

## EXECUTIVE

**Monday, 26 November 2018**
**6.00 pm**
**Committee Room 1, City Hall**

Membership: Councillors Ric Metcalfe (Chair), Donald Nannestad (Vice-Chair), Jackie Kirk, Rosanne Kirk, Neil Murray and Fay Smith

Officers attending: Angela Andrews, Democratic Services, Kate Ellis, Jaclyn Gibson, Daren Turner, Simon Walters and Carolyn Wheeler

## A G E N D A

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Please note that, in accordance with the Members' Code of Conduct, when declaring interests members must disclose the existence and nature of the interest, and whether it is a disclosable pecuniary interest (DPI) or personal and/or pecuniary.	
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10. Exclusion of the Press and Public

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You are asked to resolve that the press and public be excluded from the meeting during the consideration of the following items because it is likely that if members of the press or public were present, there would be disclosure to them of 'exempt information'.

In accordance with the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, notice is hereby given of items which will be considered in private, for which either 28 days' notice has been given or approval has been granted by the appropriate person specified in the Regulations. For further details please visit our website at <http://www.lincoln.gov.uk> or contact Democratic Services at City Hall, Beaumont Fee, Lincoln.

This item is being considered in private as it is likely to disclose exempt information, as defined in Schedule 12A of the Local Government Act 1972. No representations have been received in relation to the proposal to consider this item in private.

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**SECTION B**

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**OUR PEOPLE AND RESOURCES**

11. Write Outs

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**[Exempt Para(s) 2, 3]**

**Present:** Councillor Donald Nannestad (*in the Chair*),  
Councillor Jackie Kirk, Councillor Rosanne Kirk,  
Councillor Neil Murray and Councillor Fay Smith

**Apologies for Absence:** Councillor Ric Metcalfe

**54. Confirmation of Minutes - 24 September 2018**

RESOLVED that the minutes of the meeting held on 24 September 2018 be confirmed.

**55. Declarations of Interest**

No declarations of interest were received.

**56. Setting the 2019/20 Budget and MTFs 2019/20 - 2023/24**

Purpose of Report

To update the Executive on the likely challenges ahead in preparing for the 2019/20 and future years budget, to set out the parameters within which the Council would prepare these budgets and to confirm the Council's approach to development of the budget and the Medium Term Financial Strategy.

**Decision**

The Executive:

- (1) Noted the significant financial challenges that the Council faced.
- (2) Noted the projected budget parameters for 2019/20 and future years and noted the planning assumptions, as set out in Appendix A.
- (3) Noted the budget, strategic and service planning preparation programme, as set out in Appendix B.

Alternative Options Considered and Rejected

None.

Reason for Decision

The financial landscape for local government over the medium term period posed a significant challenge to the Council due to the volatility, complexity and uncertainty about future funding. Significant national decisions were still to be made by the government about future departmental spending through the spending review, the allocation of this funding to local government through the fair funding review and the implementation of the 75% business rates scheme, all of which impacted the Council's Medium Term Financial Strategy.

The Council's financial position needed to be viewed in the wider context of continued public sector austerity and the impact this was having upon the financial resilience and sustainability of local authorities. A number of local authorities were taking measures to restrict expenditure to core, statutory services.

Although the potential increase in savings required would be substantial, it was not unprecedented and the Council should have some confidence that it had a track record of delivering strong financial discipline and that it could rise to the challenge once again. This successful financial planning to date had enabled the protection of core services for the people of Lincoln, whilst at the same time allowing for significant investment in the city, its economy and delivery of the Council's Vision 2020. The Council would continue to adopt this approach, carefully balancing the allocation of resources to its strategic priorities whilst ensuring it maintained a sustainable financial position.

Further information relating to the spending review, the fair funding review, the 75% business rates retention scheme and business rates retention pilots, local government financial resilience and the social housing green paper and right to buy consultation was set out in the body of the report.

In terms of the Council's financial monitoring for the current year, the following updates were noted:

#### *General Fund*

The financial monitoring report for the first quarter of 2018/19 forecast a significant overspend for the general fund at the year-end of £717,343. The key variance was the shortfall of car parking income against its budget target of £1,141,000.

The shortfall in car parking income was the continuation of a trend that began to emerge towards the end of 2017/18 and reflected a reduction in demand for shopper car parking spaces. This was in line with a reduction in footfall in the city centre and the general decline in high street shopping and the fragility of the retail sector. Longer term there was predicted to be an increase in demand for city centre parking through developments such as the Cornhill Quarter, direct trains to London and further expansion of the University.

However, in the short to medium term there would continue to be a shortfall in car parking income against its budget targets. In response to this the car parking income generation strategy had been accelerated in order to boost demand for the Council's car parks.

In addition to the shortfall in car parking income, there were a number of other key variances including increased costs and loss of income for the control centre, a loss of income on the apprenticeship scheme, increasing cost provision of the Christmas Market and a reduction in income from housing benefit overpayments. Beyond the current financial year there were also emerging pressures around the central markets lettings income levels and the level of crematorium income should the development of a new facility in a neighbouring district go ahead.

## *Housing Revenue Account*

The financial monitoring report for the first quarter of 2018/19 forecast an overspend for the Housing Revenue Account at the year-end of £37,243. The key variances were in relation to an overachievement of rental income, offset by increased expenditure in respect of repairs and maintenance costs for void properties. Both of these variances were as a result of the number of new build properties that were due to be released during the year and were one-off variances. In addition, it was noted that there were a number of vacancies within the service and within the housing repairs service, from which the surplus was repatriated to the housing revenue account.

## *Capital Programme*

The general investment programme was currently forecasting to have a surplus of capital receipts of £2.845 million subject to completion of a number of schemes. In addition, subject to the completion of the final account there was an anticipated underspend on the contingency budget from the transport hub project of approximately £700,000. There were a number of competing demands for the allocation of capital resources including demands to maintain existing assets, particularly income generating assets, and claims or disputes from third parties that may require additional resource. A number of strategic capital schemes were also in line with the Vision 2020 that did not yet have capital resources allocated, as well as consideration of invest to save schemes.

The housing investment programme, decent homes and the new build programme continued to progress in line with the current budget expectations, with a significant level of expenditure to be incurred during the third quarter of 2018/19 as the purchase of the new build properties were completed. There still remained a significant budget allocation as part of the new build scheme, with approximately £4.1 million along with the land acquisition budget of £1.2 million which were yet to be allocated to specific schemes in year. Further details in relation to the Council's new build strategy were set out in paragraph 4.10 of the report.

With regard to the preparation of the budget and the Medium Term Financial Strategy, it was noted that this would be based on assumptions for a number of key variables such as business rates, government grants, council tax levels, inflation rates and interest rates. These assumptions were revised on a continual basis in light of the most recent intelligence available and it was reported that these would be subject to change as the development of the budget progressed. Changes to some of these assumptions created both unavoidable budget pressures as well as the opportunity to realise savings. Main changes at this moment in time related to inflation, council tax, new homes bonus and the car parking income shortfall which were detailed in Appendix A of the report.

In relation to the reduction in car parking income the Chief Executive explained that there had not been a drop in income, it was solely that the amount of income generated from car parking had not increased as much as originally estimated. This meant that car parking income was underperforming based upon the agreed budget rather than there being an actual drop in the income received from car parking. The Chief Executive therefore emphasised the point that the Council had still generated growth in car parking income.

Discussion ensued on the Christmas Market and it was noted that the Council would generate a surplus but that there would be additional costs to take into account, mainly as a result of new security requirements.

The Deputy Leader, reflecting on the Chancellor of the Exchequer's budget speech announced earlier in the day, asked whether the Council's proposed budget and Medium Term Financial Strategy would need to be revised as a result of his speech. It was noted that there were no major changes required against the budget proposed in the report.

Discussion ensued on Universal Credit and whether the impact of its introduction had been taken into account as part of the budget proposals. It was noted that the housing rents collection rate target had been reduced from 99% to 98% in response to Universal Credit. The Chancellor to the Exchequer had announced that additional resources would be made available to support implementation of Universal Credit and it was noted that further information on this issue would be reported back to the Executive in due course.

## **57. Localised Council Tax Support Scheme - 2019/20**

### Purpose of Report

To provide the Executive with an update to the current Council Tax Support Scheme for 2018/19 and to offer options for the 2019/20 Council Tax Support Scheme for Council approval by 31 January 2019.

### **Decision**

The Executive:

- (1) Approves the proposed Council Tax Support Scheme for 2019/20 for public consultation and scrutiny, with all options to be put forward for consultation.
- (2) Approves the continuation of the £20,000 a year exceptional hardship fund for 2019/20 to top up Council Tax Support awards in appropriate cases, to be funded through the collection fund.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

The City Council was obliged to approve a local Council Tax Support Scheme for 2019/20 by 31 January 2019, with schemes not able to be changed mid-financial year.

The consultation process for the draft Council Tax Support Scheme in respect of 2019/20 would begin on 1 November 2018 with major preceptors, stakeholders and members of the public. This was due to end on 14 December 2018.

A number of options which had been recommended for inclusion in the consultation were set out in paragraph 5.4 of the report and consisted of:

- no change to the current scheme;
- reducing the maximum savings limit;
- increasing the minimum entitlement;
- removing the family premium;
- incorporation of Universal Credit changes;
- consideration of Council Tax empty homes premium;
- consideration of care leavers Council Tax exemption;
- consideration of unoccupied and unfurnished properties.

It was noted that, under option 2 on Appendix 1 of the report, the final column on the table should read 'impact per customer per week (£)'.

Discussion ensued on the impact of empty properties, particularly those that were furnished but remained unoccupied. It was noted that work was taking place to identify those properties and their particular circumstances in order that an attempt in liaison with the owner could be made to bring empty properties back to use in the city.

## **58. The Introduction of a New Telematics System**

### Purpose of Report

To highlight the requirement for the Council to introduce a telematics system to all its fleet and all sub-contractors using telematics.

### **Decision**

That the installation of telematics in the Council's vehicle fleet be approved.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

Telematics was a technology of sending, receiving and storing information relating to remote objects, such as vehicles, via telecommunication devices. The information that could be recorded and presented would be utilised by the Council as follows:

- average fuel consumption;
- driving standards such as average speed, actual speed, excessive breaking in the event of accident investigation;
- vehicle location, in the event of theft or major cause for concern
- vehicle driving periods;
- accurate mileage figures.

The advantages and disadvantages of the introduction of telematics were set out at paragraphs 5 and 6 of the report, with paragraph 7 outlining specifically what the system would be used for. The potential return on investment included:

- management of fuel consumption and any associated potential return;
- reduction in Co2 emissions, gained from reduced mileage covered by operatives which would result in lower emissions produced;
- understanding the real cause of any formally reported incident and saving management investigation time.

It was noted that the proposal had been considered and endorsed by the City Council's Employee Joint Consultative Committee.

## **59. Public Space Protection Order - St Peter's Passage**

### Purpose of Report

To inform the Executive of the proposal to implement a Public Space Protection Order to allow the gating of St Peter's Passage in Lincoln.

### **Decision**

That the Public Space Protection Order permitting the gating of St Peter's Passage be approved and that this be reviewed in 12 months.

### Alternative Options Considered and Rejected

None.

### Reason for Decision

The purpose of the Public Space Protection Order would be to enable St Peter's Passage in Lincoln to be gated. The passage was currently a public right of way and was shown in Appendix A, with the introduction of the Order preventing public access to the passage.

The proposed Public Space Protection Order would be put in place for a maximum period of three years, after which a full review would take place.

The City of Lincoln, like other towns and cities nationally, had seen an increase in on-street antisocial behaviour particularly associated with substance misuse. These issues had manifested in the city centre with St Peter's Passage being used for crime and antisocial behaviour including the passage being used as a toilet.

The Policy Scrutiny Committee supported the proposal to implement the Public Space Protection Order with two recommendations, as follows:

- that the Public Space Protection Order be reviewed in 12 months;
- that the use of CCTV be used on the basis of public safety at the Glory Hole and Much Lane to address any potential disbursement as a result of implementing the Public Space Protection Order at St Peter's Passage.

Public consultation on the proposed Public Space Protection Order had been undertaken in August 2018 where all members of the of the Safer Lincolnshire Partnership and additional partners such as Lincolnshire Police, Lincoln Business Improvement Group, P3, Framework and Addaction were all invited to contribute and respond. All local ward members were advised of the consultation and the Communications team at the Council had also put information out into the public



domain to promote the consultation and attract as many responses as possible. 25 responses had been received, with 15 in favour, seven against and three being indifferent of gating St Peter's Passage. All comments received were set out in Appendix B to the report.

The Lincoln Business Improvement Group had committed to pay for the costs associated with the introduction of gates at either end of the passageway, so there would be no cost implications for the City Council as a result of agreeing to the Order. In answer to a question regarding access to keys for the locked gates, it was noted that any adjoining businesses to the passageway would be allocated with keys, as well as the City Council, the emergency services and the Lincoln Business Improvement Group.

Members agreed, reluctantly given that this passageway was a public right of way, that in the current circumstances the implementation of the Public Space Protection Order to allow the gating of St Peter's Passage in Lincoln was the right thing to do.

## **60. Proposed Commemorative Plaques Scheme for Lincoln**

### Purpose of Report

To provide the Executive with an opportunity to consider proposals for a Commemorative Plaque Scheme for the City of Lincoln.

### **Decision**

That the Commemorative Plaque Scheme for the City of Lincoln be approved and it be agreed that:

- the unveiling of plaques be celebrated by holding a civic event;
- the balance between the number of men and women that were being recognised for a plaque be monitored;
- the current plaques be updated to the new style on a phased approach pending financial availability in the reserve and in liaison with the organisation or individual who originally erected it.

### Alternative Options Considered and Rejected

Other options explored had included an unfunded scheme and fully funded scheme. An unfunded scheme would reduce the incentive to take part in a co-ordinated scheme as individuals could simply put up their own plaque. A fully funded scheme, whereby the Council undertook all of the background research and evidence gathering, could require significant additional staff resource.

### Reason for Decision

An expression of interest to erect a plaque in park ward led to a request to consider the introduction of a city-wide Commemorative Plaque Scheme.

Outside of the blue plaque scheme in London there were some schemes currently in operation across the country, a few being operated by District Councils as set out in Appendix A. A small number of commemorative plaques were already in place at various locations across the city, erected under previous

schemes operated by the City of Lincoln Council and Lincoln Civic Trust. These schemes had now lapsed and no guidance or criteria currently existed.

Draft guidelines and criteria for a new Lincoln scheme, based on schemes operated by other Councils, was appended to the report. It was proposed that the scheme would be operated by Development Management within existing staff resources. However, it was noted that the new scheme would be partly funded by the City of Lincoln Council to cover the costs of producing and installing the plaque.

A budget of £2,000 had been identified to support the scheme from planning income which would be reviewed in due course.

The Policy Scrutiny Committee had considered this report at its meeting on 9 October 2018 and supported the scheme, but asked the Executive to consider the following:

- whether the unveiling of plaques should be celebrated by holding a civic event;
- that the balance between the number of men and women that were being recognised for a plaque be monitored;
- that the current plaques be updated to the new style.

It was noted that some plaques had been erected by organisations such as the Civic Trust. Such organisations would be contacted to seek their permission prior to updating any plaques.

During discussion it was noted that plaques could be used to commemorate events and also be used as remembrance for individuals or groups of people.

A question was raised as to whether a programme of updating current plaques would be put in place. It was noted that this would be dependent on the number of new applications received, with a phased approach to be introduced pending financial availability in the reserve.

#### **61. Exclusion of the Press and Public**

RESOLVED that the press and public be excluded from the meeting during consideration of the following items of business because it was likely that if members of the public were present there would be a disclosure to them of 'exempt information' as defined by Section 100I and Schedule 12A to the Local Government Act 1972.

This item was considered in private as it was likely to disclose exempt information, as defined in Schedule 12A of the Local Government Act 1972. No representations had been received in relation to the proposal to consider this item in private.

#### **62. Land West of Tritton Road**

##### Purpose of Report

To consider the sale of the Council's freehold interest in land west of Tritton Road.

## **Decision**

That the recommendation contained within the report be approved.

### Alternative Options Considered and Rejected

Alternative options considered and rejected were set out in paragraph 6.1 of the report.

### Reason for Decision

Under the Towards Financial Sustainability Programme, realising capital receipts would allow the Council to invest in new income generating schemes. The proposal provided the Council with an opportunity to do this.

