audit Response Report to the Road Safety Audit Team Leader for their information.

Exception Report(s)

- 3.7. The Road Safety Audit Response Report will initiate the requirement for an Exception Report(s) where:
- the problem and/or recommendation have not been accepted in the final Road Safety Audit Response Report and the Project Sponsor agrees with the response; or
 - the Road Safety Audit Response Report accepts a problem and/or recommendation, but the Project Sponsor does not agree with the Road Safety Audit Response Report.
- 3.8. An Exception Report must also be produced if the Project Sponsor considers:
- any Road Safety Audit problem raised to be insignificant; or
 - the Road Safety Audit problem to be outside the scope of the Road Safety Audit Brief; or
 - that the Road Safety Audit solutions recommended are not suitable given the relevant economic, environmental, or other relevant constraints; or
 - that the Road Safety Audit recommendations are technically not feasible.
- 3.9. In the situations identified in paragraphs 3.7 and 3.8 above, the Project Sponsor must prepare an Exception Report giving reasons and proposing alternatives for submission to the Overseeing Organisation's Director, with whom the final decision rests. Where an Exception Report(s) is approved by the Director, a record of this approval must be kept by the Project Sponsor on the Overseeing Organisation's scheme file (or equivalent). Should the Director disagree with the contents of the Exception Report(s), the Project Sponsor will either implement the Road Safety Audit Recommendation(s) or amend the Exception Report(s) to the satisfaction of the Overseeing Organisation Director.
- 3.10. If there is more than one exception in respect of a Road Safety Audit then each exception must be considered and approved separately.
- 3.11. When preparing Exception Report(s) on the Strategic Road Network in England, Project Sponsors must follow the principles contained in **GD 04/12 (DMRB 0.2.3)**. So when compiling an Exception Report(s) the Project Sponsor must ensure that an appropriate risk assessment is undertaken with consideration of the road safety risks associated with the potential problem and/or recommendation. The Project Sponsor must also consider the impact on other road users, those working on the highway, those living or working adjacent to the highway and the impact on the environment and scheme costs.

- 3.12. When producing Exception Reports, Project Sponsors may contact the Overseeing Organisation Specialists for advice.

- 3.13. The Project Sponsor shall provide copies of each approved Exception Report to the Design Team and Road Safety Audit Team Leader for action and information respectively.
- 3.14. For schemes undertaken on the Highways Agency road network, the Project Sponsor must also provide electronic copies of the final Road Safety Audit Reports, Road Safety Audit Response Reports and any Exceptions Reports to the Highway Agency Safer Roads - Design Team for their records.

Subsequent Actions

3.15. The Project Sponsor must instruct the Design Team in respect of any changes required during the preparation, design and construction of the scheme resulting from Road Safety Audit.

- 3.16. If the changes are substantial, the Project Sponsor should resubmit the Highway Improvement Scheme or element of the scheme that has materially changed for a further Road Safety Audit (see paragraphs 2.62 and 2.63). If a Project Sponsor is unsure if the Highway Improvement Scheme or element of the scheme needs to be resubmitted for Road Safety Audit they should formally consult with an appropriate Specialist from the Overseeing Organisation.

