

## Appendix 1: Completed Alternative Service Delivery Model (ASDM) Templates

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# 1. Example Template including guidelines for Services

## SERVICE (name) CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

Please complete the template below for all functions within your Service which are delivered by any type of alternative service delivery model

Compliance rating (for each area reviewed)	
<b>R (Red)</b>	Critical concerns
<b>O (Orange)</b>	Major areas to be addressed
<b>Y (Yellow)</b>	Some areas to be addressed
<b>G (Green)</b>	Excellent

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
List functions within the Service	How function is currently delivered e.g. commissioned / collaboration		Description of legal duties if mandatory	Narrative (list)	ROYG	<p>Narrative to describe mechanisms in place.</p> <p>a) <b>Who commissions the function?</b></p> <p>b) <b>How is performance reported?</b></p> <p>c) <b>What scrutiny is applied?</b></p> <p>d) <b>What is the scrutiny frequency?</b></p>	<p>Narrative to explain resilience against each of the following criteria</p> <p>a) <b>Value for money</b></p> <p>b) <b>Levels of demand (volume and complexity)</b></p> <p>c) <b>Capacity</b></p> <p>d) <b>Safety and compliance</b></p>	<p>a) ROYG</p> <p>b) ROYG</p> <p>c) ROYG</p> <p>d) ROYG</p>

## **Guidance notes for completion of ASDM template**

It is up to the service to determine what is significant, whether it be the financial value or the criticality of the service (e.g. statutory duty) that it is being delivering on the Council's behalf.

Definitions for a range of ASDMs (with the alternative being any other model that councils may have in place):

- **Outsourced / contracted to an external organisation** – outsourcing the provision of services to an organisation separate from the council, e.g. private sector / not for profit sector.
- **Delivered through an Arm's Length External Organisation (ALEO)** – An ALEO can be set up by a local authority to deliver services on its behalf. While being a separate legal entity, ALEO's governance arrangements enable local authorities to retain some control and oversight in the organisation. This may be through arrangements such as local authority representation on the board or as a shareholder, or through means such as providing assets or funding agreements. ALEOs can be set up as trading companies, trusts or other legal bodies.
- **Partnership / Shared Service Agreements** – Local authorities sharing services and / or working on a partnership basis with other public, private and / or not for profit sector organisations.
- **Joint Venture** – A partnership between two or more organisations to pool together resources with a focus on a particular initiative. Joint ventures tend to be more contractual and formal than other partnership agreements, and often involve the setting up of company structures.
- **Social Enterprise or Community-led Companies** – A service is developed by organisations with an invested interest / objective (often social or environmental). Any profits are usually reinvested in the service.

## 2. Summary of ASDM's in place within each Service at time of their respective Service Challenge, 2018/19

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
<b>Community Support Services</b>	<a href="#">Provision of Day Services</a>	The provision of day services was commissioned following a tender exercise	D	Risk of Business Failure	Y (Contract is newly awarded)
<b>Facilities, Assets and Housing</b>	<a href="#">Housing Register</a>	Hosting and administration of Common Housing register (SARTH) for the council and RSL's is delivered in partnership with Flintshire County Council	M	Council has a duty to maintain a register of housing need. (Housing Act 1996)	G
	<a href="#">Financial &amp; energy advice</a>	Delivery of independent specialist advice service for housing tenants	D	None	G
	<a href="#">Welsh language youth work provision</a>	Joint partnership collaboration between the Youth Service and the Urdd	M	LA has a duty to secure appropriate youth work delivery	G
	<a href="#">Contractors for major construction works</a>	Commissioning of contractors for major constructions works  Client employed technical advisors essential to ensuring quality, value for money and compliance are delivered by external contractors / consultants.	M	Building projects designed in accordance with statutory requirements	G

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
<b>Facilities, Assets and Housing</b>	<a href="#"><u>Mechanical &amp; engineering consultants, structural engineers, architects, quantity surveyors, Construction Design and Management (CDM)</u></a>	Commissioned on individual project basis	M	Building projects designed in accordance with statutory requirements	<b>G</b>
	<a href="#"><u>Legionella testing</u></a>	Legionella testing of residential properties managed by Denbighshire Housing. Annual order with teams	D	No legal duty to test individual residential properties, however HSE L8 applies social housing under water services	<b>G</b>
	<a href="#"><u>Gas Servicing, repairs and maintenance, water Hygiene, (Housing)</u></a>	Commissioning of services for gas servicing, repairs and maintenance and water hygiene (Denbighshire Housing) from external contractor.	M	Gas Safety (Installation and Use) Regulations 1998.	<b>G</b>
	<a href="#"><u>Service and compliance testing: non-housing</u></a>	Commissioning of services for service and compliance testing (non-Housing)	M	H&SWA – legislation for gas, water hygiene etc.	<b>Y</b>
	<a href="#"><u>Housing grounds maintenance contract</u></a>	Commissioned - Delivery of Housing Grounds Maintenance contract to Housing tenants / residents (currently by a private sector contractor)	M	Council has a duty to maintain Housing green space per the Housing Act 1996	<b>G</b>

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
Education and Children's Services	<a href="#">Provision for learners; and provision to ensure that learners attain.</a>	The school improvement function is delegated to the regional school improvement service (GwE) to carry out on its behalf. GwE is hosted by Gwynedd LA.	M	The duty to ensure that the curriculum offer is appropriate and that pupils achieve an appropriate level of attainment is a statutory requirement within the Education Act.	Y
	<a href="#">Adoption services</a>	North Wales Adoption Service was formed approximately five years ago. It is led by the operational management group chaired by Marian Hughes, Head of Service in Gwynedd. It is hosted by Wrexham LA.	M	The Social Services and Wellbeing Act places a duty on local authorities to provide adoption services for children.	Y
Finance Service	<a href="#">Civica – Revenues/ Benefits contract</a>	Contracted service – working in partnership 7 year contract started April 2015	M	To deliver Benefits services and NNDR, council tax collection and sundry debtors.	Y
	<a href="#">Citizens Advice Denbighshire</a>	Consumer and financial advice contract. Current 4 year contract started February 2019	D	Offering DCC residents free independent consumer and financial advice	G
	<a href="#">Gaia- Schools ICT Admin contract</a>	Contracted service - Contract Framework currently being tendered for 4 years starting Sept 2019 – Schools' ICT Networks contract (including Admin and Curriculum)	D	ICT Admin network to all DCC schools	Y

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
<b>Legal, HR &amp; Democratic Services</b>	<a href="#">Coroner Service North Wales (East and Central)</a>	Formal Service Level Agreement in place between Conwy, Denbighshire, Flintshire and Wrexham – Denbighshire is Lead Authority	M	Provision of Coroners Service across the 4 LA areas	G
	<a href="#">Welsh Translation Service</a>	A formal collaborative agreement between Denbighshire and Conwy CBC	M	Compliance with the Council's Welsh Language Standards	G
	<a href="#">Employee Assistance Programme</a>	The service is in the process of implementing an Employee Assistance Programme to replace its counselling service. The chosen provider is CareFirst which is part of the NPS Framework for Occupational Health.	D	There is a legal duty under the Health and Safety at Work Act 1974 to look after the health and wellbeing of our employees.	G
	<a href="#">Occupational Health Physician</a>	OH Physician Provision is being delivered on an as and when required basis by Caer Health who are par to the NPS Framework for Occupational Health.	D	There is a legal duty under the Health and Safety at Work Act 1974 to look after the health and wellbeing of our employees.	G
	<a href="#">Legal Prosecutions partnership with all NW Councils</a>	Informal collaboration with DCC as the lead Council.	M	Wide range of criminal enforcement matters from fly-tipping to fraud	G