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EXECUTIVE

26 NOVEMBER 2018

**SUBJECT: FINANCIAL PERFORMANCE – QUARTERLY MONITORING**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**LEAD OFFICER: ROBERT BAXTER, FINANCIAL SERVICES MANAGER**

## 1. Purpose of Report

1.1 To present to the Executive the second quarter's performance (up to 30<sup>th</sup> September) on the Council's:

- General Fund
- Housing Revenue Account
- Housing Repairs Service
- Capital Programmes

And, to provide a review of the key budget risk assessments.

1.2 Financial Procedure Rules require members to receive, on a quarterly basis, a report prepared jointly by the Chief Finance Officer and Corporate Management Team commenting on financial performance to date. This report is designed to meet this requirement.

## 2. Executive Summary

2.1 As at the end of the second quarter (up to 30<sup>th</sup> September) the forecast financial position of the Council for 2018/19 is:

	2018/19		
	Budget £'000	Forecast at Q2 £'000	Variance at Q2 £'000
<b>Revenue Accounts</b>			
General Fund –Contribution to/(from) balances	288	(11)	300
Housing Revenue Account (HRA) (Surplus)/Deficit in year	0	64	64
Housing Repairs Service	0	(146)	(146)
<b>Capital Programmes</b>			
General Fund Investment Programme	17,113	16,867	(245)
Housing Investment Programme	30,198	33,048	2,850

	2018/19		
	Budget £'000	Forecast at Q2 £'000	Variance at Q2 £'000
<b>Capital Receipts</b>			
General Fund	3,555	2,232	(1,323)
HRA	1,719	1,719	0
<b>Reserves &amp; Balances</b>			
General Fund Balances	1,898	1,598	(300)
HRA Balances	1,023	959	(64)
HRS Balances	89	89	0
General Fund Earmarked Reserves	5,833	6,266	433
HRA Earmarked Reserves	1,366	1,374	8

2.2 The detailed financial position is shown in sections 3-7 and accompanying appendices.

### 3. General Fund Revenue Account

3.1 For 2018/19 the Council's net General Fund revenue budget was set at £14,276,460, including a planned contribution to balances of £288,360 (resulting in an estimated level of general balances at the year-end of £1,897,724).

3.2 The General Fund Summary is currently projecting a forecast over spend of £299,600 (appendix A provides a forecast General Fund Summary). This forecast variance is the result of a number of forecast year-end variations in income and expenditure against the approved budget. Full details of the main variances are provided in appendix B while the key variances are summarised below:

- Car Parking Reduced Income £1,133,500
- Development Management Increased Income £(84,810)
- HIMO Fees Increased Income £(256,910)
- Borrowing Contingency Reduced Cost £(200,000)
- Balance Sheet Review increased Income £(70,170)
- Income Volatility Reserve increased Income £(178,070)
- Pay Contingencies Reduced Cost £(82,600)

3.3 **Towards Financial Sustainability Programme** - The savings target included in the MTFs for 2018/19 is £3,850,000. Progress against this target, based on quarter 2 performance shows that secured and confident projections total £3,867,900. This results in a current forecast under achievement of the target in 2018/19 of £12,890. In respect of this outstanding target work is currently underway through the ToFS

Programme Board to accelerate existing projects in the programme and to develop further new projects. A summary of the current position is shown in the table below.

	<b>£ General Fund</b>
<b><u>Review/Business Case Approved/Delegated Decision Taken</u></b>	
Shared Services/Savings/Managing Demand	2,533,170
Commercialisation	833,680
Asset Rationalisation	380,880
<b>Total Savings – Secured</b>	<b><u>3,747,730</u></b>
<b><u>Subject to Review/Business Case</u></b>	
Shared Services/Savings/Managing Demand	37,500
Commercialisation	0
Asset Rationalisation	51,880
<b>Total Savings - Subject to Review/Business Case</b>	<b><u>89,380</u></b>
<b>Overall Savings</b>	<b><u>3,837,110</u></b>
<b>MTFS savings target</b>	<b>(3,850,000)</b>
<b>(Under)/ over achievement</b>	<b>(12,890)</b>

3.4 **Fees and charges income** – Income from fees and charges represents a significant proportion of income to the Council, with the primary sources being from car parking, development management and building regulations. Due to the importance of these income streams to the Council’s financial position and the impact external factors can have on the levels of income received they are monitored regularly by the Corporate Management Team. A summary of the progress of these key income streams against the approved budget, together with the forecast variance for the second quarter of the financial year is provided below:

	<b><u>Budget Q2 £'000</u></b>	<b><u>Actual Q2 £'000</u></b>	<b><u>Variance £'000</u></b>	<b><u>Forecast Variance Q2 £'000</u></b>
Car Parks	(3,158)	(2,508)	650	1,134
Development Management	(223)	(377)	(154)	(84)
Building Regulations	(113)	(93)	20	27
<b>Total</b>	<b>(3,494)</b>	<b>(2,978)</b>	<b>516</b>	<b>1,077</b>

3.5 At this stage in the financial year, forecast outturns are difficult to predict and often subject to volatility. The biggest risk is car parking income which is based on current activity trends within the city which may change over time.

3.6 However, given the scale of the shortfall in car parking income targets CMT have accelerated the implementation of the car parking income generation strategy. This strategy focuses on 5 key strands, as follows:

- Car park improvements – focussing on making our car parks the preferred choice including enhanced ticket machines to improve connectivity and to offer contactless payment and improved security arrangements.
- Promotion of the City as a destination – focussing on maximising the linkages between visitor numbers into the City and an improving offer in the City with the utilisation of the Council’s parking stock.
- Maximisation of car parking stock – focussing on ensuring that the Council’s car parks are in the correct location and condition, in line with the Car Parking Strategy, and considering alternative income generation opportunities for some sites.
- Permit parking – focussing on increasing the number of permit parking arrangements with major employers in the city.

Residents parking – focussing on responding to residents’ concerns and encouraging commuters to modal shift or to move into city centre car parks.

3.7 Longer term, there is forecasted to be an increase in the demand for City Centre parking through developments such as the Cornhill Quarter, further expansion in the University and direct Lincoln to London trains with consequent increased passenger numbers. These future changes and growth over the next few years are set to increase utilisation of the Council’s car parks, reducing the shortfall against income targets.

3.8 The forecast overspend is significant and appropriate action has been taken in order to address this shortfall. Although a mitigation strategy for car parking income has been developed, the impacts of this are unlikely to be seen during the current financial year. Therefore more short term action has been taken, which has included:

- A full review of earmarked reserves, which has identified one off releases from the following reserves –
  - Air Quality Initiatives - £18,000 (DCE)
  - Article 4 - £19,150 (DCE)
  - Private Sector Stock Condition Surveys - £35,000 (DCE)
  - Managed Workspace - £30,000 (CX)
- A full review of the self-insurance fund is in the process of being commissioned by our insurance consultants

Following the release from these reserves, the forecast overspend is £299,600.

It is also suggested that any budget carry forwards will be limited to contractually committed obligations at the year end.

3.9 Although the forecast outturn for the General Fund is currently estimated to be £299,600, at this stage in the financial year forecast outturns are difficult to predict



and often subject to volatility. The forecast for car parking income is key to this forecast and it will continue to be closely monitored by officers and forecasts revised accordingly. By the end of quarter 3 officers will be in a more informed position to review the year end forecast having assessed the impact of the summer season and improved weather conditions plus a number of large scale events in the City.

#### 4. Housing Revenue Account

4.1 For 2018/19 the Council's Housing Revenue Account (HRA) net revenue budget was set at break even, resulting in an estimated level of general balances at the year-end of £1,023,099.

4.2 The HRA is currently projecting an in-year overspend of £63,988, which would decrease General Balances to £959,113 at the end of 2018/19 (appendix C provides a forecast HRA Summary). The assessed prudent minimum balance for the HRA is currently £1,000,000. The level of forecast HRA balances will be monitored closely during the coming quarter and will be subject to a fundamental review as part of the MTFS 2018-23 process which is currently underway.

4.3 The components of this overspend are detailed in Appendix D and a summary of the key variances are provided below:

- Staff Vacancies - Reduced Spending £(221,000)
- Council Tax Payable on Void Properties – Increased Spending £74,000
- Repairs & Maintenance (void properties) – Increased Spending £423,000
- Rental Income – Additional Income £(79,000)
- HRS Surplus – Additional Income £(145,570)

#### 5. Housing Repairs Service

5.1 For 2018/19 the Council's Housing Repairs Service net revenue budget was set at zero, reflecting its full cost recovery nature.

5.2 At quarter 2 HRS are forecasting a surplus of £145,570 in 2018/19 (appendix E provides a forecast HRS Summary), with full details of the main variances provided in appendix F.

#### 6. Earmarked Reserves

6.1 The details of all the earmarked reserves and their forecast balance as at 31st March 2019 are attached in Appendix G. In summary:

	Opening Balance	Contributions	Actuals Q1-Q2	Forecast Q3-Q4	Forecast Balance
	01/04/18				31/03/19
	£'000	£'000	£'000	£'000	£'000
General Fund	4,559	2,784	0	(1,077)	6,266
HRA	1,572	3	0	(202)	1,374

Capital Resources	22,358	15,918	0	(27,550)	10,726
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## 7. Capital Programme

### 7.1 General Investment Programme

7.2 The last quarterly report approved a General Fund Investment Programme for 2018/19 of £17,112,478. Movements in the programme during the second quarter have decreased overall planned expenditure in 2018/19 to £16,867,296. A summary of the overall changes to the programme is shown below:

	2018/19	2019/20	2020/21	2021/22	2022/23
	£'000	£'000	£'000	£'000	£'000
Revised budget following Q1 Report	17,112	500	500	500	500
Budget Changes by CFO approval Q2	-330	346	0	0	0
Budget Changes by Executive approval	85	0	0	0	0
<b>Revised Budget</b>	<b>16,867</b>	<b>846</b>	<b>500</b>	<b>500</b>	<b>500</b>

7.3 The Chief Finance Officer has delegated authority to approve financial changes up to an approved limit as set out under Financial Procedure Rules. All changes over the approved limit require approval by the Executive.

The budget re profiles approved by the Chief Finance Officer during the second quarter are detailed at Appendix I under the heading of "Approved by Chief Finance Officer".

- The Terrace Heat Mitigation Works - £257,965 re-profiled into 2019/20
- Flood alleviation scheme - Hartsholme Park- £88,293 re-profiled into 2019/20

7.4 There are no changes that require Executive approval for the second quarter.

The budget changes this quarter which have already been approved by Executive are provided below:

- City Hall Improvements - £60,000 (Executive 29<sup>th</sup> May 2018)
- Verso System - £25,000 improvement of new scheme (Executive 23<sup>rd</sup> July 2018)

7.5 New projects agreed at Capital Programme Group are then subject to Executive Approval. One new project requires Executive approval in the second quarter as follows:

- Electric Vehicle Replacement £16,076 – DRF reserve in place

7.6 The table below provides a summary of the projected outturn position for the General Investment Programme:

	<b>MTFS 2018-23 Budget Qtr1</b>	<b>Revised Budget Qtr2</b>	<b>Forecast Outturn</b>	<b>Variance</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
<b>Active Programme</b>				
Housing & Regeneration	415	415	415	0
Communities & Environment	2,587	2,524	2,524	0
Chief Executives Department	12,491	12,293	12,293	0
"Mega Projects"	1,393	1,393	1,393	0
<b>Total Active Schemes</b>	<b>16,886</b>	<b>16,624</b>	<b>16,624</b>	<b>0</b>
Schemes On Hold/Contingencies	227	243	243	0
<b>Total Capital Programme</b>	<b>17,113</b>	<b>16,867</b>	<b>16,867</b>	<b>0</b>

7.7 The overall spending on the General Fund Investment Programme for the second quarter is £875,816, which is 5.19% of the agreed programme and 5.34% of the active programme. This is detailed further at Appendix J.

Although this appears to be a relatively low percentage of expenditure at this stage of the financial year, the budget for the active programme includes :

- Residual expenditure on the Transport Hub which is the subject of a retention period;
- Disabled Facility Grants of £1m some of which may be committed (offered) but the expenditure is not incurred until later in the year or perhaps the following accounting period;
- The largest scheme (land and building acquisition at Tentercroft Street) is projected to be fully spent during quarter three at circa £12m in 2018/19.

## 7.8 Housing Investment Programme

7.9 The last quarterly report approved a Housing Investment Programme for 2018/19 of £30,197,788. Movements in the programme since have increased overall planned expenditure in 2018/19 to £33,047,788. A summary of the changes are shown below:

	2018/19	2019/20	2020/21	2021/22	2022/23
	£'000	£'000	£'000	£'000	£'000
Revised budget following 2018/19 Qtr1 Report	30,198	14,209	11,601	12,638	12,338
Budget changes for Executive approval at Q2	2,850	(2,784)	66	66	0
<b>Revised Budget</b>	<b>33,048</b>	<b>11,425</b>	<b>11,667</b>	<b>12,704</b>	<b>12,338</b>

7.10 The Chief Finance Officer has delegated authority to approve financial changes up to an approved limit as set out under Financial Procedure Rules. All changes over the approved limit require approval by the Executive. The following changes approved by the Chief Finance Officer in the second quarter are summarised below:

- Movement out of decent homes rewiring budget of £45,000 re-profiled into communal electrics.
- Increases to the CCTV scheme of £10,500, and an increase of £57,811 to existing properties major aid and adaption schemes from available resources.

Executive approval was granted on the 24<sup>th</sup> of September 2018 to allocate £175,507 towards New Build Capital Salaries from the new build programme over a five year period, of which £9,439 is allocated within the 2018/19 programme.

The changes requiring approval from the Executive are detailed in Appendix K and summarised below:

- Movements from over bath showers for £600,000 and asbestos removal £150,000 back into available resources based on current year work profiling.
- Movements within the financial year with regards to Ingleby Crescent for £328,399 which has been allocated from the new build programme.
- Re-profile from 2019/20 to 2018/19 due to timing movement of Waterloo Housing new build programme.

7.11 New projects agreed at Capital Programme Group are then subject to Executive Approval.

The new projects that require Executive approval for the second quarter (further details in Appendix I) are:

**Operation ROSE (Replacing old site equipment)** – To replace all site equipment across 6 of the councils supported housing schemes on a three year rolling programme. The HRA supported Housing service has 4 long standing vacant posts from which it is proposed the £197,000 three year project is funded, commencing in 2019/20.

7.12 The table below provides a summary of the projected outturn position:

	<b>MTFS 2018-23 Budget Qtr1 Report</b>	<b>Revised Budget Qtr2</b>	<b>Forecast Outturn</b>	<b>Variance</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Decent Homes/ Lincoln Standard	9,323	8,678	8,678	0
Health and Safety	825	675	675	0
Contingent Major Repairs/ Works	638	1,319	1,319	0
New Build Programme	15,479	18,329	18,329	0
Land Acquisition Fund	3,015	3,015	3,015	0
Other Schemes	806	920	920	0
Computer Fund	111	111	111	0
<b>Total Capital Programme</b>	<b>30,198</b>	<b>33,048</b>	<b>33,048</b>	<b>0</b>

7.13 Expenditure against the HIP budget during the second quarter was £6,181,928, which is 18.71% of the approved programme. The expenditure is detailed further at Appendix L.

Although this would appear to be low at this stage of the financial year, the following points should be taken into consideration:-

- A large element of the programme in 2018/19 is the new build programme, most of which is planned to be delivered during quarter three of 2018/19.

## 8. Resource Implications

8.1 The financial implications are contained throughout the report.

8.2 There are no legal implications arising from this report.

8.3 There are no equality and diversity implications as a direct result of this report.

## 9. Risk Implications

9.1 A full financial risk assessment is included in the Medium Financial Strategy 2018-23.

## 10. Recommendations

Executive are recommended to:

- 10.1 Note the progress on the financial performance for the period 1<sup>st</sup> April to 30<sup>th</sup> September 2018 and the projected outturns for 2018/19.
- 10.2 Assess the underlying impact of the pressures and underspends identified in paragraphs 3.2 (and appendix B), 4.3 (and appendix D), and 5.2 (and appendix F)
- 10.3 Approve the changes to the General Investment Programme and Housing Investment Programme as detailed in paragraphs 7.5 and 7.10 and 7.11.