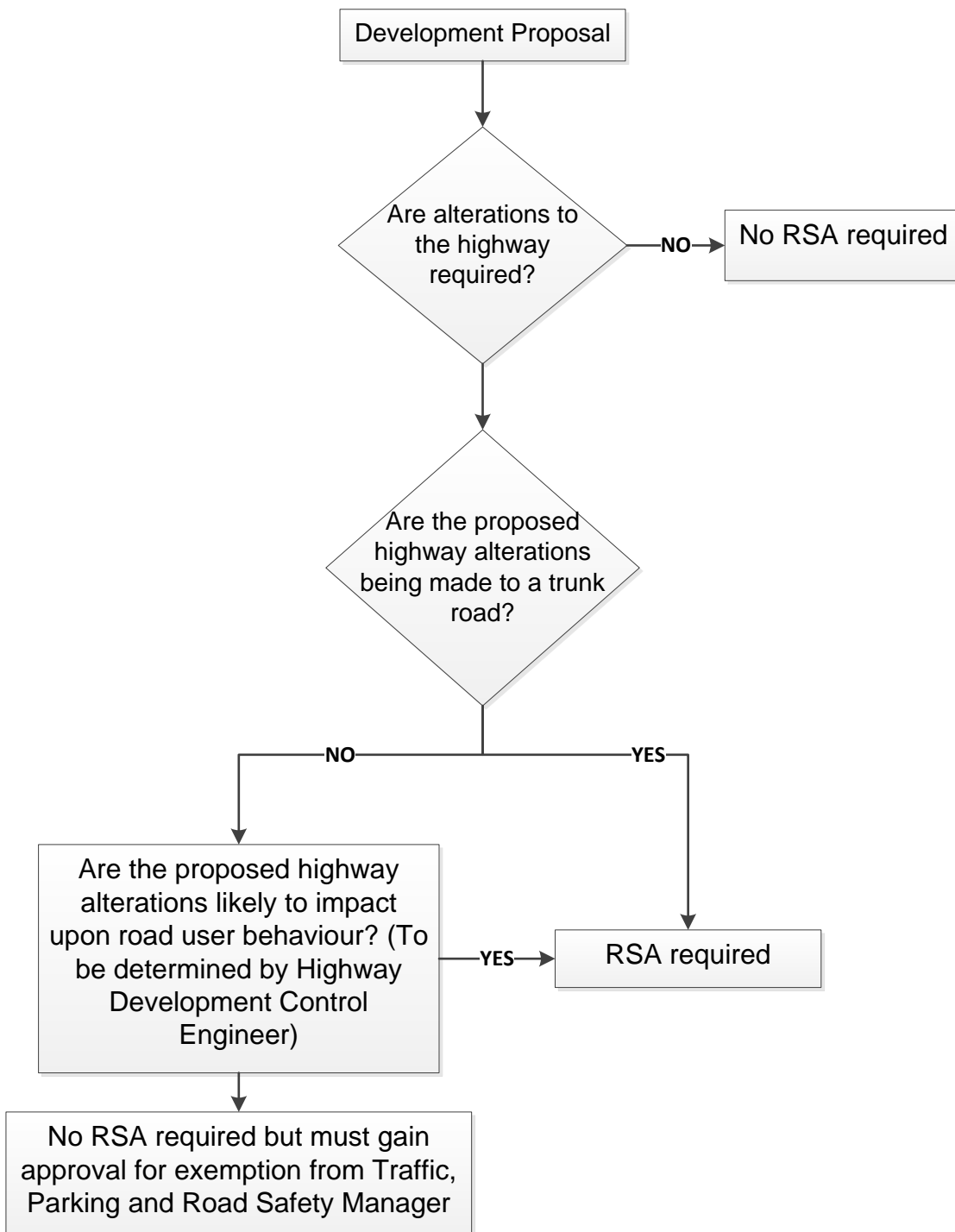
3.17. The Project Sponsor is responsible for initiating prompt action on all recommendations in the Road Safety Audit Report and on all Exception Reports approved by the Director. The Project Sponsor must notify the Director of the reasons if works to implement Stage 3 Road Safety recommendations or alternative measures proposed in Exception Reports, are not completed within 6 months of acceptance of the Stage 3 Road Safety Audit recommendations and/or approval of Exception Reports.

3.18. The Stage 4 Road Safety Audit Reports (see paragraphs 2.43 to 2.53) must be submitted to the Overseeing Organisation who will consider the reports and decide on appropriate action. Decisions made by the Project Sponsor in respect of the Stage 4 Road Safety Audit recommendations must be recorded by the Project Sponsor on the Overseeing Organisation's scheme file (or equivalent).

4. REFERENCES

- 1) Safety at Street Works and Road Works A Code of Practice – Department for Transport, October 2013
- 2) Department for Transport Traffic Signs Manual (TSM) Chapter 8 (2009)
- 3) GD 02/08, DMRB 0.1.2, Quality Management Systems for Highway Design
- 4) GD 04/12, DMRB, 0.2.3, Standard for Safety Risk Assessment on the Strategic Road Network
- 5) HD 42/05, DMRB, 5.2.5, Non-Motorised User Audits
- 6) European Commission (EC) Directive 2008/96/EC on Road Infrastructure Safety Management

Appendix B – Criteria for Road Safety Audit's



Notes

1. All Road Safety Audits carried out must comply with the procedures detailed within HD 19/15 "Road Safety Audit" which forms part of the Design manual for Roads and Bridges.
2. Where preliminary designs for alterations to the highway are being submitted as part of the supporting documentation for a planning application, a Stage 1 RSA must also be carried out and submitted with these supporting documents and must include the Designer's Response to the RSA report.
3. Sometimes, detailed design drawings may be submitted as part of the supporting documents to support a planning application, such as where the proposed alterations might be quite simple and straight forward. In such cases, a combined Stage 1 and 2 RSA will be required, unless Stage 1 RSA has been carried out previously, in which case, a separate Stage 2 RSA will be required, together with the Designer's Response.

Mae tudalen hwn yn fwriadol wag

Process for Road Safety Audits relating to Planning Applications

Wellbeing Impact Assessment Report

This report summarises the likely impact of a proposal on the social, economic, environmental and cultural well-being of Denbighshire, Wales and the world.

Assessment Number:	68
Brief description:	The process for requiring Road Safety Audits to be carried out for Planning Applications that require alterations to the highway
Date Completed:	Version: 0
Completed by:	
Responsible Service:	Planning & Public Protection
Localities affected by the proposal:	Whole County,

IMPACT ASSESSMENT SUMMARY AND CONCLUSION

Before we look in detail at the contribution and impact of the proposal, it is important to consider how the proposal is applying the sustainable development principle. This means that we must act "in a manner which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs."