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
Legal, HR & Democratic Services	<a href="#">Joint Procurement Service with Flintshire County Council</a>	Formal collaboration agreement for procurement services	M	EU based legal duties (Public Contracts Regulations 2014 )	Y
	<a href="#">North Wales Construction Framework (six North Wales Authorities)</a>	Formal collaboration agreement for procurement of major construction projects	M	Procurement of major construction projects	G
Highways & Environmental Services	<a href="#">Waste collection (textiles)</a>	Informal Partnership. Co-Options (third sector partner) collect textiles from households kerbside and process in accordance with waste hierarchy (re-use/recycling)	D	Separate collection not mandated but may be in future	G
	<a href="#">Operating household waste and recycling centres</a>	Outsourced - Contract with CAD Recycling. In two year extension period due to expire in March 2021. Operation of 3 recycling parks and pop up recycling parks, including all treatment and disposal.	M	Environmental Protection Action (1990) Section 51  Civic Amenities Act 1967	G



Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
<b>Highways &amp; Environmental Services</b>  <b>Highways &amp; Environmental Services</b>  <b>Highways &amp; Environmental Services</b>	<a href="#">Waste treatment (food waste)</a>	Outsourced contract With Biogen. Long term Collaborative Partnership Procurement with Flintshire and Conwy Council, with WG funding. Anaerobic Digestion facility based on Council owned land in Denbighshire.	M	Regulation 15(1) of waste (England and Wales) Regulations 2011  Towards Zero Waste Statutory Recycling Target  To be WG blueprint compliant we must collect Food waste separately	<b>G</b>
	<a href="#">Residual waste treatment and haulage (from June 2019)</a>	Outsourced by North Wales Residual Waste Treatment Partnership  Contractor WTI – waste sent to energy from waste facility Deeside (Parc Adfer)	M	Environmental Protection Act (1990)	<b>G</b>
	<a href="#">Residual waste reception, bulking (North)</a>	Outsourced contract for 2 years to March 2021 (with one year extension option)  Residual households waste collected in the North of the county is delivered to this facility and bulked for ongoing transport to Parc Adfer	M	Environmental Protection Act (1990)	<b>G</b>

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
Highways & Environmental Services	<a href="#">Bulky waste collection and treatment</a>	In house kerbside collection – with all waste delivered to CAD recycling for treatment or disposal.	M	Environmental Protection Act (1990)  Controlled Waste Regulation (1992) (definition)	Y
	<a href="#">Trade waste collection and disposal (residual)</a>	Veolia 2 year contract August 2018-August 2020	M	Environmental Protection Act 1990 Section 45	G
	<a href="#">Co-mingled recycling treatment</a>	Outsourced to UPM, Deeside.  Into final contract extension period due to expire in March 2020.	M	Regulation 15(1) of waste (England & Wales) Regulations 2011  Towards Zero Waste Statutory Recycling Target  Necessary to meet 70% statutory recycling target	Y
	<a href="#">Supply of wheeled bins, food caddies, sacks and liners</a>	Regular purchases are required to maintain stock levels. Historically this has been done through use of frameworks and mini competitions or the three quote process depending on value, resulting in a range of suppliers being used.	M/D	Section 45 EPA 1990 – LA's must provide if needed containers/sacks for waste. Liners are discretionary.	O

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
Highways & Environmental Services	<a href="#">Public transport</a>	Commissioned (outsourced to external organisations)  Some services by social enterprise/community-led companies	D	n/a	Y
	<a href="#">Education transport</a>	Commissioned (outsourced to external organisation)	M (some D)	Learner Travel (Wales) Measure (2008)  Safety on Learner Transport (Wales) Measure 2011	O
	<a href="#">Free concessionary transport</a>	Provision of free concessionary transport	M	Transport Act 2000  Travel Concessions (Eligibility Order) 2002	G

Service	Function	Description/Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Current risk profile
<p><b>Highways &amp; Environmental Services</b></p> <p><b>Highways &amp; Environmental Services</b></p>	<p><a href="#">CRDV AONB National Protected Area</a></p> <p><a href="#">Landscape scale Management and Conservation</a></p> <p><a href="#">Community Resilience</a></p> <p><a href="#">Access and Recreation</a></p> <p><a href="#">Sustainable Tourism</a></p> <p><a href="#">Visitor Management</a></p> <p><a href="#">Planning and Development</a></p> <p><a href="#">Biodiversity and Nature Conservation</a></p>	Partnership	<p>Mainly D</p> <p>Statutory function is 'development of Management Plan'</p>	<p>Legal Agreement</p> <p>Participation from all partners</p> <p>TOR guides governance</p>	<b>G</b>
	<p><a href="#">Tyre replacement and repairs</a></p>	Delivered by a national tyre company <b>ATS</b>	D	n/a	<b>G</b>

### 3. ASDM's by Service

#### 3.1. BUSINESS IMPROVEMENT & MODERNISATION

No identified ASDM's within Service at time of Service Challenge

#### 3.2. CUSTOMERS, COMMUNICATIONS & MARKETING

No identified ASDM's within Service at time of Service Challenge

#### 3.3. PLANNING & PUBLIC PROTECTION

No identified ASDM's within Service at time of Service Challenge

### 3.4.COMMUNITY SUPPORT SERVICES

#### CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>The provision of Day Services</b>	Commissioned following a tender exercise	<b>D</b>	Risk of Business Failure		<b>Y</b> (Contract is newly awarded)	a) Community Support Services b) Performance is reported by the provider via a quarterly Performance Monitoring Return. c) Allocated Contracts Officer will conduct on site visits to monitor against agreed performance indicators d) Monitoring visits are scheduled for quarterly for the first year of the contract. Frequency for subsequent years will be determined by performance in the first year.	<b>a)</b> The Provider has taken on a 25 year lease for the building. Therefore the Authority receives a rental income as well as relinquishing many responsibilities for the building's upkeep. Also, staff have TUPE'd over to the new provider, reducing the Authority's liability. The Authority has agreed to cover the costs for existing Users to access the centre for a period of 3 years. After this time, it is expected that the provider will have developed services enough to be self-supporting.	<b>a) G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
							<p>b) Due to the Authority's intention to externalise the service, attendance levels were kept low in order to enable the successful bidder to be able to develop a vision for future service delivery. It was a condition of the Tender that bidders demonstrated their competence to develop services on site.</p> <p>c) It is expected that capacity will grow as services develop. The Tender exercise tested bidder's business cases and ensured as far as possible that they had the financial stability and investment in order to achieve this.</p> <p>d) Safety of operation, and compliance with legislation, codes of practice and regulations were examined during the Tender process</p>	<p>b) Y</p> <p>c) Y</p> <p>d) Y</p>

3.5. FACILITIES, ASSETS & HOUSING

CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Housing Register</b>	Hosting and administration of Common Housing register (SARTH) for the Council and RSL's is delivered in partnership with Flintshire County Council	<b>M</b>	Council has a duty to maintain a register of housing need. (Housing Act 1996)	Reliant on partner to deliver.  Exit strategy required.16	<b>G</b>	Function is commissioned by Denbighshire Housing on behalf of Denbighshire County Council	Cost is £52k per annum. This is less than cost of 2 staff which we would need additional as a minimum to carry out this function internally.	<b>G</b>
						Performance is reported through the Partnership Agreement monitoring.	This includes contact centre as first point of contact, dedicated staff to assess housing applications in accordance with policy, ICT hosting, reviews and appeals processes. Currently there are 1,400 housing applications live. Interviews with customers can tend to be lengthy (up to an hour)	<b>G</b>
						Subject to Internal Audit and annual MAG agenda for member updates.	Dedicated staff are employed by Flintshire who were already carrying out this function themselves so we benefit from	<b>G</b>



Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
							their expertise and economies of scale.	<b>G</b>
						Internal Audit planned February 2019	There is a policy which allows for a regional panel to review decisions on request and applicants can appeal decisions which includes escalation to Denbighshire's complaints Policy. We retain responsibility for all member, MP or AM enquires relating to Housing Applications.	
<b>Financial &amp; Energy Advice (Key to Advice)</b>	Delivery of independent specialist advice service for housing tenants	<b>D</b>	None	Risks managed by contract	<b>G</b>	Function is commissioned by Denbighshire Housing	Contract was procured and the cost of £30k per annum is less than cost of providing this in-house and avoids additional responsibility around qualification and case review in accordance with financial regulations.	<b>G</b>
						Performance is managed through quarterly monitoring meetings in accordance with contract.	Service requires specialist qualified staff and case managers to audit detailed financial and energy advice case load.	