**Key Decision** No

**Key Decision Reference No.** N/A

**Do the Exempt Information Categories Apply** No

**Call in and Urgency:** Is the decision one to which Rule 15 of the Scrutiny Procedure Rules apply? No

**Does the report contain Appendices?** Yes

**List of Background Papers:** Medium Term Financial Strategy 2018-23

**Lead Officer:** Robert Baxter, Financial Services Manager  
Telephone 873361

**GENERAL FUND SUMMARY - AS AT 30 SEPTEMBER 2018**

<b>Service Area</b>	<b>Ref</b>	<b>Revised Budget £'000</b>	<b>Projected Outturn £'000</b>	<b>Variance £'000</b>
Strategic Development	A	1,859	1,822	(37)
Chief Finance Officer (S. 151)	B	192	298	107
City Solicitor	C	1,507	1,422	(85)
Housing	D	754	786	32
Director of Major Developments	E	418	501	83
Communities and Street Scene	F	1,346	2,622	1,276
Health & Environmental Services	G	1,997	1,791	(206)
Planning	H	886	694	(192)
		<b>8,959</b>	<b>9,936</b>	<b>977</b>
Corporate Expenditure	I	1,692	1,545	(147)
<b>TOTAL SERVICE EXPENDITURE</b>		<b>10,651</b>	<b>11,481</b>	<b>830</b>
Capital Accounting Adjustment	J	1,858	1,828	(30)
Specific Grants	K	(1,006)	(1,006)	0
Contingencies	L	406	239	(167)
Savings Targets	M	(102)	(89)	13
Earmarked Reserves	N	2,054	1,707	(346)
Insurance Reserve	O	128	128	0
<b>TOTAL EXPENDITURE</b>		<b>13,988</b>	<b>14,288</b>	<b>300</b>
<b>CONTRIBUTION FROM BALANCES</b>		<b>288</b>	<b>(11)</b>	<b>(300)</b>
<b>NET REQUIREMENT</b>		<b>14,276</b>	<b>14,276</b>	<b>0</b>
Retained Business Rates Income	P	28,041	28,041	0
Tariff	Q	(20,620)	(20,620)	0
Collection Fund surplus/ (deficit)	R	462	462	0
Council Tax	S	6,393	6,393	0
<b>TOTAL RESOURCES</b>		<b>14,276</b>	<b>14,276</b>	<b>0</b>

Please note the above is now shown on an Expenditure Funding Analysis (EFA) basis. This means all charges which are reversed out under statute are now **not** shown in the above figures. Examples of this are depreciation and capital grants. This means the above only includes items which are a call on the general fund balance.

**General Fund Forecast Variances - Quarter 2**

Many items of income and expenditure are demand led and difficult to predict. Consequently, judgement has been applied in order to provide the most realistic indication of the financial position at the year-end. Figures in brackets indicate an underspend of expenditure or additional income.

<b>Ref</b>		<b>£</b>	<b>Reason for variance</b>
	<b><u>Additional Spending</u></b>		
D	Control Centre	33,420	Purchases of new equipment for Ageing Lifelines plus increased maintenance costs – the service is under review to produce a zero variance revised budget.
F	Waste/Street Cleansing	65,860	Overspend projected on the Waste Contract.
	<b><u>Reduced Income</u></b>		
B	Housing Benefits	225,280	Expected reduction in the level of Housing Benefits Overpayments raised compared to the budgeted amount which is based on the average amount for the last three years.
F	Car Parks	1,133,500	The budget for the new Lincoln Central Car Park is projected to underachieve due to it not being fully operational or at the demand level budgeted.
L	Vacancy Contingency	140,740	Reduced vacancies expected during 2018/19 offset by savings in service areas.
	<b><u>Reduced Spending</u></b>		
B	Corporate Management	(26,460)	Underspends on Audit Fees and Debt Management Expenses. There is an ongoing saving on audit fees due to the reduction in the audit fee under the new contract from 2018/19 onwards.
I	Bad Debt Provision	(67,460)	Significant reduction in Housing Benefit Overpayments raised is expected in 2018/19 should lead to less being required in the provision.
A	Customer Services	(38,270)	Underspends expected on overtime and Supplies & Services budgets.
C	Legal Services	(37,230)	Savings made on supplies and services, vacancies and increased income on asset sales including Right to Buys.



## Appendix B

Ref		£	<b>Reason for variance</b>
I	Pension Recharges	(39,070)	Underspend projected on recharges to Lincolnshire County Council.
L	Borrowing Contingency	(200,000)	Borrowing costs not anticipated to increase in the year therefore additional contingency not required in 2018/19.
L	Pay Contingency	(82,600)	At the time of the setting the MTFS the Local Government Pay award was still pending therefore additional amounts were set aside to fund any increases and this amount is no longer required.
	<b><u>Additional Income</u></b>		
H	Development Management	(84,810)	Overachievement of income projected in the year due to an increase in larger applications.
I	Release of Balance Sheet Items	(70,170)	A review of the Balance Sheet at outturn 2017/18 has led to the identification of amounts set aside which are no longer required.
G	HIMO Fees	(256,910)	Increased income due to new fees and charges coming into force.

## HOUSING REVENUE ACCOUNT FUND SUMMARY - AS AT 30 SEPTEMBER 2018

	Ref	Budget	Forecast Outturn	Variance
		£'000	£'000	£'000
Gross Rental Income	A	(27,711)	(27,789)	(79)
Charges for Services & Facilities	B	(383)	(316)	67
Contribs towards Expenditure	C	(45)	(61)	(16)
Repairs & Maintenance	D	8,298	8,721	423
Supervision & Management:	E	6,517	6,432	(86)
Rents, Rates and Other Premises	F	34	108	74
Increase in Bad Debt Provisions	G	290	283	(7)
Insurance Claims Contingency	H	253	253	0
Contingencies	I	(10)	0	10
Depreciation	J	10,697	10,697	0
Debt Management Expenses	K	12	12	0
HRS Trading (Surplus) / Deficit	L	0	(146)	(146)
<b>Net Cost of Service</b>	<b>M</b>	<b>(2,047)</b>	<b>(1,806)</b>	<b>242</b>
Loan Charges Interest	N	2,352	2,352	0
Investment/Mortgage Interest	O	(31)	(31)	0
<b>Net Operating Inc/Exp</b>		<b>273</b>	<b>515</b>	<b>242</b>
Major Repairs Reserve Adjustment	P	0	0	0
Transfers to/from reserves	Q	(273)	(451)	(178)
<b>(Surplus)/Deficit in Year</b>		<b>(0)</b>	<b>64</b>	<b>64</b>
<b>Balances b/f @ 1st April</b>		<b>(1,023)</b>	<b>(1,023)</b>	<b>0</b>
(Increase)/Decrease in Balances		0	64	64
<b>Balances c/f @ 31st March</b>		<b>(1,023)</b>	<b>(959)</b>	<b>64</b>

### Housing Revenue Account Variances - Quarter 2

Many items of income and expenditure are demand led and difficult to predict. Consequently, judgement has been applied in order to provide the most realistic indication of the financial position at the year-end. Figures in brackets indicate an underspend of expenditure or additional income.

Ref		£	Reason for variance
	<b><u>Reduced Spending</u></b>		
E	Staff vacancies	(221,000)	Supervision & Management Vacancies Q2 - under review.
	<b><u>Additional Income</u></b>		
A	Rental Income	(79,000)	Effect of Revised New Build Phasing
C	Court Fee Income	(16,000)	Court Fee Income Expected to be higher than budget at Q2.
L	HRS Trading Surplus	(145,570)	Forecast HRS Repatriation
	<b><u>Increased Spending</u></b>		
F	Rents Rates & Other Premises	74,000	Council Tax on voids.
D	Repairs & Maintenance	423,000	Increased spending projected on void properties as a result of the new build programme.

## HOUSING REPAIRS SERVICE SUMMARY - AS AT 30 SEPTEMBER 2018

	Forecast Outturn		
	Budget	Forecast Outturn	Variance
	£'000	£'000	£'000
Employees	2,539	2,455	(84)
Premises	28	30	2
Transport	450	450	0
Materials	1,329	1,276	(53)
Sub-Contractors	2,229	1,978	(250)
Supplies & Services	114	142	28
Central Support Charges	754	754	0
Capital Charges	0	0	0
<b>Total Expenditure</b>	<b>7,443</b>	<b>7,086</b>	<b>(357)</b>
Income	(7,443)	(7,231)	212
<b>(Surplus)/Deficit</b>	<b>0</b>	<b>(145)</b>	<b>(145)</b>

### Housing Repairs Service Variances - Quarter 2

Many items of income and expenditure are demand led and difficult to predict. Consequently, judgement has been applied in order to provide the most realistic indication of the financial position at the year-end. Figures in brackets indicate an underspend of expenditure or additional income.

	£	Reason for Variance
<b><u>Reduced Spending</u></b>		
Employees	(91,670)	3 x vacancies ongoing.
Materials	(53,190)	Less Responsive expenditure work versus budget.
Sub Contractors	(250,280)	Continual reduction of sub-contractor works.
<b><u>Reduced Income</u></b>		
Recharges	211,840	Reduced spend on sub-contractors and materials costs has subsequently led to a reduced charge to the HRA.

**EARMARKED RESERVES – Q2 MONITORING 2018/19**

	<b>Opening Balance 01/04/2018 £'000</b>	<b>Contributions £'000</b>	<b>Actuals Q1-Q2 £'000</b>	<b>Forecast Q3-Q4 £'000</b>	<b>Forecast Balance 31/03/2019 £'000</b>
<b>General Fund</b>					
Grants & Contributions	787	95	0	(44)	838
Business Rates Volatility	539	917	0	0	1,456
Strategic Projects - Revenue					
Costs	496	0	0	(193)	303
Mercury Abatement	378	94	0	(58)	414
Budget Carry Forwards	324	47	0	(197)	173
Invest to Save (GF)	307	137	0	0	444
Unused DRF	221	0	0	0	221
Backdated rent review	220	0	0	0	220
IT Reserve	217	111	0	(52)	276
Income Volatility	178	0	0	(178)	0
Revenues & Benefits shared service	163	0	0	(45)	118
Tree Risk Assessment	106	20	0	(27)	99
Strategic Growth Reserve	100	0	0	(100)	0
Asset Improvement	72	0	0	0	72
Private Sector Stock Condition Survey	63	12	0	(35)	40
MA Reserve	51	0	0	0	51
Mayoral car	47	0	0	0	47
Property Searches	36	0	0	0	36
City Hall Sinking Fund	36	0	0	0	36
Managed Workspace	35	0	0	(30)	5
Section 106 interest	32	0	0	0	32
Funding for Strategic Priorities	28	1,342	0	(81)	1,289
Commons Parking	27	0	0	0	27
Electric Van replacement	22	4	0	(14)	12
Air Quality Initiatives	22	6	0	(18)	10
Christmas Decorations	17	0	0	(4)	14
Boston Audit Contract	14	0	0	0	14
Tank Memorial	10	0	0	0	10
Organisational Development	8	0	0	0	8
Yarborough Leisure Centre	2	0	0	0	2
	<b>4,559</b>	<b>2,784</b>	<b>0</b>	<b>(1,077)</b>	<b>6,266</b>
HRA Repairs Account	624	0	0	0	624
Capital Fees Equalisation Reserve	238	0	0	(24)	214
HRA Strategic Priority Reserve	240	0	0	0	240
Invest to Save (HRA)	140	0	0	0	140
Western Growth Corridor	178	0	0	(178)	0
De Wint Court Reserve	73	0	0	0	73
HRA Survey Works	57	3	0	0	60
Stock Retention Strategy	22	0	0	0	22
	<b>1,572</b>	<b>3</b>	<b>0</b>	<b>(202)</b>	<b>1,374</b>
<b>Total Earmarked Reserves</b>	<b>6,131</b>	<b>2,787</b>	<b>0</b>	<b>(1,279)</b>	<b>7,640</b>

**CAPITAL RESOURCES – Q2 MONITORING 2018/19**

	<b>Opening balance</b>	<b>Contributions</b>	<b>Used in financing</b>	<b>Forecast balance 31/03/2019</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Capital Grants	385	1,298	(1,683)	0
Capital receipts General Fund	41	2,191	(1,195)	1,037
Capital receipts HRA	7,334	819	12	8,165
Capital receipts 1-4-1	1,958	900	(2,858)	0
Major Repairs Reserve	12,640	10,710	(21,835)	1,515
<b>Total Capital Resources</b>	<b>22,358</b>	<b>15,918</b>	<b>(27,559)</b>	<b>10,717</b>

**General Investment Programme – Summary of Financial Changes**

<b>Project Name</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>Notes</b>
	£	£	£	£	£	
2018/19 MTFS Budget as at Q1	17,112,478	500,000	500,000	500,000	500,000	
Budget for approval	16,851,220	846,258	500,000	500,000	500,000	
<b>Total changes for Q2</b>	<b>(261,258)</b>	<b>346,258</b>	<b>0</b>	<b>0</b>	<b>0</b>	
<b>Approved by Chief Finance Officer</b>						
The Terrace Heat Mitigation Works	(257,965)	257,965	0	0	0	Re-profile to 2019/20
Flood alleviation scheme - Hartsholme Park	(88,293)	88,293	0	0	0	Re-profile to 2019/20
Electric Vehicle Replacement	16,076	0	0	0	0	DRF Reserve
<b>Approved by Executive</b>						
City Hall Improvements 29/05/18	60,000	0	0	0	0	
Verso 23/07/18	25,000	0	0	0	0	New Scheme
<b>To be approved by the Executive</b>						
	<b>(261,258)</b>	<b>346,258</b>	<b>0</b>	<b>0</b>	<b>0</b>	



**General Investment Programme – Summary of Expenditure as at 30<sup>th</sup> September 2018**

Scheme	2018/19 MTFS Budget	Revised Budget	Actuals as at Q2	Variance	Spend
	£	£	£	£	%
<b><u>ACTIVE SCHEMES</u></b>					
<b><u>DCE - Communities &amp; Environment</u></b>					
Skate Park	183,021	183,021	0	183,021	0.00%
Compulsory Purchase Orders	83,700	83,700	0	83,700	0.00%
Disabled Facilities Grant	1,080,980	1,080,980	282,085	798,895	26.10%
Transformation of Birchwood Leisure Centre	401,364	401,364	86,986	314,378	21.67%
Bereavement Services Lighting	24,290	24,290	24,482	(192)	100.79%
Memorial Tree	20,000	20,000	24,200	(4,200)	121.00%
Verso	0	25,000	0	25,000	0.00%
	<b>1,793,355</b>	<b>1,818,355</b>	<b>417,753</b>	<b>1,400,602</b>	
<b><u>DCE - Community Services</u></b>					
Flood alleviation scheme - Hartsholme Park	88,293	0	0	0	0.00%
Boultham Park Masterplan	134,413	134,413	25,393	109,020	18.89%
CCTV Upgrade	7,135	7,135	14,210	(7,075)	199.16%
Allotment Capital Improvement Programme	564,224	564,224	149,059	415,165	26.42%
	<b>794,065</b>	<b>705,772</b>	<b>188,662</b>	<b>517,110</b>	
<b><u>General Fund Housing</u></b>					
Housing Renewal Area	414,545	414,545	9,559	404,986	2.31%
	<b>414,545</b>	<b>414,545</b>	<b>9,559</b>	<b>404,986</b>	
<b><u>CX - Corporate Policy</u></b>					

Scheme	2018/19 MTFS Budget	Revised Budget	Actuals as at Q2	Variance	Spend
	£	£	£	£	%
New Telephony System	40,165	40,165	0	40,165	0.00%
	<b>40,165</b>	<b>40,165</b>	<b>0</b>	<b>40,165</b>	
<b><u>CX - Chief Finance Officer</u></b>					
The Terrace	0	0	(2,712)	2,712	0.00%
The Terrace Heat Mitigation Works	257,965	0	0	0	0.00%
Planned Capitalised Works	625,401	685,401	197,831	487,570	28.86%
Land and Property Acquisition	11,567,232	11,567,232	2,512	11,564,720	0.02%
	<b>12,450,598</b>	<b>12,252,633</b>	<b>197,631</b>	<b>12,055,002</b>	
Lincoln Transport HUB	0	1,392,840	58,961	1,333,879	4.23%
<b>TOTAL BUDGET FOR ACTIVE SCHEMES</b>	<b>16,885,568</b>	<b>16,624,310</b>	<b>872,566</b>	<b>15,751,744</b>	
<b><u>Schemes Currently Non Active</u></b>					
Compulsory Purchase Orders	154,504	154,504	3,250	151,254	2.10%
Non Disabled Facilities Grants	26,026	26,026	0	26,026	0.00%
Capital Contingencies	46,380	46,380	0	46,380	0.00%
Electric Vehicle Replacement	0	16,076	0	16,076	0.00%
<b>TOTAL BUDGET FOR SCHEMES NON ACTIVE</b>	<b>226,910</b>	<b>242,986</b>	<b>3,250</b>	<b>239,736</b>	