Score for the sustainability of the approach

Could you do more to make your approach more sustainable?
(2 out of 4 stars)
Actual score : 14 / 24.

Summary of impact

Wellbeing Goals

A prosperous Denbighshire	Neutral
A resilient Denbighshire	Neutral
A healthier Denbighshire	Positive
A more equal Denbighshire	Neutral
A Denbighshire of cohesive communities	Positive
A Denbighshire of vibrant culture and thriving Welsh language	Neutral
A globally responsible Denbighshire	Neutral

Main conclusions

THE LIKELY IMPACT ON DENBIGHSHIRE, WALES AND THE WORLD

A prosperous Denbighshire

Overall Impact	Neutral
Justification for impact	Requiring Road Safety Audits to be carried out for more planning applications is unlikely to effect the prosperity of Denbighshire

Positive consequences identified:

Road Safety Audits contribute towards the safety of highway infrastructure

Unintended negative consequences identified:

Mitigating actions:

N/A

A resilient Denbighshire

Overall Impact	Neutral
Justification for impact	Won't affect resilience

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

A healthier Denbighshire

Overall Impact	Positive
Justification for impact	Road safety benefits contribute towards overall health and well being benefits

Positive consequences identified:

Contributes towards road safety

Unintended negative consequences identified:

Mitigating actions:

None

A more equal Denbighshire

Overall Impact	Neutral
Justification for impact	Measures that improve road safety benefit all of the population equally

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

A Denbighshire of cohesive communities

Overall Impact	Positive
Justification for impact	Road Safety Audits potentially benefit the safety of the community that they are undertaken in.

Positive consequences identified:

Road safety improvements benefit the community where the work takes place

Unintended negative consequences identified:

Mitigating actions:

None

A Denbighshire of vibrant culture and thriving Welsh language

Overall Impact	Neutral
Justification for impact	No impact on Welsh language or culture

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

A globally responsible Denbighshire

Overall Impact	Neutral
Justification for impact	No impact

Positive consequences identified:

Unintended negative consequences identified:

Mitigating actions:

N/A

Mae tudalen hwn yn fwriadol wag

Adroddiad i'r:	Pwyllgor Archwilio Cymunedau
Dyddiad y Cyfarfod:	27 Hydref 2016
Swyddog Arweiniol:	Cydlynnydd Archwilio
Awdur yr Adroddiad:	Cydlynnydd Archwilio
Teitl:	Rhaglen Waith Archwilio

1. **Am beth mae'r adroddiad yn sôn?**

Mae'r adroddiad yn cyflwyno drafft rhaglen waith i'r dyfodol y Pwyllgor Archwilio Cymunedau i'r aelodau ei hystyried.

2. **Beth yw'r rheswm dros lunio'r adroddiad hwn?**

Gofyn i'r Pwyllgor adolygu a chytuno ar ei raglen waith i'r dyfodol, a rhoi'r wybodaeth ddiweddaraf i aelodau ar faterion perthnasol.

3. **Beth yw'r Argymhellion?**

Bod y Pwyllgor yn ystyried yr wybodaeth a ddarparwyd ac yn cymeradwyo, diwygio neu'n newid ei raglen gwaith i'r dyfodol fel y gwêl yn briodol.

4. **Manylion am yr adroddiad.**

4.1 Mae Adran 7 o Gyfansoddiad Cyngor Sir Ddinbych yn nodi cylch gorchwyl, swyddogaethau ac aelodaeth pob Pwyllgor Archwilio. Mae'r Adran hon hefyd yn cynnwys rheolau gweithdrefnau a thrafodaeth ar gyfer cyfarfodydd pwyllgorau.

4.2 Mae'r Cyfansoddiad yn amodi bod yn rhaid i bwyllgorau archwilio'r Cyngor baratoi ac adolygu rhaglen ar gyfer eu gwaith i'r dyfodol. Drwy adolygu a blaenoriaethu materion mae modd i aelodau sicrhau fod y rhaglen waith yn cyflwyno rhaglen dan arweiniad yr aelodau.

4.3 Arfer sydd wedi'i fabwysiadu yn Sir Ddinbych ers nifer o flynyddoedd yw bod pwyllgorau archwilio'n cyfyngu ar nifer yr adroddiadau a ystyrir mewn unrhyw gyfarfod i uchafswm o bedwar, yn ogystal ag adroddiad rhaglen waith y Pwyllgor ei hun. Nod y dull hwn yw hwyluso cael trafodaeth fanwl ac effeithiol ar bob pwnc.

4.4 Yn y blynyddoedd diweddar mae Llywodraeth Cymru a Swyddfa Archwilio Cymru wedi tynnu sylw at yr angen i gryfhau rôl archwilio ar draws llywodraeth leol a gwasanaethau cyhoeddus yng Nghymru, gan

gynnwys defnyddio archwilio fel modd o ymgysylltu â phreswylwyr a defnyddwyr gwasanaeth. Wrth fynd ymlaen disgwylir i archwilio ymgysylltu'n well ac yn amlach â'r cyhoedd gyda golwg ar sicrhau penderfyniadau gwell a fydd yn y pen draw yn arwain at well canlyniadau i ddinasyddion. Yn y dyfodol, bydd Swyddfa Archwilio Cymru yn mesur effeithiolrwydd archwilio wrth gyflawni'r disgwyliadau hyn.