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						Quarterly monitoring meetings with provider	Contract allows for 150 cases per annum as a minimum	<b>G</b>
						Quarterly monitoring meetings with provider	Compliance is the responsibility of the provider in accordance with the contract.	<b>G</b>
<b>Welsh Language Youth Work provision</b>	Joint partnership collaboration between the Youth Service and the Urdd	<b>M</b>	LA has a duty to secure appropriate youth work delivery.	WG funding is reduced.  WG committed to Welsh language youth work provision	<b>G</b>	The agreement is between the Welsh Government, the Youth Service and the Urdd through the annually agreed work programme	The 20k partnership is considered to be value for money. This allows the YS to engage with welsh speaking communities. This is a WG award winning partnership. Both services value the arrangements and the Urdd and YS are exploring the appetite / opportunity to build on current arrangements in preparation for the YS prioritisation review work in 2019.	<b>G</b>
						Performance is reported through quarterly monitoring and 6 monthly reporting to Welsh Government	Welsh language youth workers are in short supply. This partnership contributes to addressing that need in both community provision and targeted work. This also includes updating the 'map' of Welsh Language Youth Work activity through the	<b>G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
					<b>G</b>		Welsh Language Reference Group. Currently demand is meeting expectations although this can fluctuate.	
						The Regional Director for the Urdd meets with Youth Service lead for monitoring and performance is annually reviewed through self-assessment process.	The Urdd contribute to the partnership through other funding that they bring to this activity. This is WG direct funding and through other sources too. Capacity is greater than the grant funding in this partnership. The YS benefits from this additionality.	<b>G</b>
						Monitoring meetings are held 4 times per year and in additional the annual review.	The Urdd train their own staff to Occupational standards and have effective DBS / Safeguarding policies in place.	<b>G</b>
<b>Contractors for Major Construction Works</b>	Commission	<b>M</b>	Building projects designed in accordance with statutory requirements	Client employed technical advisors essential to ensuring quality, value for money and compliance are delivered by external	<b>G</b>	Commissioned by Design and Construction in accordance with the DCC CPR's.	Projects tendered through the QS team, ensures VFM is achieved + quality evaluation criteria is set.	<b>G</b>
						Performance monitored through daily site inspections, Monthly project progress	Demand is driven by the building works programme (including the 21 <sup>st</sup> Century Schools programme) Complexity of design and	<b>G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
				<p>contractors / consultants, particularly following the Independent Inquiry into</p> <p>The Edinburgh Schools and Grenfell Tower disaster.</p>		<p>meetings; fortnightly D&amp;C management meeting, Client reporting on Verto.</p> <p>Contract administration carried out in-house by qualified and experienced D&amp;C employees to ensure the projects are delivered in accordance with the contract conditions and DCC CPR's whilst also ensuring the projects deliver the correct quality, within budget and on time.</p> <p>Robust financial control mechanisms are deployed to monitor, control and report on project cost in a timely manner.</p>	<p>individual project drivers will dictate specific demands on the contractors.</p> <p>Contractors frameworks are in place to ensure adequate capacity is available to deliver the programme</p>	<p><b>G</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						Contract Management / Administration are in place and executed constantly for the duration of the project until project closure, which maybe several years after handover depending on project complexity.	CDM and Statutory compliance requires for all building projects (planning, building regulations, funding requirements i.e. BREEAM); All contractors are pre-approved from a financial, capacity, capability and H&S perspective.	<b>G</b>
<b>Mechanical &amp; Engineering Consultants</b>	Commission on individual project basis	<b>M</b>	Building projects designed in accordance with statutory requirements	Market forces dictate the cost of the service provided  General Industry shortage of construction professionals which could impact on the quality and cost of the service provided.	<b>G</b>	Commissioned by Design and Construction in accordance with the DCC CPR's.	Mini competition carried out through the Consultants Framework ensures VFM is achieved and also quality evaluation criteria is set to ensure capability and capacity are maintained on a project by project basis.	<b>G</b>
<b>Structural Engineers</b>						Performance monitored through Design review meetings	Demand is driven by the building works programme (including the 21 <sup>st</sup> Century Schools programme) Complexity of design and individual project drivers will dictate specific demands on each discipline. Ability to stipulate specific needs on a project by	<b>G</b>
<b>Architects</b>								
<b>Quantity Surveyors</b>								

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<p><b>Construction Design and Management (CDM)</b></p>				<p>Reliant on consultant HR management and Professional organisations such as the RICS and RIBA to address any shortcomings in quality / quantity of output.</p>			<p>project basis ensures mini competitions are targeted at relevant consultants.</p>	
						<p>CDM (Principal Designer) and Technical Advisor (PTL) review of quality, compliance and fit for purpose. QS's monitor cost and value for money.</p> <p>Regular Client and Stakeholder engagement events to ensure compliance with project brief.</p>	<p>Increases in the regional construction programme will increase demand on the external consultants which could impact on the ability for the regional consultants to deliver a good quality and cost effective service. Ability to stipulate specific needs on a project by project basis ensures mini competitions are targeted at relevant consultants.</p>	<p><b>G</b></p>
						<p>Scrutiny provided at a minimum of monthly but may increase to weekly depending on complexity of the project and other drivers</p>	<p>CDM and Statutory compliance required for all building projects (planning, building regulations, funding requirements i.e. BREEAM) – H&amp;S competence is measured at framework tender stage and monitored via framework management (not DCC). Any commissioning outside the framework will include H&amp;S</p>	<p><b>G</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
							competency stipulations and measures.	
<b>Legionella Testing</b>	Annual order with teams	<b>D</b>	There is no legal duty to test individual residential properties, however HSE L8 does apply to social housing under water services	Denbighshire housing completes a 10% rolling sample check each year to demonstrate good practice. There are no high risk sites within the housing stock	<b>G</b>	Commissioned by Principal Investment Delivery Officer	Specifications and procurement processes satisfy any best practice/statutory requirements.	<b>G</b>
						After Legionella reports have been completed all remedial works will be completed reactively. As part of the Councils compliance checks the Legionella policy and procedure for the management and control of Legionella is reviewed. All Legionella certificates and documentation is kept in an accessible location for auditing.	No legal duty but carry out 10% sampling of residential properties as best practice.	<b>G</b>
						Regular review meetings with the contractor Compliance	No issues with contractor capacity	<b>G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						Officer monitors any change in legislation.		
						Scrutiny is provided on a quarterly basis.	There is no legal duty to test individual residential properties, however HSE L8 does apply to social housing under water services.	<b>G</b>
<b>Gas Servicing &amp; R&amp;M, Water Hygiene, (Housing)</b>	External Contractor  Liberty Gas  3 plus 2	<b>M</b>	The Gas Safety (Installation and Use) Regulations 1998, deals with the safe installation, maintenance and use of gas systems, including gas fittings, appliances and flues, mainly in domestic and commercial premises.	Other than gaining access to properties (which has its own protocol) there are no perceived risks at present as all installations are serviced in line with current regulation	<b>G</b>	Commissioned by Principal Investment Delivery Officer	Rates are set either from a relevant national framework or fixed costs based on contracts.	<b>G</b>
						Performance is reported through weekly supervisor meetings with the delegated officer and Liberty Contracts Manager. Regular progress meeting with Liberty Gas also occur. Additionally, performance is monitored against monthly KPI's from the F21 Framework.	We have a set number of households with gas installations.	<b>G</b>



Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						Scrutiny is applied by Third Party Audit checks (10%); Contract & Compliance Officer spot checks (registered Gas Safe Engineer); Tenant Satisfaction Data obtained; HSE Inspections & Internal Audit/	We have a contractor that is resourced to complete.	<b>G</b>
						Third party audits are completed weekly, spot checks are also completed regularly in-house, however their frequencies are increased when installations are being completed by the contractor.	Other than gaining access to properties (which has its own protocol) there are no perceived risks at present as all installations are serviced in line with current regulations.	<b>G</b>
<b>Servicing and Compliance</b>	Commission	<b>M</b>	H&SWA – legislation for	Lack of project management and	<b>Y</b>	Gas, Electric and Water are Commissioned out by the Principal Energy Officer. FRA is	Works are tendered every three years.	<b>G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria	
<b>Testing – Non Housing</b>			gas, water hygiene etc.	up to date information		commissioned by the Strategic Assets team.			
			Every job is CDM compliant and we work to all current, relevant regulations.			Performance is monitored through a set of KPIs	Capacity is dependent on the Council's asset list at any one time.		<b>G</b>
						These are reviewed by the Project Officer daily, and the Principal Energy Officer on a monthly basis.	Under-resourced currently and additional work picked up by other officers.		<b>Y</b>
						Scrutiny is provided by the Principal Energy Officer, as noted above.	As detailed in relevant legislation noted within the Legal Duties section.	<b>G</b>	
<b>Housing Grounds Maintenance Contract</b>	Commission - Delivery of Housing Grounds Maintenance contract to Housing tenants / residents	M	Council has a duty to maintain Housing green space per the Housing Act 1996	Requires on site/effective operational management/contract delivery.	<b>G</b>	Function is commissioned by Housing but managed on their behalf by C&F Department via the Housing Green Space team.	Process follows the Council's CPR's. The process of re-tendering is currently underway with both Housing and C&F involved in the Procurement process.	<b>G</b>	

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
	(currently by a private sector contractor)					<p>The contract management function is carried out by both Housing &amp; C&amp;F, via bi weekly meetings and monthly contract meetings with the contractor. Reports are provided to local members as required, either via a 'local' report for a particular locality or by a general members update.</p>	<p>The contract management function has been in place since 2015 and has worked with the existing contractor. There is a level of operational complexities of delivering this contract; weather, Housing Department requirements and changes to the Green Space environment.</p>	G
						<p>No formal scrutiny has been applied except for the initial requirement to move the operational management of this contract to C&amp;F in 2015 due to failures in the operational delivery of contract management. This has seen a reduction in customer complaints from 12-15 a</p>	<p>Dedicated staff are employed to manage the contract both from an operational contract delivery level and from a strategic contract management level. The existing Housing Green Space Team, Lead Officer C&amp;F and Housing staff have been sufficient to deliver this contract.</p>	G

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						day in 2015 to 11 in total in 2018.		
						Monthly contract meetings between Housing/C&F and the contractor. Regular site and operational meetings as required at operational level. Also ad hoc as required by the operational requirements of the contract at any given time in the contract schedule(s).	The contract is delivered under all existing DCC Procurement and H&S Policies, and via the Private Contractors own Risk Assessments and H&S Policy.	G

### 3.6. EDUCATION AND CHILDREN'S SERVICES

#### CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>The Local authority has a statutory duty to ensure provision for learner; and that learners attain.</b>	The school improvement function is delegated to the regional school improvement service (GwE) to carry out on its behalf. This arrangement was directed by WG in 2013. The statutory duty remains with the Local authority, but all operational duties are carried out by GwE.	M	The duty to ensure that the curriculum offer is appropriate and that pupils achieve an appropriate level of attainment is a statutory requirement within the Education Act.	<p>The current model is based on a level of funding. If the level of funding is reduced there will be an impact on service delivery.</p> <p>As the current model is largely directed by WG, lack of flexibility in approach also presents a risk.</p>	Y	<p>The current agreement is between the Local authority and GwE. However, this is not a commissioned service because this has been directed by Welsh Government.</p> <p>Performance is reported annually to Performance Scrutiny; and is reported on a regular basis to the GwE Joint Committee. All Lead Members for Education sit on this committee.</p>	<p>The service is audited and inspected by Estyn. As an organisation focussed on regional delivery it has been judged as provided value for money.</p> <p>Overall, the resilience of the service is dependent on whether or not it is able to meet demand from each LA individually; and whether or not it can respond to accommodate changing policy directives.</p> <p>The service currently has the capacity to meet the demand and is compliant with health and safety requirements e.g. DBS checking processes.</p>	G

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
	<p>GwE is hosted by Gwynedd LA.</p> <p>These duties include the following:  support and challenge;  leadership;  professional development.</p>							

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<p><b>The Local authority has a duty to provide adoption services</b></p>	<p>North Wales Adoption Service was formed approximately five years ago. It is led by the operational management group chaired by Marian Hughes, Head of Service in Gwynedd. It is hosted by Wrexham LA.</p>	<p>M</p>	<p>The Social Services and Wellbeing Act places a duty on LA's to provide adoption services for children.</p>	<p>The current model is not funded adequately and not solvent going forward.</p> <p>Amendments to adoption regulation will mean that children will have to be placed on a national waiting list. This could have a negative impact on service delivery and will have cost implications.</p>	<p>Y</p>	<p>Current arrangements are subject to the scrutiny of the Management Board.</p>	<p>The financial viability of the service going forward is being addressed and arrangements are in place.</p>	<p>O</p>

### 3.7. FINANCE SERVICE

#### CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Civica - Revenues/ Benefits contract</b>	Contracted service – working in partnership 7 year contract started April 2015	M	To deliver Benefits services and NNDR, council tax collection and sundry debtors.	Potentially challenges around making future saving	Y	a) Commissioned by Finance- Legal on behalf of Denbighshire County Council	The Civica contract allowed the authority to make £220,000 savings and the guarantee of no redundancies of former DCC colleagues.	<b>A) Y</b>
						b) Monthly operation board meetings with provider and  Quarterly strategic board meetings Weekly service meeting with Civica	Demand is monitored though our operation board including call statistics and the KPI's.	<b>B) Y</b>



Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						<p>c) Annual internal audit &amp; Annual Wales Audit office review</p>	<p>Civica has the ability to call on additional resource if required from other Civica location across the UK including their “on demand “facility. This resilience was noted by internal audit as a strength of the operating model.</p>	<b>C) Y</b>
						<p>d) Scrutiny through the monthly operational board, quarterly Strategic board and annually through internal and external Audits</p>	<p>The Civica contract was develop in conjunction with DCC legal services and offers the relevant protection. DCC develop policy and strategic thinking in the service and follow the DCC complaints procedures.</p>	<b>D) Y</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>CAD – Consumer and financial advice contract</b>	Contracted service - 4 year contract starting Feb 2019	D	Offering DCC residents free independent consumer and financial advice	Provider does not meet the required service delivery	G	a) Commissioned by Contracts & Performance Team in Finance on behalf of Denbighshire County Council	The CAD contract has offered savings to the authority from the original £260,000 PA down to £234,000 PA in the current contract.	<b>A) G</b>
						b) Monthly operation board meetings with provider and  Quarterly finance board meetings with provider and finance officer	Demand is monitored and managed through our operation board including call statistics, referrals and the KPI's.	<b>B) G</b>
						c) Internal audit	CAD Contract ensures that adequate capacity is available to deliver the support that is required	<b>C) G</b>
						d) Monthly and quarterly	The CAD contract was developed on the Authority's standard terms in conjunction with DCC Legal Services and Procurement and offers the relevant protection. DCC work with the CAD to develop policy and strategic thinking in this area.	<b>D) G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Gaia-Schools ICT Admin contract</b>	Contracted service - Contract Framework currently being tendered for 4 years starting Sept 2019 – Schools' ICT Networks contract (including Admin and Curriculum)	D	ICT Admin network to all DCC schools	Provider does not meet the required service delivery	Y	a) Commissioned by Contracts and Performance on behalf of schools/ DCC Education	In 2013 Cabinet elected to tender the schools admin network. The driver for the process was to support the WG delegated budget process and improve schools choice and quality of service.	<b>A) Y</b>
						b) Monthly operation board meetings with provider and  Quarterly schools ICT strategic group meetings for schools feedback	Demand is monitored and managed through our operation board including call statistics, referrals and the KPI's.	<b>B) Y</b>
						c) Internal audit, a schools ICT Group	The contract and KPI are scrutinise at review meeting and by school representatives at the ICT board	<b>C) Y</b>
						d) Monthly and quarterly	The Admin contract was developed on the Authority's standard terms in conjunction with DCC Legal Services and Procurement and offers the relevant protection.	<b>D) Y</b>

### 3.8. LEGAL, HR & DEMOCRATIC SERVICES

#### CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Coroner Service North Wales (East and Central)</b>	Formal Service Level Agreement in place between Conwy, Denbighshire, Flintshire and Wrexham – Denbighshire is Lead Authority	M	Provision of Coroners Service across the 4 LA areas	The new Coroner Area has been in place since 2013 and working very well	<b>G</b>	Formal agreement to create new full-time Coroner Area has been agreed by respective Councils since 2013.	a) Senior Coroner keeps expenditure to a minimum. Inquests held in LA Chambers across all 4 LA areas, resulting in no cost. Other associated costs have remained fairly static. Costs apportioned based on population	a) <b>G</b>
						Senior Coroner commissions all related services and investigations.	b) With an increase in demand for Courtroom facilities at County Hall, Ruthin, this is impacting on the time taken to list inquests due to unavailability of the Chamber. Agreement reached to explore feasibility of providing dedicated courtroom	b) <b>Y</b>
						Close working relationship exists between Senior Coroner and Business Support Team	c) No issues with capacity	c) <b>G</b>
						Senior Coroner is required to produce an Annual Report which is submitted to the Chief Coroner	d) No safety or compliance issues	d) <b>G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
						<p>Regular budget monitoring takes place and recharges made to each LA on a quarterly basis.</p> <p>Annual meetings with Senior Coroner and LA representatives</p> <p>Excellent communication in place and authority sought prior to any changes</p>		

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Welsh Translation Service</b>	A formal collaborative agreement between Denbighshire and Conwy CBC	M	Compliance with the Council's Welsh Language Standards	The collaboration has been in place & successful since 2013 & is being renewed for a further 3 years.	<b>G</b>	<p>A formal agreement governs the collaboration which has been considered by the Scrutiny Chairs &amp; Vice Chairs Group and was a line of enquiry at the 2018 Service Challenge.</p> <p>A business case for renewing the agreement for a further 3 years was circulated to SLT and the appropriate lead members. No negative comments were received from SLT &amp; a meeting held with lead members led to their endorsement.</p>	<p>a) Value for money. The agreement is not a profit-making operation for CCBC, it operates on economies of scale and a specialism. In 2013 the costs were below market prices and have remained at 2013 levels. Resources to support the system have been streamlined over the last two years to achieve savings.</p> <p>b) Levels of demand (volume and complexity). Over 3 million words are translated per year from thousands of individual orders placed from throughout the Council requiring different response times.</p> <p>c) Capacity. The capacity to meet the existing demand is proven. Increases in DCC demand would require an increase in DCC investment in the collaboration.</p> <p>d) Safety and compliance. No issues.</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p> <p>c) <b>G</b></p> <p>d) <b>G</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Employee Assistance Programme</b>	The service is in the process of implementing and Employee Assistance Programme to replace its counselling service. The chosen provider is CareFirst which is part of the NPS Framework for Occupational Health.	D	There is a legal duty under the Health and Safety at Work Act 1974 to look after the health and wellbeing of our employees.	The main risk associate with the EAP is accessibility and capacity of the new Company to meet our needs. This has been tested as part of the procurement process.	<b>G</b>	<p>a) <b>Who commissions the function?</b> The EAP Provider is part of the NPS Framework for Occupational Health in Wales and the service is commissioned by HR with support from Procurement.</p> <p>b) <b>How is performance reported?</b> – The new provider will supply quarterly Management Information reports which will show the usage levels broken down per department; reason for referral; outcome etc.</p> <p>c) <b>What scrutiny is applied?</b> – this will be undertaken by HR</p>	<p>a) <b>Value for money</b> – The proposed service will deliver an enhanced, more accessible service for a ¼ of the cost of the current service. It is anticipated that there will be a £60k saving across the authority including schools.</p> <p>b) <b>Levels of demand (volume and complexity)</b> - Currently we only provide Face to Face Counselling Service. AS the EAP will deliver a support service on-line; via telephone and face to face as well as an extended advice service similar to the CAB. It is difficult to know at this point what the demand will be.</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Occupational Health Physician</b>	OH Physician Provision is being delivered on an as and when required basis by Caer Health who are par to the NPS Framework for Occupational Health.	D	There is a legal duty under the Health and Safety at Work Act 1974 to look after the health and wellbeing of our employees.	There are no identified risk associate with this provision	<b>G</b>	<p><b>a) Who commissions the function?</b> Caer Health is part of the NPS Framework for Occupational Health in Wales and the service is commissioned by HR with support from Procurement.</p> <p><b>b) How is performance reported?</b> – This is monitored on a case by case basis through the scrutiny of the report supplied.</p> <p><b>c) What scrutiny is applied?</b> – This is undertaken by the OH Advisor.</p> <p><b>d) What is the scrutiny frequency?</b> – This will be done each time an employee is referred to the Physician Service.</p>	<p>a) <b>Value for money</b> – as we are only paying for appointments as and when we need to this has delivered in the region of £7k saving per annum.</p> <p>b) <b>Level of demand</b> – this various but is in the region of 15 cases per annum for attendance management as well as 12 Ill Health Retirement Applications.</p> <p>c) <b>Capacity</b> – Caer Health has a number of OH Physician and therefore they are more than able to meet our demands.</p> <p>d) <b>Safety and Compliance</b> – No issues.</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p> <p>c) <b>G</b></p> <p>d) <b>G</b></p>



Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Legal Prosecutions partnership with all NW Councils</b>	Informal collaboration with DCC as the lead Council.	M	Wide range of criminal enforcement matters from fly-tipping to fraud	Administrative function is supported by DCC but other Councils provide additional legal officer support so it balances out. This has been the subject of an internal audit which has provided assurance	<b>G</b>		<p>a) Reduces travel costs and legal officer time as no two prosecutors in court at the same time. Shares the prosecution resources.</p> <p>b) No of cases for 2018 across the region = 240 non fixed penalty prosecutions across NW. 315 FPN across NW.</p> <p>c) Capacity is an issue even with the collaboration in place. Occasionally it is not possible to attend court at all or to obtain a barrister. This is a reality of the market and all Councils reduction in staffing levels to deal with demand.</p> <p>d) The prosecutions partnership supports council priorities of cleaning up the streets and H&amp;S compliance including employment practices, food safety and trading standards.</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p> <p>c) <b>G</b></p> <p>d) <b>G</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Joint Procurement Service with Flintshire County Council</b>	Formal collaboration agreement	M	EU based legal duties (Public Contracts Regulations 2014 )	Risk that one partner may derive a greater benefit from staff resources than the other.	<b>Y</b>	a) - All DCC and FCC services  b) - A joint procurement board with representation from Lead Member for Finance and the Monitoring Officer. KPIs are reported onto Verto  b) - Each board meeting will cover the corporate KPIs, level of collaborative procurements, missed opportunities, budget, procurement strategy, resources split is also monitored via the time recordings of business partners so VfM is monitored.  d) - A minimum of quarterly meetings take place	a) Business partners are shared across a category; one manager covers both councils; collaborative procurement should produce efficiencies and savings due to economies of scale; close links with legal function means less likelihood of successful challenges in this litigious area.  b) Total combined spend for 2018 = DCC is £128,000,000, FCC is £147,000,000. Complex procurement matters have been kept in house saving a considerable amount if the council outsourced the activity; some services have expressed a desire for dedicated procurement support.  c) Capacity remains an issue for the manager in particular but this has been addressed to some degree with a dedicated legal officer support on the DCC side.  d) There are non-compliance issues with services from time to time. This results in unnecessary time and efforts being put in to make something fit or put it right.	a) <b>Y</b>  b) <b>Y</b>  c) <b>Y</b>  d) <b>Y</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>North Wales Construction Framework (six North Wales Authorities)</b>	Formal collaboration agreement	M	Procurement of major construction projects	Lack of collaboration and cooperation between the six partner authorities impacts on delivery	<b>G</b>	<p>Inter authority agreement between authorities</p> <p>Terms of reference for all boards and groups</p> <p>Strategic Board meets every 6 months for decisions and updates</p> <p>Forum including clients and contractors</p> <p>Review of KPI's</p> <p>KPI methodology and engine</p>	<p>a) Delivery of targeted Community Benefits on each project, with continuous audits on delivery.</p> <p>b) Mini tender competitions ensuring we have competitive cost and service in line with the type of projects.</p> <p>c) The current Framework is setup to let up to £500m worth of projects across six authorities and other public sector bodies.</p> <p>d) Capacity remains an issue and it is intended to increase it by recruiting half an officer to support the new larger Framework. The Framework team oversees every mini tender to ensure there is compliance on the process, after that each authority is responsible to make sure it meets their own internal procedures.</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p> <p>c) <b>G</b></p> <p>d) <b>G</b></p>

### 3.9. HIGHWAYS AND ENVIRONMENTAL SERVICES

#### CONTRACTS, PARTNERSHIPS AND OTHER ASDM ARRANGEMENTS; RESILIENCE STATEMENT 2018/19

##### 3.9.1. Waste and Recycling

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Waste collection (textiles)</b>	<p>Informal Partnership</p> <p>Co-Options (third sector partner) collect textiles from households kerbside and process in accordance with waste hierarchy (re-use/recycling)</p> <p>Low/neutral cost/value</p>	D	Separate collection not mandated but may be in the future	<p>Reliance on viability of third sector organisation. Value of textiles can impact on deliverability.</p> <p>Only partial coverage of service due to viability in more rural locations (Will be address through New Waste operating Model)</p>	G	<p>Informal arrangement managed by Senior Technical Officer. No contract, we just supply the bags in return for reporting the tonnage diversion.</p> <p>Tonnage data supplied quarterly for waste data flow returns No Scrutiny on service reliability applied as</p>	<p>a) <b>Value for money</b> Corporately it has been accepted that the third sector provide best value and wider economic benefits (Cabinet 2018)</p> <p>b) <b>Levels of demand (volume and complexity)</b> range of choice for public (charity collections) mean low risk/low demand of service but more behaviour change required to divert textiles from residual waste stream (LA responsibility)</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
							<p><b>c) Capacity</b>  Co-Options have ability to expand and even work with neighbouring third sector orgs if required</p> <p><b>d) Safety and compliance</b>  Comply with DCC reporting requirements. H and S not monitored by DCC</p>	<p><b>c) G</b></p> <p><b>d) Y (not monitored)</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary	Legal duties	Risks of current model	Current risk	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Operating Household Waste and Recycling Centres</b>	Outsourced - Contract with CAD Recycling.  In two year extension period due to expire in March 2021. Operation of 3 recycling parks and pop up recycling parks, including all treatment and disposal.	M	Environmental Protection Action (1990) Section 51  Civic Amenities Act 1967	Long term existing contract means the VfM through alternative commissioning not been tested for some time.  Ageing infrastructure at 2/3 sites requiring replacement / investment (Contractual obligation to Council)  Extremely reliable and high performing local provider means there are no operational or reputational risks.	G	Waste and Recycling service responsible for commissioning.  Tonnage data supplied monthly and performance linked to payment mechanism via bonus payment. Quarterly contract meetings held. Service reviewed regularly to identify/ deliver savings	<b>a) Value for money</b> Services cost more than Welsh median but also achieve higher diversion rates. Not tendered since 2009 so markets not recently tested. Extension granted to give time for the WG Collaboration Project (North Wales).	<b>a) Y</b>
							<b>b) Levels of demand (volume and complexity)</b> Volumes / traffic flows are consistent/ predicable	<b>b) G</b>
							<b>c) Capacity</b> Population size requires 2 sites only but geographical spread means 3 sites better serve the public.	<b>c) G</b>
							<b>d) Safety and Compliance</b> Quarterly meetings held to monitor performance and safety but no KPI framework in place other than pay mechanism related to recycling performance. Spot checks to be built into Technical Team role 19/20 onwards. Riddor and accident reporting not previously discussed but to be added as standard agenda item from 19/20	<b>d) Y</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Waste Treatment (Food Waste)</b>	Outsourced contract  With Biogen  Long term Collaborative Partnership Procurement with Flintshire and Conwy Council, with WG funding. Anaerobic Digestion facility based on Council owned land in Denbighshire.	M	Regulation 15(1) of waste (England and Wales) Regulations 2011  Towards Zero Waste Statutory Recycling Target  Necessary to meet 70% statutory recycling target  To be WG blueprint compliant we must collect Food waste separately	Low risk. Long term arrangement with option to extend, or renegotiate more favourable terms with early extension award  Reliable/ experienced operator incentivised to ensure plant operates optimally	G	DCC lead authority for Partnership. Monthly analysis of tonnage / costs and LA apportionment/ reconciliation.  Waste and Recycling service responsible for commissioning.  Quarterly contract meetings held. Annual review/ report, overseen by Welsh Government.	<p><b>a) Value for money</b> One of first AD plants in Wales to be provided so tied into a gate fee arrangement that is higher than the median until the contract review period. Opportunity to offer early contract extension for more favourable gate fee price should be explored.</p> <p><b>b) Levels of demand (volume and complexity)</b> Admin capacity funded through FCC and CCC contribution.</p> <p><b>c) Capacity</b> Steady shifts in tonnages are afforded as spare capacity at plant. LA's given priority over commercial contracts.</p> <p><b>d) Safety and compliance</b> Monitored through contract management and reporting arrangements</p>	<p>a) G</p> <p>b) G</p> <p>c) G</p> <p>d) G</p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Residual Waste Treatment and Haulage</b>  (From June 2019)	Outsourced by North Wales Residual Waste Treatment Partnership  Contractor WTI – waste sent to energy from waste facility Deeside (Parc Adfer)	M	Environmental Protection Act (1990)	Low Risk	G	Flintshire lead commissioning authority. Governance structure in place with elected members and senior officers. Joint Committee for decision making. Contract monitored at various levels. Project board, technical officer group and Flintshire based contract manager/supporting team	<b>a) Value for money</b> Government incentives and collaboration will ensure LA VfM compared to alternative provision	a) G
							<b>b) Levels of demand (volume and complexity)</b> Contribution of approx. £35K pa towards contract management, £20K pa community benefit contribution. Pay mechanism complex and requires weekly reconciliation/population	b) G
							<b>c) Capacity</b> Capacity on W and R team and back up (for resilience) to be sought in wider departmental resources to ensure timely and robust contract management/reconciliation	c) Y
							<b>d) Safety and compliance</b> Risk register KPI framework and H and S monitoring actively monitored	d) G



Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Residual Waste reception, bulking (North)</b>	<p>Outsourced contract for 2 years to March 2021 (with one year extension option)</p> <p>Residual households waste collected in the North of the county is delivered to this facility and bulked for ongoing transport to Parc Adfer</p>	M	Environmental Protection Act (1990)	<p>Low Risk</p> <p>This is an interim arrangement to enable Conwy and Denbighshire Council time to identify an in-house option, through IAA2 funding.</p> <p>Reliable contractor, previously operating for council.</p>	G	<p>Recently awarded but DCC previously used Thorncliffe's, who have performed very reliably with no issues recorded.</p>	<p><b>a) Value for money</b> Recent tender – work carried out to establish this cheaper option than in-house provision at Kinmel Depot. Interim arrangement only until suitable in house location identified.</p> <p>Joint tender with Conwy did not result in better value (gate fee price)</p> <p><b>b) Levels of demand (volume and complexity)</b> Waste flows and tasks predictable.</p> <p><b>c) Capacity</b> Thorncliffe's site large enough to take all waste and fluctuations. Client team sufficient to manage contract for DCC and CCC.</p> <p><b>d) Safety and compliance</b> To be monitored through quarterly meetings, annual report and day to day contact. No formal KPIs but very low risk contract.</p>	<p>a) G</p> <p>b) G</p> <p>c) G</p> <p>d) G</p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Bulky Waste collection and treatment</b>	In house kerbside collection – with all waste delivered to CAD recycling for treatment or disposal.	M	Environmental Protection Act (1990)  Controlled Waste Regulation (1992) (definition)	There is currently no separate contract in place for the reception and treatment/disposal of this waste. Therefore there is a procurement risk as not complying with CPR's. This waste is unsuitable for the Parc Adfer Contract. CAD extract white goods, mattresses and other suitable bulky items for	Y	Management of waste stream discussed through HWRC contract meetings as required – low risk non-customer facing service element.  Fixed fee paid to CAD for bulky waste  Opportunity to review service and benefits of commissioning third sector to collect and re-use/deconstruct. CREST have expressed interest informally. Other providers may also be interested (CAD, Co-options)	<b>a) Value for money</b> Fixed fee paid to CAD for bulky waste. Further work required to test markets, especially with new collection charge implanted April 2019.	a) O
							<b>b) Levels of demand (volume and complexity)</b> Tonnages and quality of items will fluctuate depending on DCC collection charge.	b) G
							<b>c) Capacity</b> No issues under current CAD arrangement as they handle large tonnages from HWRC contract.	c) G
							<b>d) Safety and compliance</b> Quarterly HWRC meetings held to monitor performance and safety but no KPI framework in place other than pay mechanism related to recycling performance. Spot checks to be built into Technical Team role 19/20 onwards. Riddor and accident reporting not previously discussed but to be added as standard agenda item from 19/20. Recycling performance monitored	d) Y

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
				recycling as it is a similar composition to HWRC waste. But out of scope of HWRC contract. Needs addressing.				

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Trade Waste collection and disposal (Residual)</b>	Veolia 2 year contract August 2018-August 2020	M	Environmental Protection Act 1990 Section 45	Fixed prices with Veolia restrict DCC's ability to win new business and compete with other industry players.  Contract reliability excellent	G	<p>KPI pay mechanism in place and quarterly contract meetings plus contact procedures working well for day to day management</p> <p>However, the contract has still not been sign – awaiting Veolia response currently.</p>	<p><b>a) Value for money</b> Recent tender with several bidders suggests favourable market rate</p> <p><b>b) Levels of demand (volume and complexity)</b> Number of overall clients relatively stable. Interface between DCC and contractor simple and well organised.</p> <p><b>c) Capacity</b> Veolia well placed to expand if required. However, back office team not currently working within acceptable SLA's for resolving customer enquiries and training/vacancy filling needs to be prioritised.</p> <p><b>d) Safety and compliance</b> Monitored quarterly through contract meetings. Monthly KPI Performance scorecard in place and contractually binding with deduction levels agreed.</p> <p>Scrutiny scheduled to examine contract Feb/March 2020</p>	a) G
								b) G
								c) Y
							d) G	

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Co-mingled Recycling Treatment</b>	Outsourced to UPM, Deeside  Into final contract extension period due to expire in March 2020.	M	Regulation 15(1) of waste (England & Wales) Regulations 2011  Towards Zero Waste Statutory Recycling Target  Necessary to meet 70% statutory recycling target	Financial Risk of £180K to £270K budget pressure certain from April 2020 until new waste operating model adopted Mid 2021/22 due to market trends.  There is no option but to go to markets for this contract.	Y	Contract was extended April 2018.  TD Requested support from procurement (HS) to locate contract extension report/signed agreement.  Service only needs this type of treatment facility until 21/22 due to changes to waste collection model so there is no scope for delivering this service differently, despite costs of treatment (gate fee) set to double next year due to market trends.  Re-procurement required Autumn 2019 for 2 year deal.	<b>a) Value for money</b> Very competitive gate fee likely to increase (by 50-80%) when securing new contract.  <b>b) Levels of demand (volume and complexity)</b> Regular and predictable – no issues on contract management staffing or contractors ability to take more or less volume.  <b>c) Capacity</b> No issues on contract management staffing or contractors ability to take more or less volume.	<b>a) G</b>  <b>b) G</b>  <b>c) G</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
				<p>Rated Y risk due to increase in contamination rates requiring intervention by DCC to ensure best price secured in future procurements</p>		<p>It is recognised high cost of treatment not acceptable going forward hence change to waste source segregated operating model</p>	<p><b>d) Safety and compliance</b>            H&amp;S not monitored as DCC staff do not deliver to site. Monthly tonnage and contamination report provided, along with final destination reporting required by Waste Data Flow. UPM Loss Time accident stats reported monthly – excellent record to date.</p> <p>Quarterly contract meetings to be held from April 2019.</p>	<p><b>d) Y</b></p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Supply of wheeled bins, food caddies, sacks and liners</b>	Regular purchases are required to maintain stock levels. Historically this has been done through use of frameworks and mini competitions or the three quote process depending on value, resulting in a range of suppliers being used.	M/D	Section 45 EPA 1990 – LA's must provide if needed containers/sacks for waste. Liners are discretionary.	DCC CPR's have historically not been followed (Contract Award report and contracts for over £10K value) due to high number of procurements each year.  Procurement often delays delivery due to low stock levels.	O	Supply only contracts with low risk to public/trade	<b>a) Value for money</b> Current route ensures value for money through regular tendering process. <b>b) Levels of demand (volume and complexity)</b> Fluctuates depending on live projects and many other factors <b>c) Capacity</b> Not enough capacity in team to follow CPRs and produce contracts/contract award reports. Need to consider longer term contracts (2-3 years) with ability to call off (one for bins, one for caddies and one for liners).  <b>d) Safety and compliance</b> As supply only monitored through procurement process / warranties. H&S not monitored other than deliveries to site.	a) <b>G</b>  b) <b>G</b>  c) <b>O</b>  d) <b>G</b>