<b>Scheme</b>	<b>2018/19 MTFS Budget</b>	<b>Revised Budget</b>	<b>Actuals as at Q2</b>	<b>Variance</b>	<b>Spend</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>%</b>
<b>TOTAL GENERAL INVESTMENT PROGRAMME</b>	<b>17,112,478</b>	<b>16,867,296</b>	<b>875,816</b>	<b>15,991,479</b>	

**Housing Investment Programme – Summary of Financial Changes**

<b>Project Name</b>	<b>2018/19 MTFS Budget following 18/19 Qtr1 report</b>	<b>Budget increase/ (reduction)</b>	<b>Revised Budget</b>	<b>Reprofile (to) from future years</b>	<b>Notes</b>
	£	£	£	£	
<b><u>Decent Homes</u></b>					
Rewiring	78,911	(45,000)	33,911	0	
<b>Decent Homes</b>	<b>8,162,138</b>	<b>(45,000)</b>	<b>8,117,138</b>	<b>0</b>	
<b><u>Lincoln Standard</u></b>					
Over bath showers (10 year programme)	1,000,110	(600,000)	400,110	0	
<b>Lincoln Standard</b>	<b>1,055,479</b>	<b>(600,000)</b>	<b>455,479</b>	<b>0</b>	
<b><u>Health &amp; Safety</u></b>					
Asbestos Removal	267,424	(150,000)	117,424	0	
<b>Health &amp; Safety</b>	<b>825,028</b>	<b>(150,000)</b>	<b>675,028</b>	<b>0</b>	
<b><u>New Build Programme</u></b>					
New Build Programme	4,440,048	(328,399)	4,111,649	0	
New Build Partnership - Waterloo Housing	1,633,680	2,850,000	4,483,680	2,850,000	2019/20
Ingleby Crescent New Build Scheme	6,870,000	328,399	6,870,000	0	
<b>New Build Programme</b>	<b>12,943,728</b>	<b>2,850,000</b>	<b>15,793,728</b>	<b>2,850,000</b>	
<b><u>Other Schemes</u></b>					
Webster Close	45,433	32,312	77,745	0	
Garfield Close	41,535	25,499	67,034	0	
Communal Electrics	77,999	45,000	122,999		

Project Name	2018/19 MTFS Budget following 18/19 Qtr1 report	Budget increase/ (reduction)	Revised Budget	Reprofile (to) from future years	Notes
CCTV	6,685	10,500	17,185		
<b>Other Schemes</b>	<b>3,215,213</b>	<b>0</b>	<b>3,215,213</b>	<b>0</b>	
<b><u>Contingency Schemes</u></b>					
Contingency Reserve	637,704	681,689	1,319,393	0	
<b>Contingency Schemes</b>	<b>637,704</b>	<b>681,689</b>	<b>1,319,393</b>	<b>0</b>	
<b>GRAND TOTALS</b>	<b>30,197,788</b>	<b>2,850,000</b>	<b>33,047,788</b>	<b>2,850,000</b>	<b>2019/20</b>

**Housing Investment Programme – Summary of Expenditure as at 30<sup>th</sup> September 2018**

<b>Project Name</b>	<b>2018/19 MTFS Budget</b>	<b>Revised Budget</b>	<b>Actuals as at Q2</b>	<b>Variance</b>	<b>Spend</b>
	£	£	£	£	%
<b><u>Decent Homes</u></b>					
Bathrooms & WC's	625,938	625,938	297,000	(328,938)	47.45%
DH Central Heating Upgrades	1,433,837	1,433,837	697,899	(735,938)	48.67%
Responsive Capitalised Heating Replacements	346,122	346,122	114,016	(232,106)	32.94%
Thermal Comfort Works	408,831	408,831	37,254	(371,577)	9.11%
Kitchen Improvements	570,276	570,276	292,624	(277,652)	51.31%
Rewiring	78,911	33,911	12,401	(21,510)	36.57%
Re-roofing	756,776	756,776	118,633	(638,143)	15.68%
Lincoln Standard Windows Replacement	600,000	600,000	0	(600,000)	0.00%
Structural Defects	105,015	105,015	6,083	(98,932)	5.79%
Wall Structure Repairs	6,951	6,951	0	(6,951)	0.00%
Door Replacement	1,426,799	1,426,799	114,236	(1,312,563)	8.01%
Decent Homes Decoration Allowance	13,371	13,371	11,165	(2,206)	83.50%
CO Detector Installation	40,058	40,058	39,051	(1,007)	97.49%
New services	47,046	47,046	2,280	(44,767)	4.85%
Void Capitalised Works	1,282,797	1,282,797	0	(1,282,797)	0.00%
Landscaping and Boundaries	419,410	419,410	0	(419,410)	0.00%
Alterations to De Wint Court	105,010	105,010	273,852	168,842	260.79%
<i>Prelim Costs &amp; Exceptionals to be allocated</i>	0	0	0	0	0
<b>Decent Homes</b>	<b>8,267,148</b>	<b>8,222,148</b>	<b>2,016,494</b>	<b>(6,205,655)</b>	

Project Name	2018/19 MTFS Budget	Revised Budget	Actuals as at Q2	Variance	Spend
	£	£	£	£	%
<b><u>Lincoln Standard</u></b>					
Over bath showers (10 year programme)	1,000,110	400,110	172,311	(227,799)	43.07%
Safety flooring - Supported Housing	55,369	55,369	0	(55,369)	0.00%
<b>Lincoln Standard</b>	<b>1,055,479</b>	<b>455,479</b>	<b>172,311</b>	<b>(283,168)</b>	
<b><u>Health &amp; Safety</u></b>					
Asbestos Removal	267,424	117,424	41,882	(75,542)	35.67%
Asbestos Surveys	230,583	230,583	52,368	(178,215)	22.71%
Replacement Door Entry Systems	81,034	81,034	0	(81,034)	0.00%
Renew stair structure	23,133	23,133	0	(23,133)	0.00%
Plastering (HHSRS)	222,854	222,854	0	(222,854)	0.00%
<b>Health &amp; Safety</b>	<b>825,028</b>	<b>675,028</b>	<b>94,250</b>	<b>(580,778)</b>	
<b><u>New Build Programme</u></b>					
New Build Programme	4,440,048	4,111,649	0	(4,111,649)	0.00%
New Build Partnership - Waterloo Housing	1,633,680	4,483,680	0	(4,483,680)	0.00%
New Build Partnership - Westleigh	1,502,054	1,502,054	1,074,206	(427,848)	71.52%
New Build Partnership - Lytton Street	700,000	700,000	693,043	(6,957)	99.01%
New Build Site - 1	74,767	74,767	0	(74,767)	0.00%
New Build Site - 2	20,027	20,027	0	(20,027)	0.00%
New Build Site - 3	38,769	38,769	11,221	(27,548)	28.94%
Blankney Crescent New Build Scheme		0	1,076	1,076	0.00%
New Build Site - Queen Elizabeth Road	0	0	11,422	11,422	0.00%
Ingleby Crescent New Build Scheme	6,870,000	7,198,399	1,288,627	(5,909,772)	17.90%
Land Acquisition - Rookery Lane	200,000	200,000	186,621	(13,379)	93.31%

Project Name	2018/19 MTFS Budget	Revised Budget	Actuals as at Q2	Variance	Spend
	£	£	£	£	%
<b>New Build Programme</b>	<b>15,479,345</b>	<b>18,329,345</b>	<b>3,266,216</b>	<b>(15,063,129)</b>	
<b><u>Land Acquisition</u></b>					
Land Acquisition Fund	1,185,213	1,185,213	0	(1,185,213)	0.00%
Land Acquisition – site 1	1,695,000	1,695,000	0	(1,695,000)	0.00%
Land Acquisition – site 2	135,000	135,000	0	(135,000)	0.00%
<b>Land Acquisition</b>	<b>3,015,213</b>	<b>3,015,213</b>	<b>0</b>	<b>(3,015,213)</b>	
<b>Other</b>	<b>806,444</b>	<b>919,755</b>	<b>605,672</b>	<b>(314,083)</b>	<b>65.85%</b>
<b><u>Contingency Schemes</u></b>					
Contingency Reserve	637,704	1,319,393	0	(1,319,393)	0.00%
<b>Contingency Schemes</b>	<b>637,704</b>	<b>1,319,393</b>	<b>0</b>	<b>(1,319,393)</b>	
<b><u>Other Schemes</u></b>					
Housing Support Services Computer Fund	111,427	111,427	26,986	(84,441)	24.22%
<b>Other Schemes</b>	<b>111,427</b>	<b>111,427</b>	<b>26,986</b>	<b>(84,441)</b>	
<b>GRAND TOTALS</b>	<b>30,197,788</b>	<b>33,047,788</b>	<b>6,181,928</b>	<b>(26,865,860)</b>	



<b>SUBJECT:</b>	<b>Q2 2018-2019 OPERATIONAL PERFORMANCE REPORT</b>
<b>DIRECTORATE:</b>	<b>CHIEF EXECUTIVE AND TOWN CLERK</b>
<b>REPORT AUTHOR:</b>	<b>PAT JUKES, BUSINESS MANAGER – CORPORATE POLICY</b>

**1. Purpose of Report**

- 1.1 To present to Executive a summary of the operational performance position for quarter two of the financial year 2018/19 (from July 2018 to September 2018)
- 1.2 The report is in the following format:
  - Executive Summary – highlighting key points of note
  - Background – recent changes to the report
  - Operational performance overview – issues and successes
  - Appendix A details all measures by individual directorate grouping – with annual and quarterly measures split separately

**2. Executive Summary**

- 2.1 The report includes four corporate measures:
  - Sickness – split by long and short term
  - Corporate complaints including Ombudsman rulings
  - Employee FTE headcount, vacancies & turnover.
  - Staff appraisals completed

In addition, key headlines from operational measures collected and reported by Directorate are summarised below and reported in full in section 4.

NOTE: Some measures throughout this report are considered ‘volumetric’ measures e.g. The number of claims ... They are needed to set the context of performance, but cannot be changed by the performance of the team – these are marked as ‘V’

**2.2 Key headlines from performance results:**

A summary of the key headlines are found below:

2.3	<ul style="list-style-type: none"> <li>✓ The number of users logged into the self-service system has increased again to 7,298 from 6,059 in Q2 last year</li> <li>✓ The total number of users of our health and recreation facilities has increased by 38,487 since Q2 last year.</li> <li>✓ The standard of service as provided by Birchwood LC has</li> </ul>	<ul style="list-style-type: none"> <li>✗ The average time taken to answer a call in customer services has increased by 36 seconds compared to Q2 last year, at 96 seconds which is below the lower target of 50 seconds</li> <li>✗ The level of outstanding customer changes in the Revenues team has increased to 749 in Q2 this year, from 624 in Q2 last year</li> </ul>
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<ul style="list-style-type: none"> <li>improved back up to 87.7%</li> <li>✓ The percentage of Non-Major and Major Planning Applications determined within the government targets are above their targets at 95.05% and 98.04% respectively.</li> <li>✓ The cumulative number of affordable homes delivered has increased by 20 since Q2 last year, now reporting at 41, and is only slightly below its lower target of 45</li> <li>✓ The rent collected as a proportion of rent owed has surpassed its target of 96.50% with a figure of 98.19%</li> <li>✓ The current level of tenant arrears is above the target of 3.50% with a figure of 2.95% (low is good)</li> <li>✓ The percentage of reactive repairs completed within target time is above the target of 97.50% with a figure of 99.36%</li> </ul>	<p><b><i>As expected, following the introduction of full Universal Credit from March this year, there has been a lengthening of time taken in almost all aspects of Housing Benefits work.</i></b></p> <ul style="list-style-type: none"> <li>✗ The average (YTD) days to process new housing benefit claims is below the target of 24 days at 28.16 days.</li> <li>✗ The number of Housing Benefits/ Council Tax support customers awaiting assessment has increased from 810 in Q2 last year to 1,491 in Q2 this year</li> <li>✗ The percentage of Benefit quality checks made where the entitlement is correct has decreased from 87.50% in Q1 to 84% in Q2, and is below the target of 91.50%.</li> <li>✗ The percentage of FH&amp;S controls that should have been completed has decreased by 8.4% since Q1, now reporting at 81.60%. This is also below its target of 97%.</li> </ul>
<p><b>The following indicators are VOLUMETRIC ones (V).</b> This means that they are important to report, as they provide contextual data to support the performance data above. None of these will have a target allocated as it is not true performance– as in the team cannot affect the numbers coming in directly.</p>	
<ul style="list-style-type: none"> <li>✓ (V)The number of face to face enquiries in Customer Services has decreased to 4,873 from 12,123 in Q2 last year</li> </ul>	<p><b>As expected due to the introduction of the Homelessness ACT in April 2018, we are seeing increased numbers of applicants, and thus helping more people for longer</b></p> <ul style="list-style-type: none"> <li>✗ (V) The number of Homelessness applications progressed within the Housing team has increased from Q2 last year by 241, now reporting at 368.</li> </ul>
<ul style="list-style-type: none"> <li>✓ (V)The number of telephone enquiries answered has decreased again to 27,342 from 34,327 in Q2 last year</li> </ul>	
<ul style="list-style-type: none"> <li>✓ (V) The total number of CCTV incidents handled by operators has increased by 877 since Q1, now reporting at 4,068.</li> </ul>	

**Key headlines from the corporate measures:**

The overall sickness data as at the end of September is 1.93 days per FTE (excl. apprentices). This is 0.97 days less compared to quarter one and brings the cumulative total of sick days to 4.83 days which is 1.51 days less than last year and is the lowest Q2 average in the last 6 years.

The cumulative average time across all directorates to respond to formal complaints was 8.7 days, which is an increase of 1.7 days from Q2 2017/18.

The total number of FTE employees (excluding apprentices) at the end of quarter one was 553.26. During Q2, there was also an average of 16.43 apprentices.






84% of all staff appraisals were completed by Q2 in the year 2018/19

### 3. Background

3.1 Regular monitoring of the Council’s operational performance is a key component of the Local Performance Management Framework. This report covers key service performance measures identified by Members and CMT as of strategic importance.












### 4. Main Performance achievements

Please note the icons used in the summary highlight the trend performance of the measure.

				
The figure is improving (high is good)	The figure is improving (low is good)	The figure is worsening (low is good)	The figure is worsening (high is good)	The figure is maintaining

The report will predominantly report on improving and declining performance.

#### 4.1 Key performance areas in Chief Executives Directorate

<ul style="list-style-type: none"> <li>The number of new starters on the apprenticeship programme has decreased to nine in Q2 this year from 18 in Q2 last year.</li> </ul>	
<ul style="list-style-type: none"> <li>(V)The number of face to face enquiries has decreased to 4,873 from 12,123 in Q2 last year</li> </ul>	
<ul style="list-style-type: none"> <li>(V)The number of telephone enquiries answered has decreased again to 27,342 from 34,327 in Q2 last year</li> </ul>	
<ul style="list-style-type: none"> <li>The number of users logged into the self-service system has increased again to 7,298 from 6,059 in quarter two last year</li> </ul>	
<ul style="list-style-type: none"> <li>The average time taken to answer a call in customer services has increased by 36 seconds compared to Q2 last year, now reporting at 96 seconds which is below its lower target of 50 seconds</li> </ul>	
<ul style="list-style-type: none"> <li>The in year collection rate for Council Tax is 52.80%, 0.37% lower than the figure of 53.17% reported in Q2 last year, but on target</li> </ul>	
<ul style="list-style-type: none"> <li>The in year collection rate for Business Rates has decreased this quarter to 60.57% from 61.13% in Q2 last year. It is however above its target of 58.69%.</li> </ul>	
<ul style="list-style-type: none"> <li>The level of outstanding customer changes in the Revenues team has increased to 749 in Q2 this year, from 624 in Q2 last year</li> </ul>	
<ul style="list-style-type: none"> <li>The average (YTD) days to process new housing benefit claims is below its target of 24 days with a figure of 28.16 days.</li> </ul>	
<ul style="list-style-type: none"> <li>The number of Housing Benefits/ Council Tax support customers awaiting assessment has increased from 810 in quarter two last year to 1,491 in quarter two this year</li> </ul>	
<ul style="list-style-type: none"> <li>The percentage of risk-based quality checks made where Benefit entitlement is correct has decreased from 87.50% in quarter one to 84% in quarter two, also below its target of 91.50%.</li> </ul>	

#### 4.2 Apprenticeship programme

Numbers from Q2 last year are actually inflated due to a delay in starting learners that should have ideally started in Q1. The reason for the delay in starting was due

to the introduction of the new Digital Apprenticeship Service which meant we were unable to start at least 8 progressions from level 2 to level 3 any earlier. If we had progressed earlier, numbers would have been more evenly distributed across Q's 1 and 2 and would have been more comparable to this year's figures. We have not reduced our internal apprenticeship numbers and are not struggling to recruit at present, in fact we have recruited 3 new apprentices within the last 2 weeks, which will show in Q3.