4.5 Gan ystyried y weledigaeth genedlaethol ar gyfer archwilio ac ar yr un pryd ganolbwyntio ar flaenoriaethau lleol, mae'r Grŵp Cadeiryddion ac Is-gadeiryddion Archwilio (GCIGA) wedi argymhell y dylai pwyllgorau archwilio'r Cyngor, wrth benderfynu ar eu rhaglenni gwaith, ganolbwyntio ar y meysydd allweddol canlynol:

- arbedion ar y gyllideb;
- cyflawni amcanion y Cynllun Corfforaethol (gyda phwyslais arbennig ar y modd o'u cyflawni yn ystod cyfnod o galedi ariannol);
- unrhyw eitemau eraill a gytunwyd gan y Pwyllgor Archwilio (neu'r GCIGA) fel blaenoriaeth uchel (yn seiliedig ar y meini prawf profion 'PAPER' - gweler ochr gefn y 'ffurflen gynneg aelodau' yn Atodiad 2) a;
- Materion brys, materion na ellir eu rhagweld neu faterion â blaenoriaeth uchel

Ffurflenni Cynnig ar gyfer Archwilio

4.6 Fel y crybwyllwyd ym mharagraff 4.2 uchod, mae Cyfansoddiad y Cyngor yn gofyn i bwyllgorau archwilio baratoi ac adolygu rhaglen ar gyfer eu gwaith i'r dyfodol. Er mwyn cynorthwyo'r broses o flaenoriaethu adroddiadau, os yw'r swyddogion o'r farn fod pwnc yn haeddu'r amser i gael ei drafod ar agenda fusnes y Pwyllgor, mae'n rhaid iddynt wneud cais ffurfiol i'r Pwyllgor i ystyried derbyn adroddiad ar y pwnc hwnnw. Gwneir hyn trwy gyflwyno 'ffurflen gynneg' sy'n egluro pwrpas, pwysigrwydd a chanlyniadau posibl y pynciau a awgrymir. Does dim un ffurflen gynneg wedi dod i law oddi wrth swyddog i'w ystyried yn y cyfarfod cyfredol.

4.7 Er mwyn gwneud gwell defnydd o amser archwilio drwy ganolbwyntio adnoddau pwyllgorau i archwilio testunau'n fanwl, gan ychwanegu gwerth drwy'r broses o wneud penderfyniadau a sicrhau gwell canlyniadau ar gyfer preswylwyr, penderfynodd y GCIGA y dylai'r aelodau, yn ogystal â swyddogion, gwblhau 'ffurflenni cynneg ar gyfer archwilio' yn amlinellu pam eu bod yn credu y byddai'r testun yn elwa o fewnbwn archwilio. Gellir gweld copi o 'ffurflen gynneg' yn Atodiad 2. Mae ochr gefn y ffurflen hon yn cynnwys siart lif sy'n rhestru'r cwestiynau y dylai aelodau eu hystyried wrth baratoi i gynneg eitem ar gyfer archwilio, ac y dylai pwyllgorau eu gofyn wrth benderfynu ar addasrwydd testun arfaethedig i'w gynnwys ar raglen gwaith i'r dyfodol archwilio. Os, ar ôl cwblhau'r broses hon, y penderfynir nad yw'r testun yn addas i'w archwilio'n ffurfiol gan bwyllgor archwilio, yna gellir

ystyried dulliau eraill o rannu'r wybodaeth neu archwilio'r mater e.e. darparu 'adroddiad gwybodaeth', neu os yw'r mater yn un o natur leol gellir ei archwilio gan y Grŵp Aelodau Ardal (GAA) perthnasol. Yn y dyfodol ni fydd unrhyw eitemau'n cael eu cynnwys ar raglen gwaith i'r dyfodol heb i 'ffurflen gynnig ar gyfer archwilio' gael ei chwblhau, ac i'r testun gael ei gymeradwyo i'w gynnwys ar y rhaglen gan un ai'r Pwyllgor neu'r GCIGA. Mae cymorth ar gael i lenwi'r ffurflenni gan y Cydlynnydd Archwilio.

Rhaglen Waith i'r Dyfodol y Cabinet

- 4.8 Wrth benderfynu ar eu rhaglen waith i'r dyfodol mae'n bwysig fod pwyllgorau archwilio yn ystyried amserlen rhaglen waith y Cabinet. Ar gyfer y diben hwn, mae rhaglen waith y Cabinet wedi ei chynnwys yn Atodiad 3.