### 3.9.2. Passenger Transport

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Public Transport</b>	<p>Commissioned (outsourced to external organisations)</p> <p>Some services by social enterprise/community-led companies</p>	D		Market place is not strong	Y	<p>a) DCC H&amp;ES</p> <p>b) Annual benchmarking. Monthly budget meetings</p> <p>c) Consultation at times of significant change (minor change proposals to individual members)</p> <p>e) When there are significant changes e.g. budget cuts</p>	<p><b>a) Value for money</b> All but a small amount is tendered and awarded under tender MEAT</p> <p><b>b) Levels of demand (volume and complexity)</b> No significant issues</p> <p><b>c) Capacity</b> No significant issues but will fluctuate depending upon market changes. Any major change to supported delivery model will be resource heavy in early stages</p> <p><b>d) Safety and compliance</b> Due diligence undertaken</p>	<p>a) G</p> <p>b) G</p> <p>c) Y</p> <p>d) G</p>



Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
Education Transport	Commissioned (outsourced to external organisation)	M (some D)	<p>Learner Travel (Wales) Measure (2008)</p> <p>Safety on Learner Transport (Wales) Measure 2011</p>	<p>Some parts of the market less robust</p> <p>Budgets under pressure</p>	O	<p>a) DCC H&amp;ES</p> <p>b) Monthly budget meetings. Termly meetings with Education (for ALN)</p> <p>c) Other than scrutiny for policy changes, operations usually taken as “business as usual”</p> <p>e) N/A. Policy issues dealt with by Education</p>	<p><b>a) Value for money</b>            Within a cycle of increasing costs, recent private/public benchmarking has indicated market versus in-house costs are comparable. A number of factors are outside H&amp;ES’ control</p> <p><b>b) Levels of demand (volume and complexity)</b>            Demand for mainstream education is stable but that for ALN/TRAC/LAC etc. growing, including demand for relatively expensive “solo” provision to wide range of establishments. As illustration, the number of required passenger assistants almost doubled in 15-year period.</p>	<p>a) Y</p> <p>b) O</p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
							<p><b>c) Capacity</b>            Owing to complex needs, ALN-type transport is resource hungry and contributes to additional staffing requirements/pressures</p> <p><b>d) Safety and compliance</b>            Due diligence undertaken. Driver enhanced DBS checks. Use of only licensed taxi drivers. Regulated market places for both taxis and buses. Regular H&amp;ES monitoring</p>	<p>c) O</p> <hr style="border: none; border-top: 1px solid black;"/> <p>d) G</p>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
Free Concessory Travel		M	Transport Act 2000  Travel Concessions (Eligibility Order) 2002	May be taken in-house by WG	G	a) DCC scheme uses prescribed WG systems to manage eligibility  b) Demand steady and relatively routine for suitably trained staff  c) National scheme requires no local scrutiny  d) N/A	<b>a) Value for money</b> Highly prescribed scheme reimburses some 90% of costs  <b>b) Levels of demand (volume and complexity)</b> Demand can vary dependent upon birth rates 60 years ago but in general is steady  <b>c) Capacity</b> No capacity issues  <b>d) Safety and compliance</b> N/A	<b>a) G</b>  <b>b) G</b>  <b>c) G</b>  <b>d) G</b>

### 3.9.3. Clwydian Range and Dee Valley Area of Outstanding Natural Beauty (CRDV AONB)

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<p>CRDV AONB National Protected Area</p> <p>Landscape scale Management and Conservation</p> <p>Community Resilience</p> <p>Access and Recreation</p>	Partnership	<p>Mainly D</p> <p>Statutory function is 'development of Management Plan'</p>	<p>Legal Agreement</p> <p>Participation from all partners</p> <p>TOR guides governance</p>	<p>Low overall</p> <p>Reduction in financial contribution/ no engagement</p> <p>Core grant cut</p>	G	<p><b>a) Who commissions the function?</b> Denbighshire CC, Wrexham CBC, Flintshire CC, NRW.</p> <p><b>b) How is performance reported?</b> Against statutory Management Plan actions and grant criteria</p> <p><b>c) What scrutiny is applied?</b> Joint Committee and AONB Partnership</p> <p><b>d) What is the scrutiny frequency?</b> 3 x year for both Joint Committee and partnership</p>	<p><b>a) Value for money</b> Net budget c£200K. Brings in another £235K through grants from other LAs, NRW and WG for core operations. Functions within resources. Provides added value for DCC and other LA partners. Attracts HLF monies and high profile. DCC benefits from having a nationally recognised Protected Area. Delivers in Corporate Plan Environment Priority and other County Conversation highlights. Important for County tourism product.</p>	a) G

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
Sustainable Tourism  Visitor Management  Planning and Development  Biodiversity and Nature Conservation							<b>b) Levels of demand (volume and complexity)</b>  The AONB has diverse functions to fulfil. Varied work areas and numerous stakeholder relationships to balance and serve.  Often operating on complex and multi layered issues. Demand for service often outstrips supply and available resources. Balancing people against biodiversity/ nature conservation.	<b>b) Y</b>

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
							<p><b>c) Capacity</b>            Small core team and budget. Team working with DCC (and other LAs)            Countryside team essential and fundamental to success. No distinction made in practice. High demand for functions at all levels but difficult to fulfil and provide service improvements too. Delivers to capacity but expectations are rising.</p> <p><b>d) Safety and compliance</b>            Governance robust. Operates within LA financial regulations. External audit requirement. Open and transparent processes. Stakeholder communication also robust.</p>	c) Y

### 3.9.4. Fleet Services

Function	Current position	Is Function mandatory (M) or Discretionary (D)	Legal duties	Risks of current model	Current risk profile	What reporting, accountability and control mechanisms are in place?	Resilience level criteria	ROYG against resilience level criteria
<b>Tyre replacement and repairs</b>	Delivered by a national tyre company <b>ATS</b>	D	Description of legal duties if mandatory	Risk if company goes bust but plenty of alternative suppliers	<b>G</b>	<p>Narrative to describe mechanisms in place.</p> <p>e) <b>Who commissions the function?</b> Fleet manager</p> <p>f) <b>How is performance reported?</b> Monthly Reports</p> <p>g) <b>What scrutiny is applied?</b> The company is monitored on a weekly basis with particular attention paid to tyre failures</p> <p>h) <b>What is the scrutiny frequency?</b> Weekly but is volume dependent, could be daily in some cases</p>	<p>Narrative to explain resilience against each of the following criteria</p> <p>a) <b>Value for money</b> Benchmarked against Industry standards</p> <p>b) <b>Levels of demand (volume and complexity)</b> Low</p> <p>c) <b>Capacity</b> No significant issues</p> <p>d) <b>Safety and compliance</b> Due diligence undertaken</p>	<p>a) <b>G</b></p> <p>b) <b>G</b></p> <p>c) <b>G</b></p> <p>d) <b>G</b></p>