#### **4.3 Customer Services**

Although we are seeing less face to face and telephone demand following the end of the concessions contract, the Customer Services team is running below previous staffing levels with one vacancy, a 0.6 FTE drop in team leader time and reduced apprentice capacity alongside increased responsibilities in Housing areas.

The average time to answer a call in Customer Services has seen a small decrease from last quarter's figure of 110 seconds, decreasing this quarter to 96 seconds. This is still higher than the figure reported at the same time last year of 62 seconds, and the measure has not yet reached its lower target of 50 seconds.

There was slightly less demand in customer services during quarter two compared to the last quarter with 677 less customers visiting to make a face to face enquiry and 2,053 less calls answered (mainly due to a reduction in Revenues and Benefits calls). One customer services assistant has been transferred to assist Housing Solutions in taking their calls (which are not included in these totals).

The average length of call times in quarter two has increased to 189 seconds compared to quarter one when calls took an average of 175 seconds. As customers with straightforward queries or actions are more and more accessing the council via electronic means (see below) this means that our agents are dealing with the more complex issues, which naturally take longer to resolve. However, this is in line with the council's policy of encouraging direct usage of the website wherever possible, so that agents can help the more vulnerable customers or those with more complex issues.

To confirm the point made above, it is pleasing to report that yet again the number of users who logged into the self-service system 'MyInfo' has increased; from 6,059 in quarter two last year to 7,298 in quarter two this year. A more proactive approach to the marketing and delivery of the MyInfo service is paying off, with a further decrease in the number of face to face and telephone enquiries. Just 4,873 people came to City Hall in quarter two, a drop of 7,250 compared to the same point last year with the lack of the travel concession contract contributing significantly to this change. 6,985 less customers called in quarter two this year, reducing from 34,327 in quarter two last year to 27,342 in quarter two this year. Again, this can be primarily explained due to the lack of the travel concessions contract.

#### **4.4 Revenues Administration**

The in-year collection rate for Lincoln Council Tax at 52.8% has dropped below that collected by the same time last year, but is still within its target of 52.39% to 53.19%. Whilst decreasing by 0.37% in quarter two this year compared to quarter

two last year, meaning a reduction of £146,107 collected, in fact our total net receipt has actually increased from the same point last year by £2,454,530.

In a similar way, although the in-year collection rate for Lincoln Business Rates has decreased by 0.56% in quarter two this year compared to quarter two last year, it still remains above its Q2 target of 58.69% with a figure of 60.57%. Whilst less has been collected (- £246,903), our total net receipt has increased by £955,861 from the same point last year.

Outstanding revenues customer changes have increased from 624 in quarter two last year to 749 in quarter two this year, an increase of 125. This has partially been caused by an increase in workload compared to last quarter.

#### 4.5 Housing Benefit Administration

The number of Housing Benefit and Council Tax Support claims processed has decreased compared to the same quarter in 2017/18, - in particular Housing Benefit, which is not unexpected due to some new claims now being for Universal Credit instead of Housing Benefit. Resources in the Benefits Service has been re-allocated to take account of new demands on the team.

Number of new claims processed	Q2 2017/18	Q2 2018/19
Housing Benefits	1,476	711
Council Tax Support	2,255	2,149

There is now a lengthening of time taken in almost all aspects of Housing Benefits work, caused by the introduction of Universal Credit earlier this year.

The average cumulative days to process housing benefit claim changes of circumstances remains relatively stable at 8.09 days compared to 7.62 days last year. A reallocation of resource in the team to try and decrease the outstanding workload related to Universal Credit (UC) claims, the number of UC related documents requiring assessment, as well as diversion to other key areas of benefits administration (such as fraud and error) is impacting on the time taken to process housing benefit changes.

It is worth noting that the average cumulative days to process new housing benefit claims has decreased slightly from 30.13 in quarter one this year to 28.16 in quarter two. Processing delays are mainly due to delays in income details for Housing Benefit customers being transferred over to Universal Credit, the figure of 28.16 is still below its target of between 24 - 26 days.

Universal Credit changes are also time limited, whereby a two week grace period on any overpayment has been given, therefore, priority is being given to this piece of work – resulting in the time taken to process changes being reduced. In addition, whilst the number of new claims is reducing, those claims that are being received are for the Universal Credit customers where Housing Benefit is still to be claimed (exempt categories). The housing costs are covered by Housing Benefit. As a result, Local Authorities are having to wait for the Universal Credit decision to be made, which is taking around 6 weeks, before an assessment decision can be taken on the Housing Benefit entitlement. This delay by Department for Work and Pensions (DWP) has contributed to the 5 day increase for new claims.

The number of Housing Benefit / Council Tax support customers awaiting assessment has increased significantly from 810 at quarter two last year to 1,491 in quarter two this year. Of these customers, 1,157 are awaiting a first contact from a Benefits Officer. For the remaining 334 customers, Benefits Officers have made contact and are now awaiting information from the customer.

Although the amount of outstanding Housing Benefit work has increased, there has been a proactive action plan put in place which has turned round significantly the 'oldest date' of work not yet processed – on 30<sup>th</sup> September 2018 the oldest item was dated 20<sup>th</sup> August (6 weeks old) – and as at 31<sup>st</sup> October the outstanding work figure had decreased to 1,119 – with the oldest item being dated 10<sup>th</sup> October – i.e. 3 weeks old. This shows positive progress. It is also important to note that as we have a number of 'lean processes' to assess at the point of contact wherever possible – so this does not mean whatsoever that every item of work is taking 3 weeks to process.

The percentage of risk based quality checks where benefit entitlement is correct, has seen a 3.5% decrease from quarter ones figure of 87.50%, now reporting at 84%. New changes introduced to the quality control procedure has increased the number of checks taking place and also now includes Universal Credit assessments being checked. The changes are much more complex, and require more time to be taken to ensure accurate processing.

#### 4.6 Key performance areas in Directorate for Communities and Environment

(V) The total number of CCTV incidents handled by operators has increased by 877 since Q1, now reporting at 4,068.	↑
The total number of users at our health and recreation facilities has increased by 38,487 since Q2 last year, now reporting at 247,762	↑
The overall percentage utilisation of all car parks has decreased from 68% in Q2 last year to 45% in Q2 this year, which is below its 60% target	↓
The number of off-street charged car parking spaces has increased from 2,241 in Q2 last year to 3,621 in Q2 this year.	↑
The satisfaction of complainants relating to how the complaint was handled is below its target of 87.50% with a figure of 80.30%.	↓
The percentage of official FH&S controls completed has decreased by 8.4% since Q1, now reporting at 81.60% - below the target of 97%.	↓
Non-Major and Major Planning applications determined within g'vment targets are above target at 95.05% and 98.04% respectively.	↑
% satisfaction with the standard of service by Birchwood Leisure Centre has improved to 87.71% from 78.85% last year	↑

#### 4.7 CCTV

The total number of CCTV incidents handled by our operators has seen a large increase from quarter ones figure of 3,191 with a figure in quarter two of 4,068. Our upgraded CCTV system with its brand new technology has allowed us to view in superior detail crimes and incidents taking place in the City. This has allowed our operators to report more to the police consequently allowing the police to use our footage evidentially in a number of cases.

#### **4.8 Recreation and Leisure**

In comparison to quarter two last year, the total number of users of our health and recreation facilities has risen by a substantial 38,478, now totalling an impressive 247,762 as of quarter two this year. With the new improved facilities at Birchwood Leisure Centre now fully open for the second quarter, customers have been able to return to the facility and indeed this has been the case with an increase of 35,480 users this quarter. Effective marketing between Active Nation and the City of Lincoln Council has also promoted the facility much better than ever before, and is proving to be a success with residents across the city.

In addition we can see customer satisfaction start to improve again at Birchwood, with a significant improvement of almost 7%

#### **4.9 Parking Services**

The number of off street parking spaces operated by City of Lincoln Council (now standing at 3621) is 1,380 above the same point last year.

Overall utilisation of the car parks has decreased from 68% in quarter two last year (before the new multi-storey was built) to 45% in quarter two this year, which is not a drop in total usage, but the effect of having more spaces available. Whilst this is below the lower target of 60%, income figures for the car parks first two quarters of 2018/19 show a 23.5% increase (plus £431,888.). Season tickets are also at a 26.5% increase (plus £47,355), whilst penalty charges show a decrease of 35% (minus £11,595). The extra capacity at the Lincoln Central car park and the return of cars to Tentercroft Street car park has boosted income. The Lincoln Central car park continues to show a growing usage, which we will continue to closely monitor as we approach a full year's opening.

#### **4.10 Public Protection and Antisocial Behaviour**

The satisfaction of complainants relating to how the complaint was handled in the Anti-Social Behaviour team has remained relatively stable compared to quarter one – achieving 80.3%, 0.3 % up on last quarter.

Whilst this is below its lower target of 85%, it should be recognised that an achievement of over 80% in an enforcement service is actually very positive. During July, August and September; 70, 68 and 59 surveys were attempted respectively by Customer Services team. 6 people refused to reply in July, 11 in August and 6 in September. 38 people didn't answer the phone during July, 41 during August and 26 in September. For those that don't answer the phone, a postal survey is also sent.

#### **4.11 Food Health and Safety**

The percentage of official controls that should have been completed and have been in Q2 has decreased by 8.4% since quarter one. With a figure of 81.6%, this measure is also below its lower target of 90%.

During Quarter two we had been running with one vacancy, although this post has now been filled, but this will have impacted on the number of inspections that were achieved, alongside dealing with a number of complex cases. A further resignation

has been received which will mean the team will be reduced by one again in December, and the potential time to recruit into this post over the Christmas period could impact into next quarter. There are 94 inspections outstanding with no high risk red inspections overdue. However there are seven amber inspections over due of which five are evening economy visits, 18 are new businesses and the 69 remaining are green.

#### **4.12 Development Management**

Quarter two saw 229 standard planning applications submitted, a small decrease of just 18 compared to last quarter. They were dealt with in a marginally slower average of 56.25 days, compared to the 57.44 days in quarter one.

The percentage of non-major and major planning applications determined within the government target (70% in eight weeks and 60% in 13 weeks respectively ) measured on a two year rolling basis have maintained since last quarter, and are still above target of 90%, at 95.05% and 98.04% respectively. The Development Management team prioritises Major Developments and manages the timescales effectively with the applicant to ensure that this level of performance is maintained.

This workload was completed against a background where 93% of planning applications were accepted. Five planning appeals were submitted of which just two were allowed.

The teams' performance results remain high due to efficient work management and prioritisation, but it is worth noting that this could be affected in the coming months due to the new requirements introduced by the National Planning Policy Framework where the team will have to seek agreement with the applicants of all pre-commencement conditions prior to determination.

#### **4.13 Affordable Housing**

The number of affordable homes delivered by the council stands at a cumulative total of 41 homes this year. However, it is worth noting that this figure will increase considerably in 2018/19 final figures, when housing developments are completed.

City of Lincoln Council will deliver 172 properties with partners over the next six months to meet the demand for much-needed affordable housing in the city.

The new stock is being block purchased directly from developments that are being delivered by Waterloo Housing Group and Westleigh Partnerships Ltd, and aims to reduce the waiting list for affordable housing by transferring current council tenants to the new properties, which in turn, will vacate existing properties to be let to applicants on the Housing Register.

The new properties are located on Allenby Close near Monks Road, Lytton Street in the Stamp End area, Ingleby Crescent in the Ermine area and the former school site on Westwick Drive in the Boultham area. The properties have been built to a minimum standard to raise the quality of housing in Lincoln.



#### 4.14 Key performance areas in Directorate for Housing and Regeneration

The rent collected as a proportion of rent owed has surpassed its target of 96.50% with a figure of 98.19%	↑
The current tenant arrears as a percentage of the annual rent debit is above its target of 3.50% with a figure of 2.95% (low is good)	↓
The number of Homelessness applications progressed within the Housing team has increased from Q2 last year by 241, now at 368.	↑
The percentage of reactive repairs completed within target time is above its target of 97.50% with a figure of 99.36%	↑

#### 4.15 Rent Collection and arrears

In quarter two the level of rent collection increased slightly from 97.56% in Q1 to 98.19% this quarter and it is still above its target of 96.50%. Outstanding workload in relation to Universal Credit (existing tenants experiencing delays in receiving their first payment) has been reduced, and at this stage in the financial year, we have collected £13,901,594 in rent.

The current tenant arrears as a percentage of the annual rent debit has increased slightly again this quarter to 2.95%, up from 2.72% in the last quarter, with arrears now standing at £802,050. This is however still above its target of 3.5%. Since January, our arrears have increased by over £135,000. A major factor of this increase is the rollout of full service Universal Credit which has played a significant role in our arrears and rent collection and this will continue further moving forward. To date, we have over 800 Universal Credit cases that we are aware of and the associated arrears from these cases equates to around 35% of our total arrears.

#### 4.16 Housing Solutions (Homelessness)

Due to the Homelessness Reduction Act changes which came into force in April 2018, we must now open a homeless application/case for anyone eligible, threatened with homelessness within 56 days or is already homeless. The revised focus is to prevent homelessness and to help support people to find and secure accommodation. This means the Council has a duty to start working with people who approach for help and advice, at an earlier stage and help should initially be offered regardless of whether the person has a local connection to Lincoln or a priority need for assistance. It is therefore almost certain that homelessness presentations will increase in the first year but the number of cases where homelessness is prevented should also increase. The team has been working to ensure that the service complies with legislation and over the next few months more work will take place to further develop and enhance the services offered. The team have also introduced changes to the Allocations Policy which means that they can secure accommodation for those households who are statutory homeless, more quickly.

The number of homeless applications received includes everything from triage, advice, under prevention, under relief, successfully prevented and successfully relieved. For Q2 this number was 368 - this is a considerable increase of 241 more than in quarter two last year, but is expected as explained above. Comparisons externally have shown that this is in line with national averages and not a Lincoln

phenomenon. We have successfully prevented 95 homeless cases and successfully relieved 63 since April 2018.

#### 4.17 **Housing Maintenance**

The percentage of reactive repairs completed within the target time has seen its strongest performance for many years, reaching a figure of 99.36%, above the target of 97.5%. With the new repair task codes implemented, along with making sure the team are identifying the repairs correctly at the first point of contact, it is allowing the team to complete repairs in a more efficient timeframe.

#### 4.18 **OTHER ACHIEVEMENTS DURING THIS QUARTER**

#### 4.19 **IRRV Performance Awards 2018**



We are pleased to announce that our joint revenues and benefits service has this year been awarded the Institute of Revenues Rating and Valuation (IRRV) award for Excellence in Partnership Working 2018.

The council has been shortlisted in the past many times – securing a ‘final four’ place as ‘Benefits Team of the Year’ in 2004, and winning the ‘Revenues Team of the Year’ in 2007 and shortlisted for Excellence in Social Inclusion (for our Welfare Team) in 2008.

Congratulations to all who helped us achieve this magnificent achievement.

#### 4.20 **City of Lincoln Council delivering more than 170 new homes in first phase of new build rollout**



City of Lincoln Council is delivering 172 properties with partners over the next six months to meet the demand for much-needed affordable housing in the city. The distribution of the properties will be done in accordance to the size and type of each unit, matched with an applicant’s current needs.

The introduction of these properties is just the beginning of City of Lincoln Council’s new build programme as it works toward the Vision 2020 target of 400 new homes by 2020.