Datblygiad Penderfyniadau'r Pwyllgor

- 4.9 Yn Atodiad 4 mae tabl yn crynhoi penderfyniadau diweddar y Pwyllgor ac yn cynghori aelodau am eu gweithrediad.

5. Grŵp Cadeiryddion ac Is-Gadeiryddion Archwilio

Dan drefniadau archwilio'r Cyngor mae'r Grŵp Cadeiryddion ac Is-Gadeiryddion Archwilio (GCIGA) yn gweithredu fel pwyllgor cydlyn. Cyfarfu'r Grŵp ddiwethaf ar 20 Medi 2016. Yn y cyfarfod hwnnw gofynnwyd i'r Pwyllgor hwn ystyried yr eitemau canlynol yn y cyfarfod presennol: Y Strategaeth Rheoli Risg Llifogydd, yr Effaith ar draws y Sir yn sgil y Cynnydd mewn Taliadau Meysydd Parcio a materion yn ymwneud â'r broses Archwilio Diogelwch ar y Ffyrdd. Hefyd gofynnwyd i'r Pwyllgor ystyried adroddiad ar Reoli Dŵr yn ardal Glasdir yn Rhuthun yng nghyfarfod mis Rhagfyr a'r Cynllun Gweithredu Gwylanod yng nghyfarfod Chwefror 2017.

6. Sut mae'r penderfyniad yn cyfrannu at y Blaenoriaethau Corfforaethol?

Bydd archwilio effeithiol yn gymorth i'r Cyngor gynnal y blaenoriaethau corfforaethol yn unol ag anghenion cymunedau a dymuniadau trigolion. Bydd datblygu ac adolygu'r rhaglen waith gydlynol yn barhaus yn cynorthwyo'r Cyngor i ddarparu ei flaenoriaethau corfforaethol, i wella canlyniadau i breswylwyr tra hefyd yn dygymod â thoriadau llym yn y gyllideb.

7. Faint fydd hyn yn costio a sut bydd yn effeithio ar wasanaethau eraill?

Mae'n bosib y bydd yn rhaid i wasanaethau neilltuo amser swyddog i gynorthwyo'r Pwyllgor gyda'r eitemau a nodwyd yn y rhaglen waith a chydag unrhyw gam gweithredu yn dilyn ystyried yr eitemau hynny.

8. Beth yw prif gasgliadau'r Aseiad o Effaith ar Les? Gellir lawrlwytho'r adroddiad Aseiad o Effaith ar Les o'r [wefan](#) a dylai gael ei gynnwys fel atodiad i'r adroddiad hwn

Nid oes Aseiad o Effaith ar Les wedi ei wneud mewn perthynas â phwrpas neu gynnwys yr adroddiad hwn. Ond bydd y Pwyllgor Archwilio, drwy ei waith yn archwilio darpariaeth gwasanaethau, polisïau, gweithdrefnau ac argymhellion, yn ystyried eu heffaith neu eu heffaith posib ar yr egwyddor o ddatblygu cynaliadwy a'r amcanion o ran lles a nodir yn Neddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015.

9. Pa ymgynghori sydd wedi digwydd?

Does dim angen cynnal ymgynghoriad ar yr adroddiad hwn. Fodd bynnag, mae'r adroddiad ei hun a'r ystyriaeth a roir gan y Pwyllgor i'w raglen waith ar gyfer y dyfodol yn gyfystyr ag ymgynghoriad gyda'r Pwyllgor o ran ei raglen waith.

10. Pa risgiau sy'n bodoli ac a oes unrhyw beth y gallwn ei wneud i'w lleihau?

Nid oes risg wedi ei ganfod o ran y Pwyllgor yn ystyried ei raglen waith. Fodd bynnag, wrth adolygu ei raglen waith yn rheolaidd gall y Pwyllgor sicrhau bod meysydd sy'n peri pryder yn cael eu hystyried a'u harchwilio fel y maent yn dod i'r amlwg a bod argymhellion yn cael eu gwneud er mwyn mynd i'r afael â nhw.

11. Grym i wneud Penderfyniad

Mae Adran 7.11 o Gyfansoddiad y Cyngor yn amodi fod y pwyllgorau Archwilio a/neu Grŵp Cadeiryddion ac Is-Gadeiryddion Archwilio yn gyfrifol am osod eu rhaglenni gwaith ac y dylent, pan yn penderfynu ar eu rhaglenni roi ystyriaeth i ddymuniadau yr Aelodau hynny o'r Pwyllgor nad ydynt yn aelodau o'r grŵp gwleidyddol mwyaf ar y Cyngor.

Swyddog Cyswllt:

Cydlynedd Archwilio

Rhif ffôn: (01824) 712554

e-bost: rhian.evans@sirddinbych.gov.uk

Communities Scrutiny Committee Forward Work Plan

Note: Items entered in italics have not been approved for submission by the Committee. Such reports are listed here for information, pending formal approval.