#### 4.21 **LABC Awards 2018**

As reported in Q1 the Building Control team together with partners won two regional awards for the Best Educational Building – Isaac Newton Building and the Non-residential Construction Professional of the year – Rachel Casey with Ian Rainbow for the Sarah Swift Building Lincoln University.



As a result of these regional successes, the two winning teams were considered as part of the National Award Grand Finals in early November, but in this case were not the overall winners. However, well done on the Regional achievements

#### 4.22 **Apprentice of the year award**

The Lincolnshire Public Service Apprentice of the Year Awards is taking place on Friday 30 November at the University of Lincoln. There are three apprenticeship categories:-

1. Level 2 Apprentices
2. Level 3 Apprentices
3. Higher Apprentices

A number of CoLC apprentices (both past and present) were nominated by WBL Assessors and Department Managers. We are extremely proud to announce that two of our employees have been shortlisted for the Lincolnshire Public Service Apprentice of the Year:

Ali Thacker (HR Team Leader) – Higher Apprentice category

Laura Armstrong (Community Services Contract Officer) - Level 3 Apprentice  
Congratulations and good luck both for the finals



#### 4.23 **Breaking news**

City of Lincoln Council has just been told that it has been shortlisted for three awards in the national Local Government Chronicle Awards for 2019. The awards are the biggest and most prestigious for the local government sector, recognising the best of local government innovation and service delivery, so this is a fantastic achievement.



We have been shortlisted in the **Entrepreneurial Council** category which focuses on how local government is innovating, to generate income to respond to the challenging financial environment in which we operate. The award recognises that councils increasingly operate with a private sector mentality, successfully trading their expertise whilst demonstrating an understanding of the risks involved

In addition to this, we have two members of staff shortlisted in the **Rising Stars** category. This new category aims to highlight young officers and professionals who are currently not in corporate management team roles but are making change happen and preparing to deliver excellent local government in the future.

We have also been shortlisted for a partnership award along with North Kesteven, West Lindsey and East Lindsey.

All shortlisted councils will now be interviewed by judges in January before the winners are announced at a ceremony on 13 March 2019 held in London

#### 4.24 City of Lincoln Council launches Social Responsibility Charter

The Lincoln Social Responsibility Charter has been launched by City of Lincoln Council to showcase star employers in Lincoln who go above and beyond to support their employees and the local community.



Through undertaking a range of socially responsible activities, employers can expect to reap rewards for their organisation such as increased staff retention, reduced recruitment costs, a more productive workforce, better brand recognition, improved business reputation, increase in profits, customer loyalty and recognition as an ethical employer.

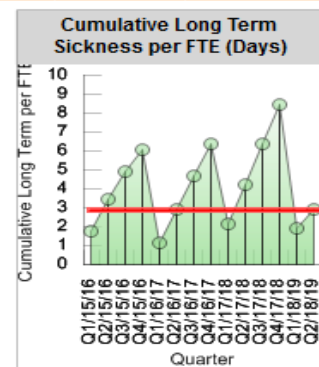
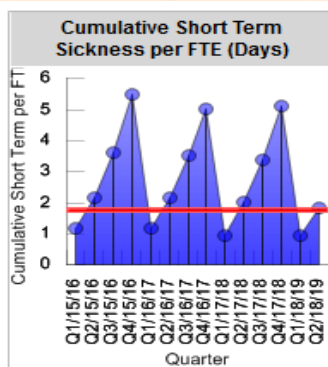
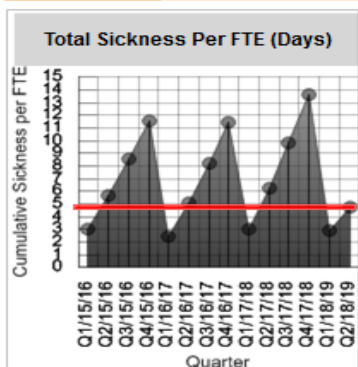
In turn, employees can expect to receive a range of benefits from their employer which can make a real difference, including such things as fair pay, career breaks, holiday purchase schemes, additional training and development, walk/cycle to work initiatives, staff recognition schemes and health support.

#### 4.25 CORPORATE MEASURES

#### 4.26 Sickness Indicators – Q2 cumulative (Year to date)

In Q2 the average short term total stood at 0.9 days/FTE, and the average long term sickness stood at 1.03 days. The cumulative total sickness per FTE as at the end of September is now 4.83 days (excl. apprentices). This is 1.51 days less per FTE compared to quarter two last year, with the biggest reduction seen in long term sickness. Notably this is the lowest Q2 average in the last 6 years, however CMT continues to place a keen focus on these levels.

	Short Term Sickness	Long Term Sickness	Total Sickness	No. of FTE Employees	Short Term Per FTE	Long Term Per FTE	Total Sickness per FTE
CX (exc.appr's)	442.00	619.00	1,061.00	210.08	2.10	2.94	5.04
DCE	171.00	417.00	588.00	133.05	1.28	3.11	4.39
DMD	3.00	0.00	3.00	7.42	0.27	0.00	0.27
DHR	407.50	622.50	1,030.00	202.71	2.01	3.07	5.07
<b>TOTAL</b>	<b>1,023.50</b>	<b>1,658.50</b>	<b>2,682.00</b>	<b>553.26</b>	<b>1.85</b>	<b>2.99</b>	<b>4.83</b>



#### 4.27 Apprentices sickness – Q2 cumulative

During quarter two alone, the apprentices lost a total of 42 days due to short term sickness, which equates to a total of 2.56 days per FTE. This brings the average YTD to 4.97 days

Cumulative sickness to Q2	Short term days lost	Long term days lost	Total days lost	Average Number of FTE this Q	Short term days lost per FTE	Long term days lost per FTE	Total days lost per FTE
Apprentice sickness	72	16	88	16.43	4.13	0.84	4.97

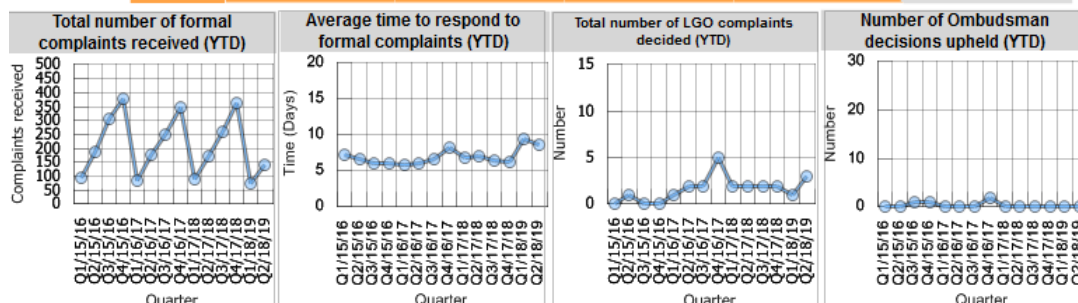
#### 4.28 Corporate Complaints – Q2 cumulative

In Q2 alone there were 69 complaints of which 21 were upheld. The average time to resolve these complaints (Q2 alone) was 6.5 days

The cumulative number of formal complaints received up to quarter two was 144 which is a decrease of 27 when compared to the same period last year. The cumulative average time across all directorates to respond to formal complaints was 8.7 days, which is an increase of 1.7 days compared to the same point in 2017/18.

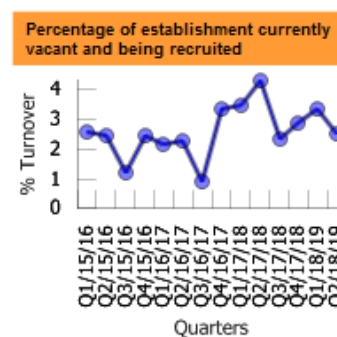
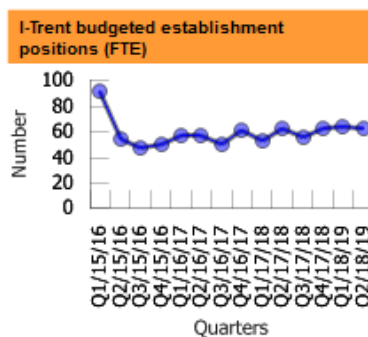
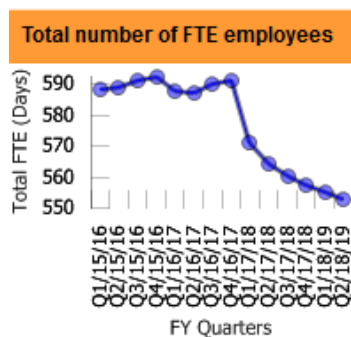
In Q2 we had one LGO complaint raised for DCE Directorate, and two raised in DHR Directorate, which have yet to be considered.

	Number of Formal Complaints Received (YTD)	Average time to respond to Formal complaints (Days) (YTD)	LGO complaints decided (YTD)	Number of Ombudsman decisions upheld (YTD)	LHO complaints decided (YTD)
CX	21	8.9	0	0	
DCE	41	13.6	1	0	
DHR	81	6.2	2	0	0
DMD	1	3.0	0	0	
<b>TOTALS</b>	<b>144</b>	<b>8.7</b>	<b>3</b>	<b>0</b>	



#### 4.29 Employees (FTE, vacancies and turnover) for Q2

Number of FTE employees (exc. App.s)	Q2 2017/18	Q3 2017/18	Q4 2017/18	Q1 2018/19	Q2 2018/19
CX - Number of FTE employees	211.85	209.46	209.08	210.77	210.08
DCE - Number of FTE employees	140.67	139.18	137.59	133.95	133.05
DHR - Number of FTE employees	203.91	204.18	203.63	203.27	202.71
DMD - Number of FTE employees	7.81	0.90	7.62	7.42	7.42
<b>TOTAL</b>	<b>564.24</b>	<b>560.63</b>	<b>557.92</b>	<b>555.41</b>	<b>553.26</b>
Average number of apprentices across the period					16.43
	Q2 2017/2018	Q3 2017/18	Q4 2017/18	Q1 2018/19	Q2 2018/19
I-Trent budgeted establishment positions (FTE)			63.00	64.50	62.69
Active vacancies which are being recruited (FTE)	20.80	25.50	17.00	30.60	29.79
	Q2 2017/18	Q3 2017/18	Q4 2017/18	Q1 2018/19	Q2 2018/19
Percentage of staff turnover	4.24%	2.35%	2.83%	3.31%	2.50%



The total number of FTE employees (excluding apprentices) at the end of quarter one was 553.26 with an average of 16.43 apprentices over the period.

In terms of the level of vacancies at quarter two - budgeted establishment unfilled positions (FTE) stood at 62.69 FTE. This figure has decreased from that reported at quarter one. It should be noted that the Council are actively recruiting to 29.79 FTE positions, also a small decrease over quarter one.

The percentage of staff turnover at the end of quarter one was 2.5%. In comparison to the previous quarter, this has decreased by 0.81%.

#### Budgeted establishment vacancy positions by Directorate (FTE)

Directorate	i-Trent Budgeted establishment positions (FTE)
CX	22.5
DCE	11.2
DHR	0.39
DMD	28.6
<b>OVERALL</b>	<b>62.69</b>

#### 4.30 Appraisal Monitoring

Directorate	Percentage of appraisals completed
<b>CX</b>	81%
<b>DCE</b>	83%
<b>DHR</b>	92%
<b>DMD</b>	50%
<b>OVERALL</b>	<b>84%</b>

The overall completed appraisal percentage as entered into the HR i-Trent system shows that 84% of appraisals have been completed. It is accepted that it is almost impossible to complete 100% as there will be cases of Maternity Leave, long term sickness and resignations which cannot be covered.

#### 5. Strategic Priorities

Let's drive economic growth; Let's reduce inequality; Let's deliver quality housing; Let's enhance our remarkable place – As this report is purely concerned with service performance there are no direct impacts on Strategic Priorities, although the better the performance the more services can contribute towards priorities.

#### 6. Organisational Impacts

6.1 Finance (including whole life costs where applicable) - there are no direct financial implications as a result of this report. Further details on the Council's financial position can be found in the financial performance quarterly report elsewhere on the agenda.

6.2 Legal Implications including Procurement Rules - there are no direct implications

6.3 Equality, Diversity and Human Rights  
The Public Sector Equality Duty means that the Council must consider all individuals when carrying out their day-to-day work, in shaping policy, delivering services and in relation to their own employees.

It requires that public bodies have due regard to the need to:

- Eliminate discrimination
- Advance equality of opportunity
- Foster good relations between different people when carrying out their activities

Any impact of poor performance on individual groups is the responsibility of the relevant service area to consider. This report is simply a summary monitoring tool. However, should implications be seen when considering the data - they will be passed to services for resolution.

6.4 Human Resources - there are no direct implications

6.5 Land, Property and Accommodation - there are no direct implications

6.6 Significant Community Impact - there are no direct implications

6.7 Corporate Health and Safety implications - there are no direct implications

**7. Risk Implications**

7.1 (i) Options Explored – not applicable

7.2 (ii) Key risks associated with the preferred approach – not applicable

**8. Recommendations**

**Executive is asked to:**

a) Comment on the achievements, issues and any future concerns noted this quarter

b) Relevant portfolio holders to ensure management has a local focus on those highlighted areas showing deteriorating performance

**Is this a key decision?** No

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules apply?** No

**How many appendices does the report contain?** One – Appendix A: table of measures

**List of Background Papers:** None

**Lead Officer:** Nathan Walker, Senior Corporate Performance & Engagement Officer. Telephone (01522) 873315



Lean Area	Measure	Unit	Tolerance	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Q2/18/19	Status	Q2/18/19 (Row Comment)	Under Performing	Target	Last Target Status
Work Based Learning	WBL 5 - Number of apprentices completing on time	Number	10	Cumulative	High is good	Seasonal	100%	100%	100%	100%	100%	Maintaining	16/16 apprentices within quarter 2 achieved their framework on time			
Work Based Learning	WBL 6 - Number of new starters on apprenticeships	Number	5	Cumulative	High is good	Seasonal	18	17	5	6	9	Deteriorating	9 New starts within quarter 2. No concerns to report in recruitment levels			
Work Based Learning	WBL 7 - Number of apprentices moving into Education, Employment or Training	Number	5	Cumulative	High is good	Seasonal	100%	100%	75%	100%	100%	Maintaining	Within quarter 2 100% of apprentices on programme moved into EET	90	100	At Target
Work Based Learning	WBL 8 - Number of early leavers	Number	5.00	Cumulative	Low is good	Seasonal	1	0	1	0	3	Maintaining	In Quarter 2 we had 3 early leavers			
Work Based Learning	WBL 9 - Employers / supervisors rating the WBL team as good or very good	%	5.00	Quarterly	High is good	Seasonal	100%	100%	100%	100%	100%	Maintaining	100% of employers rated the WBL team as good or very good in quarter 2			
Customer Services	CS 4 - Number of face to face enquiries	Number	1000	Quarterly	Low is good	Seasonal	12,123	10,388	9,826	5,550	4,873	Improving	This is slightly lower than the previous quarter, we have had fewer customers for Garden waste and revenues and benefits in quarter two compared with quarter 1			
Customer Services	CS 5 - Number of telephone enquiries answered	Number	3000	Quarterly	Low is good	Seasonal	34,327	32,102	33,254	29,395	27,342	Improving	This is lower than previous quarter with calls for Revenue and Benefits being the main decrease.			
Customer Services	CS 6 - Number of users logged into the self-service system MyInfo this quarter	Number	400	Quarterly	High is good	Seasonal	6,059	6,409	9,865	7,925	7,298	Improving	A continued proactive approach to the marketing and delivery of the MyInfo service has meant that this quarter is again higher than the same point last year.			
Customer Services	CS 8 - Average time taken to answer a call to customer services	Seconds	10	Quarterly	Low is good	Seasonal	62	49	104	110	96	Deteriorating	Slightly lower than the previous quarter, although we had less demand in customer services, we are using 1 CSA to assist housing solutions with their incoming calls, their calls are not included in this quarters totals	50	40	Below Target
Human Resources	HU 4 - Number of grievances	Number	5	Quarterly	Low is good	Quarterly	1	1	0	1	2	Maintaining				
Human Resources	HU 5 - Number of disciplinary sanctions	Number	5	Quarterly	Low is good	Quarterly	4	2	0	2	2	Maintaining				
Accountancy	ACC 8 - Average return on investment portfolio	Number	0.50	Cumulative	High is good	Seasonal	0.31%	0.53%	0.67%	0.57%	0.73%	Maintaining	An increase in the Bank of England base rate during the quarter has increased rates on new investments and variable rate investments			
Accountancy	ACC 9 - Average interest rate on external borrowing	%	0.25	Cumulative	High is good	Seasonal	4.07%	4.07%	3.90%	3.90%	3.90%	Maintaining	No further borrowing taken during the quarter - rate is consistent with previous quarter			
Revenues Administration	REV 4 - Council Tax - in year collection rate for Lincoln	%	0.29	Cumulative	High is good	Seasonal	53.17%	79.77%	97.17%	27.09%	52.80%	Deteriorating	0.37% below 2017/18 = £146,107 However, the total net receipt has increased from 17/18 by £2,454,530	52.39	53.19	On Target
Revenues Administration	REV 5 - Business Rates - in year collection rate for Lincoln	%	0.4%	Cumulative	High is good	Seasonal	61.13%	86.43%	98.87%	35.86%	60.57%	Deteriorating	0.56% below 2017/18 = £246,903 However, the total net receipt has increased from 17/18 by £955,861	57.81	58.69	Above Target
Revenues Administration	REV 6 - Level of outstanding customer changes in the Revenues team	Number	100	Quarterly	Low is good	Seasonal	624	80	121	659	749	Deteriorating	Although there is an increase in the level of outstanding customer changes - there has also been an increase in incoming workload compared to quarter 1.			
Housing Benefit Administration	BE 4 - Average (YTD) days to process new housing benefit claims from date received	Days	4.00	Cumulative	Low is good	Quarterly	23.24	23.73	24.29	30.13	28.16	Maintaining	Increase in time to provide income details for those HB customers who claim UC may be impacting on processing times.	26	24	Below Target
Housing Benefit Administration	BE 5 - Average (YTD) days to process housing benefit claim changes of circumstances from date received	Days	3	Cumulative	Low is good	Seasonal	7.62	7.93	4.00	4.72	8.09	Maintaining	Work undertaken to bring down outstanding work and delay in UC claims being decided impacting on time taken to process changes.	9	5	On Target
Housing Benefit Administration	BE 6 - Number of Housing Benefits / Council Tax support customers awaiting assessment	Number	200	Cumulative	Low is good	Seasonal	810	556	696	1,312	1,491	Deteriorating	Of the 1,491, 1,157 are waiting a first contact.			
Housing Benefit Administration	BE 7 - Percentage of risk-based quality checks made where Benefit entitlement is correct	%	3	Cumulative	High is good	Quarterly	91.00%	91.00%	92.00%	87.50%	84.00%	Deteriorating	There is a decrease in accuracy due to the new policy being implemented and more checks taking place. We have also been checking more Universal Credit assessments due to new changes being implemented.	86.50	91.50	Below Target
Housing Benefit Administration	BE 8 - The number of new benefit claims year to date (Housing Benefits / Council Tax Support)	Number	1000	Cumulative	Low is good	Seasonal	3,731	5,513	7,296	1,322	2,860	Maintaining	Housing Benefit 711 Council Tax Reduction 2149			

Service Area	Full Name	Tolerance	Unit	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	2016/2017	2017/2018	Status	2017/2018 (Row Comment)	Under Performing	Target	Last Target Status
Procurement Services	PRO 10 - What percentage of total contract spend is with a SME	10%	%	Cumulative	High is good	Seasonal			Not Set	First full collection will be 2019/20 due to the change of procurement arrangements in March 2018			
Procurement Services	PRO 11 - Percentage of total contract spend that is with a SME who meets the "local" definition	10%	%	Cumulative	High is good	Seasonal			Not Set				
Procurement Services	PRO 8 - Percentage spend on contracts that have been awarded to "local" contractors (as the primary contractor)	10%	%	Cumulative	High is good	Seasonal			Not Set				
Procurement Services	PRO 9 - Percentage value of the top 10 spend contracts that have that have been sub-contracted (wholly or partly) to "local" suppliers to deliver	10%	%	Cumulative	High is good	Seasonal			Not Set				

Service Area	Measure	Unit	Tolerance	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Q2/18/19	Status	Q2/18/19 (Row Comment)	Under Performing	Target	Last Target Status
CCTV	CCTV 6 - Total number of incidents handled by CCTV operators	Number	600	Quarterly	High is good	Quarterly	3,519	3,374	3,380	3,191	4,068	Improving	Change believed to be due to use of new technology within the camera system, making it possible for the system to be used more effectively and for a wider range of issues.			
Recreation Services	RES 17 - Total number of users of our Health & Recreation facilities per quarter	Number	5000	Quarterly	High is good	Seasonal	209,284	190,198	218,181	244,381	247,762	Improving	Yarborough 179,395 (up on Q2 last year by 2,974) - Birchwood 49,829 (up on Q2 last year by 35,480) - Community Centres 16,778 (Down on Q2 last year by 1,666) - Recreation 1,760 (Recreation grounds up on Q2 last year by 1,690) Again this quarter, the number of users at our Health and Rec facilities has risen. This is due to Birchwood LC now being fully open for the second quarter.			
Waste & Recycling	WM 5 - Percentage of waste recycled or composted	%	2.5	Quarterly	High is good	Seasonal	39.90%	38.20%	33.70%	27.40%	38.20%	Maintaining	This figure relates to data from quarter 1. 21.95% of waste was composted, and 16.24% of waste was recycled, equating to 38.2% of waste being composted or recycled.	35%	45%	On Target
Parking Services	PS 6 - Overall percentage utilisation of all car parks (P8)	%	5	Quarterly	High is good	Seasonal	68.00%	70.00%	45.00%	48.00%	45.00%	Deteriorating	The utilisation is measured as a percentage of the overall number of spaces available. From PS7 it can be seen that the available car park stock has increased significantly since last year, and as such there has been a corresponding drop in the utilisation percentage. Red status for this indicator therefore reflects the increase in car parking stock, not a drop in utilisation in this instance.	60.00%	70.00%	Below Target
Parking Services	PS 7 - Number of off street charged parking spaces	Number	20	Quarterly	High is good	Seasonal	2,241	2,880	3,621	3,621	3,621	Improving	Floor 4 at Lincoln Central car park opened during March meaning additional spaces. Tentercroft St also reopened in February with 311 spaces (previously 75 Spaces). We also now operate one of the University of Lincoln car parks at weekends.			
Allotments	AM 8 - Percentage occupancy of allotment plots	%	5	Quarterly	High is good	Seasonal	82.87%	82.50%	80.10%	84.20%	85.70%	Maintaining	As at the end of September 2018, 893 plots of a total 1101 plots were let, equating to 81.1%. Of the 1042 lettable plots, 893 occupied plots equates to 85.7%.			
Public Protection and Anti-Social Behaviour Team	AB 4 - Number of service requests for Public Protection and ASB	Number	200	Quarterly	Low is good	Seasonal	818	612	587	817	904	Maintaining	This is up on quarter 2 2017 however is still lower than seen historically over this period. The team have done proactive promotional work over the two weeks of fresher's which may have lowered service requests slightly.			
Public Protection and Anti-Social Behaviour Team	AB 5 - Satisfaction of complainants relating to how the complaint was handled	%	5	Cumulative	High is good	Quarterly	68.00%	89.00%	87.00%	80.00%	80.30%	Maintaining	How many surveys attempted July - 70, August - 68, September - not yet reported How many people refused to answer July -6, august - 11, September - not yet reported How many people didn't answer the phone* July - 38, august 41, September - not yet known * Those that didn't answer the phone, we would follow this up with a postal survey	85%	87.50%	Below Target
Food and Health & Safety Enforcement	FHS 4 - Percentage of premises fully or broadly compliant with Food Health & Safety inspection	%	3	Quarterly	High is good	Quarterly	97.8%	98.1%	98.0%	98.7%	96.8%	Maintaining	Total of 1038 businesses. 33 non-compliant of which 18 are new businesses awaiting initial assessment.	95%	97%	On Target
Food and Health & Safety Enforcement	FHS 5 - Average time from actual date of inspection to achieving compliance	Days	2.00	Quarterly	Low is good	Quarterly	9.90	13.25	10.40	9.50	8.30	Maintaining				
Food and Health & Safety Enforcement	FHS 6 - Percentage of official controls that should have been completed and have been in that time period (cumulative data)	%	4	Quarterly	High is good	Quarterly	81.10%	84.50%	94.00%	90.00%	81.60%	Deteriorating	There have been a reduction in staff resources during this quarter and this has impacted on the number of inspections that have been achieved alongside a number of time hungry complex cases. The team will be reduced by a 1FTE EHO from the 30 November and the potential time to recruit into this post will impact this measure further. There are 94 inspections outstanding. There are no high risk red inspections overdue, however there are 7 amber inspections overdue of which 5 are evening economy visits, 18 are new businesses and the remainder (69) are green.	90%	97%	Below Target

Service Area	Measure	Unit	Tolerance	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Q2/18/19	Status	Q2/18/19 (Row Comment)	Under Performing	Target	Last Target Status
Development Management (Planning)	DM 11 - End to end time to determine a planning application (Days)	Days	5	Quarterly	Low is good	Quarterly	54.32	58.04	67.34	57.44	56.25	Maintaining	High performance maintained for a second consecutive quarter, but this is likely to increase due to the recent changes to the National Planning Policy Framework.			
Development Management (Planning)	DM 13 - Number of live planning applications open	Number	20	Quarterly	Low is good	Quarterly	120	97	126	121	117	Maintaining	The number of live applications has remained consistent despite receiving more applications overall in the quarter and this is due to the decrease in end to end times.			
Development Management (Planning)	DM 16 - Percentage of applications approved	%	5	Quarterly	High is good	Quarterly	95%	95%	96%	93%	93%	Maintaining	This figure remains consistently high and remains a reflection of officer's approach to negotiating a positive outcome wherever possible.	85%	97%	On Target
Development Management (Planning)	DM 20 - Number of planning appeals allowed	Number	5	Quarterly	Low is good	Quarterly	2	1	0	0	2	Maintaining	5 appeals decided of which two were allowed and three dismissed			
Development Management (Planning)	DM 21 - Percentage of Non-Major Planning Applications determined within the government target (70% in 8 weeks) measured on a 2 year rolling basis		10	Quarterly	High is good	Quarterly	94.30%	95.00%	95.00%	94.67%	95.05%	Maintaining	This figure remains high due to our work management and prioritisation, but could drop in the coming months due to the new requirements of the National Planning Policy Framework where we have to seek agreement with the applicants of all pre-commencement conditions prior to determination.	70.00%	90.00%	Above Target
Development Management (Planning)	DM 22 - Percentage of Major Planning Applications determined within the government target (60% in 13 weeks) measured on a 2 year rolling basis		5	Quarterly	High is good	Quarterly	98.18%	98.28%	100.00%	100.00%	98.04%	Maintaining	This remains high due to our prioritisation of major applications, and our negotiation of time extensions when needed.	60.00%	90.00%	Above Target
60 Development Management (Planning)	DM 8 - Number of applications in the quarter	Number	40	Quarterly	High is good	Quarterly	246	264	234	247	229	Maintaining	This number is still relatively high and reflects the confidence in the City. As has been demonstrated in previous quarters, this workload is still manageable within the team without causing any significant performance issues. This could increase due to changes to the National Planning Policy Framework.			
Affordable Housing	AH 4 - Cumulative number of affordable homes delivered to date this year	Number	5	Cumulative	High is good	Quarterly			21	0	41	Maintaining	A number of council site developments have helped deliver 41 affordable homes in Lincoln in Q2, such as the old Ermine School site, Moorland School site and the privately developed LN6 Phase 2.	40	50	On target

APPENDIX A - DCE Annual Measures – Q2 2018/2019

Service Area	Measure	Unit	Tolerance	High / Low is Good	2016/2017	2017/2018	2018/2019	RAG Status	2018/2019 (Row Comment)	Under Performing	Target	Last Target Status
Affordable Housing	AH 8 - The number of eligible sites where the full Affordable Housing requirement was negotiated at or above the current target	Number	5	High is good			2	Not Set	There are some inconsistencies in how this measure is derived, which need to be assessed to improve its quality and understand more fully what it is actually measuring. We will therefore work on a more informative measure over the next quarter.			
Street Cleansing	SC 8 - % satisfaction that public land and public highways are kept clear of litter and refuse	%	5	High is good	82.76%	74.76%	66.89%	Maintaining				
Sport & Leisure	SP10 - The standard of service provided by Yarborough Leisure Centre (as per citizens panel)	%	5	High is good	95.59%	84.91%	80.21%	Maintaining				
Sport & Leisure	SP11 - The standard of service provided by Birchwood Leisure Centre (as per citizens panel)	%	5	High is good	95.35%	78.85%	87.71%	Improving	Taken from the July 2018 panel data			

APPENDIX A - DHR Quarterly Measures – Q2 2018/2019

Service Area	Measure	Unit	Tolerance	Cumulative or Quarterly	High / Low is Good	Trend - Quarterly or Seasonal	Q2/17/18	Q3/17/18	Q4/17/18	Q1/18/19	Q2/18/19	Status	Commentary	Under Performing	Target	Last Target Status
Housing Investment	HI 4 - Percentage of council properties that are not at the 'Decent Homes' standard (excluding refusals)	%	2	Cumulative	Low is good	Quarterly	0.00%	0.00%	0.00%	0.94%	0.48%	Maintaining				
Housing Investment	HI 6 - Number of properties 'not decent' as a result of tenants refusal to allow work (excluding referrals)	Number	30	Quarterly	Low is good	Quarterly	4	4	4	174	192	Maintaining	At the start of each financial year a number of properties become non decent as a result of the ageing of key components used to calculate 'Disrepair' and 'Reasonably modern facilities' failures. Therefore this quarter's increase is not due to the team's performance but down to the influx of properties that have been identified as needing repairs, but where the team are facing refusals or lack of contact to be able to complete the survey			
Housing Investment	HI 7 - Percentage of dwellings with a valid gas safety certificate	%	2	Cumulative	High is good	Quarterly	99.95%	99.95%	99.96%	99.85%	99.93%	Maintaining				
Control Centre	CC 5 - Percentage of calls answered within 60 seconds	%	1	Quarterly	High is good	Quarterly	98.37%	98.36%	98.25%	99.09%	99.16%	Maintaining				
Rent Collection	RC 3 - Rent collected as a proportion of rent owed	%	5	Cumulative	High is good	Quarterly	98.21%	99.27%	99.68%	97.56%	98.19%	Maintaining	At the halfway stage of the financial year, we have collected £13,901,594 in rent.	94.00%	96.50%	Above Target
Rent Collection	RC 4 - Current tenant arrears as a percentage of the annual rent debit	%	1	Cumulative	Low is good	Quarterly	2.59%	2.22%	2.11%	2.72%	2.95%	Maintaining	Arrears currently stand at £802,050, which equates to 2.95%. Since January, our arrears have increased by over £135,000. A major factor of this increase is the rollout of full service Universal Credit which has played a significant role in our arrears and rent collection and this will continue further moving forward. To date, we have over 800 UC cases that we are aware of and the associated arrears from these cases equates to around 35% of our total arrears.	5.40%	3.50%	Above Target
Housing Solutions	HS 3 - The number of people currently on the housing waiting list	Number	100	Cumulative	Low is good	Quarterly	1,681	1,653	1,693	1,692	1,663	Maintaining				
Housing Solutions	HS 4 - The number of Homelessness applications progressed within the Housing team	Number	10	Cumulative	Low is good	Seasonal	127	183	279	167	368	Deteriorating	At the end of quarter 2 the number of homeless applications received was 368, however this includes everything from triage, advice, under prevention, under relief, successfully prevented and successfully relieved. The figure is this high as this is a rolling figure and records the stage of the application at that time. It is also high because of the changes to the Homelessness Reduction Act in which we now have to open a homeless application/case for anyone who is eligible. We have successfully prevented 95 homeless cases and successfully relieved 63 since April 2018.			
Housing Voids	HV 7 - Percentage of rent lost through dwelling being vacant	%	0.05	Cumulative	Low is good	Quarterly	1.06%		0.97%	0.72%	0.70%	Maintaining				
Housing Voids	HV 9 - Average re-let time calendar days for all dwellings (including major works)	Days	5	Cumulative	Low is good	Monthly	30.00	27.16	26.77	26.42	26.47	Maintaining		28	25	On Target
Housing Maintenance	HM 3 - Percentage of reactive repairs completed within target time	%	2.00	Cumulative	High is good	Quarterly	96.52%	96.98%	97.49%	98.00%	99.36%	Maintaining	Performance in this area is the strongest it's been for many years. With the new repair task codes implemented along with making sure we are identifying the repair correctly at the first point of contact it allows us to complete the repair in an efficient timeframe	95.00%	97.50%	Above Target
Housing Maintenance	HM 4 - Percentage of repairs fixed first time	%	5	Cumulative	High is good	Quarterly	88.01%	88.91%	90.21%	93.38%	93.60%	Maintaining				
Housing Maintenance	HM 5 - Appointments kept as a percentage of appointments made	%	5	Cumulative	High is good	Quarterly	96.25%	95.71%	95.85%	96.56%	96.66%	Maintaining				

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**EXECUTIVE**

**26 NOVEMBER 2018**

**SUBJECT: STRATEGIC RISK REGISTER - QUARTERLY REVIEW**

**REPORT BY: CHIEF EXECUTIVE AND TOWN CLERK**

**LEAD OFFICER: JACLYN GIBSON, CHIEF FINANCE OFFICER**

**1. Purpose of Report**

1.1 To provide Executive with a status report of the revised Strategic Risk Register as at the end of the second quarter 2018-19.