Meeting	Lead Member(s)	Item (description / title)	Purpose of report	Expected Outcomes	Author	Date Entered
15 December	Cllr. Eryl Williams [Education]	1. Home to School Transport Eligibility Policy	To consider a draft version of the revised policy ahead of its publication for stakeholder consultation	An opportunity to suggest final amendments/revisions to the draft policy prior to approving it for consultation with stakeholders	Karen Evans/Geraint Davies/Ian Land	June 2016
	Cllr. David Smith	2. Water Management – Glasdir area, Ruthin	To examine the ownership and/or responsibility for the flood and drainage in the Glasdir area (including the housing estate, new schools site, culverts under the relief road, holding ponds, Mwrog St. etc.)	An in-depth understanding of how flood risks and drainage in the area for the purpose of providing clarity with respect of the pending development of the new schools. The Committee's findings will be reported to the Planning Committee in due course.	Graham Boase	By SCVCG September 2016
2 February 2017	Cllr. Hugh Irving	1. Residents Survey 2017	To examine the proposed methodology for undertaking the Residents Survey, its contents and proposed questions	A meaningful survey tailored to measure residents' satisfaction with the Council whilst also seeking their views on areas for continual improvement to ensure that the Authority delivers/commissions high quality services which residents want and need	Alan Smith/Dai Morgan	September 2016
	Cllr. David Smith	2. Draft Seagull Action Plan	To monitor progress with the approval and implementation	Evaluate the effectiveness to date of the actions implemented to minimise the nuisance caused by seagulls to	Graham Boase	By SCVCG September 2016

Communities Scrutiny Committee Forward Work Plan

Meeting	Lead Member(s)	Item (description / title)		Purpose of report	Expected Outcomes	Author	Date Entered
				of the Action Plan (including residents and business community feedback on the effectiveness of actions taken to date to reduce seagull nuisance across the county)	residents and businesses and the impact of these measure on the delivery of the corporate priorities relating to economic development, protecting vulnerable people and clean and tidy streets		
23 March							
15 June	Cllr. David Smith	1.	Caravan Site Regulation Procedure	To evaluate the implementation of the Caravan Site Regulation Procedure	(i) an evaluation of the procedure's effectiveness in ensuring that caravan sites are abiding by their planning and licensing permission ensuring that they help support the development of the local economy and keep vulnerable people safe; and (ii) identification of any problems encountered during the procedure's enforcement and/or any anomalies or unforeseen risks that came to light during enforcement	Graham Boase/Paul Mead	May 2016
20 July							
7 September							
19 October							

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Communities Scrutiny Committee Forward Work Plan

Meeting	Lead Member(s)	Item (description / title)	Purpose of report	Expected Outcomes	Author	Date Entered
30 November						

Future Issues

Item (description / title)	Purpose of report	Expected Outcomes	Author	Date Entered
Community Infrastructure Levy (CIL)	To outline the proposals for implementing the CIL in Denbighshire	The development of an appropriate and effective CIL scheme for the County	Graham Boase/Angela Loftus	February 2013

For future years

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Information/Consultation Reports

Information / Consultation	Item (description / title)	Purpose of report	Author	Date Entered

Note for officers – Committee Report Deadlines

Meeting	Deadline	Meeting	Deadline	Meeting	Deadline
15 December	1 December	2 February 2017	19 January 2017	23 March	9 March

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06/10/16 RhE

Mae tudalen hwn yn fwiadol wag

Ffurflen Gynnig ar gyfer Rhaglen Gwaith i'r Dyfodol Archwilio	
ENW'R PWYLLGOR ARCHWILIO	
AMSERLEN I'W HYSTYRIED	
TESTUN	
Beth sydd angen ei graffu arno (a pham)?	
Ydi'r mater yn un o bwys i drigolion/busnesau lleol?	YDI/NAC YDI
Ydi craffu yn gallu dylanwadu ar bethau a'u newid? (Os 'ydi' nodwch sut rydych chi'n meddwl y gall craffu ddylanwadu neu newid pethau)	YDI/NAC YDI
Ydi'r mater yn ymwneud â gwasanaeth neu faes sy'n tanberfformio?	YDI/NAC YDI
Ydi'r mater yn effeithio ar nifer fawr o drigolion neu ardal fawr o'r Sir? (Os 'ydi', rhowch syniad o faint y grŵp neu'r ardal yr effeithir arni)	YDI/NAC YDI
Ydi'r mater yn gysylltiedig â blaenoriaethau corfforaethol y Cyngor? (Os 'ydi' nodwch pa flaenoriaethau)	YDI/NAC YDI
Hyd y gwyddoch, oes yna rywun arall yn edrych ar y mater hwn? (Os 'oes', nodwch pwy sy'n edrych arno)	OES/NAC OES
Os derbynnir y testun ar gyfer craffu, pwy fyddai arnoch chi eisiau eu gwahodd e.e. Aelod Arweiniol, swyddogion, arbenigwyr allanol, defnyddwyr y gwasanaeth?	
Enw'r Cynghorydd/Aelod Cyfetholedig	
Dyddiad	

Ystyried addasrwydd pwnc ar gyfer craffu

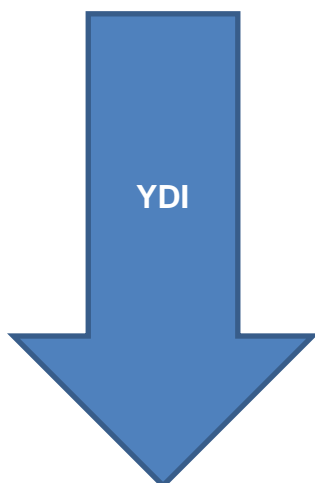
Ffurflen Gynnig / Cais a dderbyniwyd

(dylid rhoi ystyriaeth ofalus i'r rhesymau dros wneud cais)



Ydi o'n bodloni'r gofynion canlynol?

- **Diddordeb Cyhoeddus** – ydi'r mater o bwys i drigolion?
- **Effaith**– fedr craffu yn gael effaith ar bethau a'u newid?
- **Perfformiad** – ydi o'n wasanaeth neu faes sy'n tanberfformio?
- **Graddfa** – ydi o'n effeithio ar nifer o drigolion neu ardal ddaearyddol fawr?
- **Ailadrodd** – ydi'r mater yn destun craffu/ymchwiliad gan berson neu gorff arall?



Dim gweithredu pellach gan y Pwyllgor Archwilio. Gellir ei gyfeirio at gorff arall neu ofyn am adroddiad er gwybodaeth.

- Penderfynu ar y canlyniadau a ddymunir
- Penderfynu ar gwmpas a swmp y gwaith craffu sydd ei angen a'r dull mwyaf priodol o graffu (h.y. adroddiad pwyllgor, ymchwiliad grŵp tasg a gorffen neu aelod cyswllt ac ati)
- Os penderfynir sefydlu grŵp tasg a gorffen, dylid penderfynu ar amserlen yr ymchwiliad, pwy fydd yn rhan o'r ymchwiliad, beth yw'r gofynion ymchwilio, a oes angen cyngor arbenigol a thystion, a beth yw'r trefniadau adrodd ac ati.

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Appendix 3

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Meeting	Item (description / title)		Purpose of report	Cabinet Decision required (yes/no)	Author – Lead member and contact officer
25 Oct	1	Finance Report	To update Cabinet on the current financial position of the Council	Tbc	Councillor Julian Thompson-Hill / Richard Weigh
	2	Corporate Plan Performance Report 2016/17 Q1	To consider progress against the Corporate Plan	Tbc	Cllr Julian Thompson-Hill / Alan Smith
	3	Update on options appraisals for In-house Care Services	To consider and, if appropriate, make a decision on the potential options for future provision of the services identified in the report	Tbc	Cllr Bobby Feeley / Phil Gilroy
	4	Award of the Leisure Development Partner Framework	To approve renewal of the framework	Yes	Councillor Julian Thompson-Hill / Jamie Groves
	5	Items from Scrutiny Committees	To consider any issues raised by Scrutiny for Cabinet's attention	Tbc	Scrutiny Coordinator
15 Nov	1	Finance Report	To update Cabinet on the current financial position of the Council	Tbc	Councillor Julian Thompson-Hill / Richard Weigh
	2	Update on options appraisals	To consider and, if	Tbc	Cllr Bobby Feeley /

Cabinet Forward Work Plan

Meeting		Item (description / title)	Purpose of report	Cabinet Decision required (yes/no)	Author – Lead member and contact officer
		for In-house Care Services	appropriate, make a decision on the potential options for future provision of the services identified in the report		Phil Gilroy
	3	Rhyl Waterfront Development: Phase 1b commercial elements	For Cabinet to approve the funding model for the commercial elements of the Hospitality Phase	Yes	Councillor Hugh Evans / Rebecca Maxwell
	4	Update on options regarding Ysgol Llanfair and Ysgol Pentrecelyn	To consider options for Ysgol Llanfair and Ysgol Pentrecelyn	Yes	Councillor Eryl Williams / Karen Evans
	5	Items from Scrutiny Committees	To consider any issues raised by Scrutiny for Cabinet's attention	Tbc	Scrutiny Coordinator
13 Dec	1	Finance Report	To update Cabinet on the current financial position of the Council	Tbc	Councillor Julian Thompson-Hill / Richard Weigh
	2	Corporate Plan Performance Report 2016/17 Q2	To consider progress against the Corporate Plan	Tbc	Cllr Julian Thompson-Hill / Alan Smith
	3	Update on options appraisals for In-house Care Services	To consider and, if appropriate, make a decision on the potential options for future provision of the	Tbc	Cllr Bobby Feeley / Phil Gilroy

Cabinet Forward Work Plan

Meeting	Item (description / title)		Purpose of report	Cabinet Decision required (yes/no)	Author – Lead member and contact officer
			services identified in the report		
	4	Denbighshire Supporting People Local Commissioning Plan 2017-18	To approve the final Local Commissioning Plan for the Supporting People Programme in Denbighshire 2017-18 prior to submission to the Supporting People Regional Collaborative Committee in January 2017.	Yes	Cllr Bobby Feeley / Liana Duffy
	5	Items from Scrutiny Committees	To consider any issues raised by Scrutiny for Cabinet's attention	Tbc	Scrutiny Coordinator
24 January	1	Finance Report	To update Cabinet on the current financial position of the Council	Tbc	Councillor Julian Thompson-Hill / Richard Weigh
	2	Final Budget Proposals 2017/18	To consider the final budget proposals including the level of Council Tax before submission to Council	Tbc	Councillor Julian Thompson-Hill / Richard Weigh
	3	Update on options appraisals for In-house Care Services	To consider and, if appropriate, make a decision on the potential options for future provision of the	Tbc	Cllr Bobby Feeley / Phil Gilroy

Cabinet Forward Work Plan

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Meeting	Item (description / title)		Purpose of report	Cabinet Decision required (yes/no)	Author – Lead member and contact officer
			services identified in the report		
	4	Items from Scrutiny Committees	To consider any issues raised by Scrutiny for Cabinet’s attention	Tbc	Scrutiny Coordinator
28 February	1	Finance Report	To update Cabinet on the current financial position of the Council	Yes	Councillor Julian Thompson-Hill / Richard Weigh
	2	New Asset Management Strategy	Adoption of a new asset management strategy	Yes	Cllr Julian Thompson-Hill / Tom Booty
	3	Items from Scrutiny Committees	To consider any issues raised by Scrutiny for Cabinet’s attention	Tbc	Scrutiny Coordinator

Note for officers – Cabinet Report Deadlines

<i>Meeting</i>	Deadline	<i>Meeting</i>	Deadline	<i>Meeting</i>	Deadline
<i>October</i>	11 October	<i>November</i>	1 November	<i>December</i>	29 November

Updated 19/10/16 - KEJ

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Progress with Committee Resolutions

Date of Meeting	Item number and title	Resolution	Progress
8 September 2016	5. DWP/People Plus Provision in Denbighshire	<p><u>Resolved:</u> - to</p> <p>(i) <i>write to both the Department for Work and Pensions (DWP) and PeoplePlus inviting them to attend the Committee's next meeting on 27th October 2016 for the purpose of discussing the decision of relocating services from Rhyl to Flint; and</i></p> <p>(ii) <i>discuss with the DWP the development of the new Work and Health Programme and potential opportunities for the Council to work with the DWP with the aim of improving outcomes for residents, reducing poverty and the number of young people that become NEET, and fulfil the objectives of both the Corporate and Well-being Plans.</i></p>	Both agencies have accepted the invitation to attend the meeting on 27 October 2016
	6. Residents Survey	<p><u>Resolved:</u> - subject to the above observations that –</p> <p>(i) <i>a report be presented to the Committee in early 2017 outlining the proposed contents and questions to be contained in the 2017 Residents Survey along with the methodology(ies) under consideration for undertaking the survey; and</i></p>	<p>(i) item listed for consideration by the Committee at its February 2017 meeting</p> <p>(ii) relevant officers</p>

		<i>(ii) the Leader discuss with Group Leaders the feasibility of undertaking 'exit style' interviews with county councillors ahead of next year's local authority elections for the purpose of seeking their views on what the Council does well and which areas would benefit from improvement</i>	notified to include this item on the agenda of a forthcoming Group Leaders' meeting
	7. Primary and Secondary School Absenteeism	<p><u>Resolved:</u> subject to the above observations to -</p> <p><i>(i) endorse the policies and strategies utilised to improve pupil attendance in Denbighshire's schools;</i></p> <p><i>(ii) note the improved performance attained to date; and</i></p> <p><i>(iii) register their concerns that not all authorities across Wales were applying the policies and procedures in relation to unauthorised absences as stringently as Denbighshire.</i></p>	Lead Member and officers informed of the Committee's resolution
	8. Hazardous Routes to Schools	<p><u>Resolved:</u> subject to the above observations –</p> <p><i>(i) to endorse the contents of the report and the method by which Denbighshire County Council applies the Welsh Government's operational guidelines with respect of risk assessing walked routes to schools;</i></p> <p><i>(ii) to recommend that school routes that lie within areas subject to bio-diversity grass cutting</i></p>	Lead Member and relevant officers advised of the Committee's recommendations

		<p><i>schedules, and which have not been assessed within the last 12 months, be assess at the earliest possible opportunity;</i></p> <p><i>(iii) that all Member Area Groups (MAGs) be informed and consulted on an annual basis on the routes due for review in their area; and</i></p> <p><i>(iv) to support the proposal to carry out periodic reviews of home to school walking routes every five years, unless significant changes to traffic volumes or flows are reported, or requests are received for a review to be undertaken.</i></p>	
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Mae tudalen hwn yn fwiadol wag