**2. Executive Summary**

2.1 An update of the Strategic Risk Register, developed under the risk management approach of 'risk appetite', was last presented to Executive in August 2018 and contained seven strategic risks.

2.2 Since reporting to Executive in August 2018, the Strategic Risk Register has been reviewed and updated by the relevant Assistant Directors. This review has identified that there have been some positive movement in the Risk Register. There has also been an additional risk added No. 8 Decline in the economic prosperity within the City Centre.

2.3 The updated Register is attached at Appendix A, this contains eight strategic risks.

**3. Movements in the Strategic Risk Register**

3.1 A number of further control actions have now been progressed or completed and the key movements are outlined as follows:

Risk No. 3 Failure to deliver the Towards Financial Sustainability Programme whilst ensuring the resilience of the Council. Continued monitoring of the Phase 5 Programme with development of phase 6 proposals now in progress. The development of a high level commercial strategy will be drafted alongside the development of an investment strategy for property acquisition scheduled for completion December 2018. Linkages to Organisational Development and Leadership Development to be explored in March 2019.

Risk No 4. Failure to ensure compliance with statutory duties/functions and appropriate governance arrangement's in place. IT disaster recovery plan is drafted. An internal audit has been completed, actions have been allocated and now being refined by Business Continuity Planning Group.

Risk No. 6 Unable to meet the emerging changes required in the Council’s culture, behaviour and skills to support the delivery of the Council’s Vision 2020 and the transformation journey to “One Council” approach. Further work to review People Strategy in line with “One Council” at CMT scheduled for October 2018. Completion of staff Global Challenge with award event to take place in November 2018 with Leader and CX to highlight successes such as improvement of physical, social and mental wellbeing.

A new risk has been added to the Strategic Risk Register at Risk No 8. Decline in the economic prosperity within the City Centre. Whilst work is ongoing in supporting businesses in ensuring Lincoln is a thriving city an intervention team to support rough sleeping/homelessness/street begging has been set up. The team is a joined up approach, with officers from City of Lincoln Council, Lincolnshire Police, LPFT, Lincoln BIG and Addaction using a mix of outreach support, treatment and potentially legal enforcement. A media launch is scheduled for mid October 2018.

- 3.2 The above movement in control actions has resulted in changes to the assessed levels of likelihood and impact of risks identified on risk no. 1

Control actions continue to be implemented and risks managed accordingly:

<b>Risk No.</b>	<b>Risk Rating</b>	<b>Likelihood</b>	<b>Impact</b>
2	Red/High	Probable	Critical
5	Amber/Medium	Possible	Critical
6 & 7	Amber/Medium	Probable	Major
1, 3, 4 & 8	Amber/Medium	Possible	Major

- 3.3 A revised Strategic Risk Register is attached at Appendix A.

#### **4. Strategic Priorities**

- 4.1 Sound risk management is one way in which the Council ensures that it discharges its functions in accordance with its expressed priorities, as set out in the Vision 2020, and that it does so in accordance with statutory requirements.

#### **5. Organisational Impacts**

- 5.1 Finance – There are no direct financial implications arising as a result of this report. The Council’s Strategic Risk Register contains two specific risks in relation to the Medium Term Financial Strategy and the Towards Financial Sustainability Programme.
- 5.2 Legal Implications including Procurement Rules – The Council is required under the Accounts and Audit Regulations 2011 to have a sound system of Internal Control which facilitates the effective exercise of the Council’s functions and which includes arrangements for the management of risk. The maintenance of a Strategic Risk Register and the control actions which the Council undertakes are part of the way in which the Council fulfils this duty.



**6. Risk Implications**

6.1 The Strategic Risk Register contains the key strategic risks to the delivery of the Council’s medium and longer term priorities. A failure to monitor the action that is being taken to manage these risks would undermine the Council’s governance arrangements.

**7. Recommendations**

7.1 Executive are asked to note and comment on the Strategic Risk Register as at the end of the second quarter 18-19.

[  
**Key Decision** No

**Do the Exempt Information Categories Apply?** No

**Call in and Urgency: Is the decision one to which Rule 15 of the Scrutiny Procedure Rules apply?** No

**How many appendices does the report contain?** Strategic Risk Register – Appendix A

**List of Background Papers:** N/A

**Lead Officer:** Jaclyn Gibson  
Chief Finance Officer

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# Strategic Risk Register Template

<b>Likelihood</b>	4 Almost Certain				
	3 Probable			6. 7.	2.
	2 Possible			1. 3. 4. 8.	5.
	1 Hardly Ever				
		1 Negligible	2 Minor	3 Major	4 Critical
	<b>Impact</b>				

**RISK REGISTER:**

**REVIEWED:**  
 CMT 07/11/17  
 Risk owners 06.02.18 CMT 08/02/18  
 Risk owners 25.04.18  
 CMT 08.05.18  
 Reviewed 06.09.18  
 Reviewed 08.10.19  
 CMT 13.11.18

Tool 1. Risk Appetites - <U:\Current RISK Management\Toolkit - JULY 2018\Tool No 1 Risk appetites.pdf>

*Those "green" risks that have been on the risk register for 6 months or more can now be classed as "business as usual" risk and therefore be removed*

The matrix below, helps you define where the risk is by scoring it on a basis of 'Likelihood' and 'Impact':

67

<b>Likelihood</b>	<b>4 Almost certain</b>	Retain	Transfer Modify Retain	Avoid Transfer Modify	Avoid Transfer Modify	<b>Description of occurrence</b>
	<b>3 Probable</b>	Retain	Prioritise for Modifying Retain	Transfer Modify Retain	Avoid Transfer Modify	
	<b>2 Possible</b>	Retain	Prioritise for Modifying Retain	Prioritise for Modifying Retain	Transfer Modify Retain	
	<b>1 Hardly ever</b>	Retain	Retain	Retain	Prioritise for Modifying Retain	
		<b>1 Negligible</b>	<b>2 Minor</b>	<b>3 Major</b>	<b>4 Critical</b>	

Impact	Service Delivery	Delay	Finance	Reputation	People
Critical	Very significant	>1month	>£1m	National media story	Loss of life
Major	Significant	1week - 1month	£500k - £1m.	Local media story	Serious Injuries
Minor	Major	1day - 1week	£100k - £500k	Limited Local publicity	Minor injuries
Negligible	Minor	<1day	<£100k	Little/No publicity	-

Those "green" risks that have been on the risk register for 6 months or more can now be classed as "business as usual" risk and therefore be removed from the register

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status  (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
1.	Failure to engage & influence effectively the Council's strategic partners, council staff and all stakeholders to deliver against e.g. Council's Vision 2020.	CX	<b><u>Creative &amp; Aware</u></b>  Projects & Major Change  Partnerships	<ul style="list-style-type: none"> <li>• New Vision 2020 including 4 new strategic priorities launched internally</li> <li>• Vision developed following extensive consultation with, businesses, partners and community groups.</li> <li>• Strong focus internally on 4 very clear strategic priorities within the Vision 2020</li> <li>• Resources in MTFS directed towards strategic projects</li> <li>• Dedicated officer support to ensure delivery of the 3-year programme, 'keeping the Vision alive'.</li> <li>• Communications plan and stakeholder mapping done</li> <li>• Review of internal delivery groups to ensure focus on delivery of projects</li> <li>• All Vision 2020 related internal comms now being clearly flagged as being Vision 2020 projects</li> <li>• Comms log' now being kept, to keep abreast of all Vision 2020 comms activity – both internal and external</li> <li>• External launch of Vision including engagement with the GLLEP, Chamber of Commerce etc. –Feb 2017</li> <li>• Promotion of the Vision</li> <li>• Continuation of partner</li> </ul>	<ul style="list-style-type: none"> <li>• High Performing Services monitoring arrangements in place</li> <li>• Follow up session with key partners to be arranged following COL Vision 2020 Conferences Q2</li> <li>• Revision of internal and external communication methods to be undertaken– Ongoing</li> </ul>			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status  (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<p>meetings and 3rd sector - ongoing through hoarding displays</p> <ul style="list-style-type: none"> <li>• “‘Engine Room’ launched June 2017</li> <li>• Annual Report with a focus on achievements towards Vision 2020 – to be sent to stakeholders by CX/Leader – Nov 2017</li> <li>• Vision 2020 staff roadshows undertaken in January 2018.</li> <li>• Sponsorship of Lincolnshire Construction and Property Awards in February 2018</li> <li>• Successful COL Vision 2020 Conference held in March 2018.</li> <li>• Alignment of Vision 2020 with Portfolios – May 2018</li> </ul>					
2.	Failure to deliver a sustainable Medium term Financial Strategy (that supports delivery of Vision 2020 (Council plan))	CFO	<p><b><u>Creative &amp; Aware/ Opportunistic</u></b></p> <p>†</p> <p>Finance &amp; Money</p>	<ul style="list-style-type: none"> <li>• MTFS 2018-23 approved in March 2018, continues to support Vision 2020.</li> <li>• Good financial management with <ul style="list-style-type: none"> <li>○ Quarterly monitoring and reporting to CMT, Exec and Performance Scrutiny Committee (including specific risks)</li> <li>○ SPIT monitoring of capital programme</li> <li>○ Savings targets monitored through Towards Financial Sustainability (Risk No 4)</li> <li>○ Key income budgets monitored monthly</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Link to TOFS Programme, risk no 3 below.</li> <li>• Continued assessment of future funding reforms, including The Fair Funding Review, reset of business rates baselines and 75% retention of business rates – Ongoing – <ul style="list-style-type: none"> <li>• <b>Review of earmarked reserves to release one-off resources – Oct 18</b></li> <li>• <b>Implementation of action plans developed in response to Q1 forecast overspend – ongoing</b></li> <li>• <b>Preparation of draft MTFS 2019-24 based</b></li> </ul> </li> </ul>		Substantial	Static	

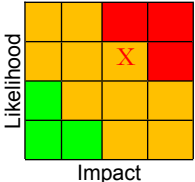
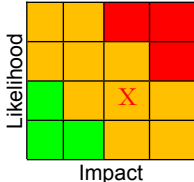
Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<p>by CMT with mitigation plans for areas of target monitored quarterly.</p> <ul style="list-style-type: none"> <li>100% Business Rates Pilot in place for 2018/19 with all Lincolnshire Districts together with the County and North Lincolnshire Council..</li> <li>Mitigation action plan developed in response to forecast overspend reported at Q1, specifically car parking</li> <li>Budget Strategy including review of assumptions and budget pressures to be prepared – Sept 18 BR Pilot Bid for 2019/20 submitted Sept 18</li> </ul>	<p>on revised assumptions – Dec 18</p>				
3.	Failure to deliver the Towards Financial Sustainability Programme whilst ensuring the resilience of the Council	CFO	<p><b>Opportunist</b></p> <p>Projects &amp; Major Change</p> <p><b>Hungry</b></p> <p>Reputation and Public Confidence</p>	<ul style="list-style-type: none"> <li>TFS Board and Programme Team in place.</li> <li>Established procedures and monitoring arrangements</li> <li>Reporting of achievement against targets included within quarterly financial monitoring/performance monitoring reports to Executive/Performance Scrutiny Committee</li> <li>Inclusion of ToFS Projects on DMT agendas to ensure focus remains on delivering against timescales.</li> <li>Annual reporting of progress and forward programme PSC</li> <li>Programme of reviews</li> </ul>	<ul style="list-style-type: none"> <li>Monitor delivery of Phase 5 Programme through established arrangements – ongoing</li> <li>Development of phase 6 proposals in progress – Dec 18</li> <li>Development of a high level commercial strategy. – Mar 19</li> <li>Development of an investment strategy for property acquisition – Dec 18</li> <li>Linkages to Organisational Development and Leadership Development to be explored – Mar 19</li> </ul>			Substantial	Declining

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status  (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<p>in place and monitored monthly through Board and Team.</p> <ul style="list-style-type: none"> <li>• Target of £3.5m for 2017/18 overachieved.</li> <li>• Savings targets increased as part of MTFS 2018-23.</li> <li>• Delivery of Phase 5 (designed to overachieve targets in MTFS) commenced in November 2017.</li> </ul>					
4..	Failure to ensure compliance with statutory duties / functions and appropriate governance arrangements are in place,	CLT	<b>Cautious</b>  Regulatory standing & legal compliance	<ul style="list-style-type: none"> <li>• Annual Governance Statement reviewed on an annual basis with plan/milestones developed for all significant issues, delivery of which is monitored quarterly through the Assistant Directors Team/Audit Committee</li> <li>• Internal audit reviews undertaken as part of annual audit plan</li> <li>• Health and Safety Development Plan/Work Programme in progress (includes the development of specific action plans e.g Asbestos)</li> <li>• Corporate Groups in place which monitor work programmes/ actions for H&amp;S, e.g, Safety Matters Review Group/Champions</li> <li>• Information Asset Register created and updated Retention schedules.</li> <li>• Continued progression of GDPR Action Plan and Training Needs</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Waiting outcome of HSE inspection – expected Q3</b></li> <li>• <b>All Information Management Polices reviewed, updated and approved May 18. To be rolled out to staff Sept 18.</b></li> <li>• <b>GDPR guidance provided to all Members May 18 and training for new members. All members to receive training 11.10.18.</b></li> </ul>			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status  (Full, Substantial, Limited, No)	Assurance – Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				Plan <ul style="list-style-type: none"> <li>ITDR plan endorsed and now needs testing which is to be scheduled in new financial year. Internal Audit completed with actions referred to BCP Group for consideration</li> </ul>					
5.	Failure to protect the local authority's vision 2020 due to changing structures in local government and impact on size, scale and scope of the Council	CX	<b>Opportunist</b>	<ul style="list-style-type: none"> <li>Information gathering and a watching brief on national and local developments</li> <li>Formation of RLG Group (Reshaping Local Government) has been formed and meets regularly to review local and national developments, which continue to be monitored regularly. This includes the proposed business rate retention consultation, and any proposals for fairer funding arrangements.</li> </ul>	<ul style="list-style-type: none"> <li>Information gathering and a watching brief on national and local developments – ongoing.</li> <li>Reviewing a range of policies, statistics and potential scenarios and keeping a watching brief nationally</li> </ul>			<b>Substantial</b>	<b>Static</b>
6.	Unable to meet the emerging changes required in the Council's culture, behavior and skills to support the delivery of the council's Vision 2020 and the transformational journey to one Council approach	CS	<b>Opportunist</b>	<ul style="list-style-type: none"> <li>Leadership development delivered to CMT, Assistant Directors and Service Managers</li> <li>Lead roles within HR developed for Health and Wellbeing and Performance.</li> <li>New People Strategy and action plan developed, approved March 2017</li> <li>New appraisal system implemented – June 2017</li> <li>Coaching Programme for CMT, Assistant Directors and Service Managers to be delivered – started August 2017</li> <li>Volunteering programme rolled out to support people strategy enhance staff wellbeing and corporate social responsibility– CLT in</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of People Strategy action plan – <b>annual review.</b></li> <li>Staff Recognition scheme in progress to be agreed and rolled out Q3</li> <li>CMT to evaluate Coaching programme – Q3 with a view to rolling out further to Team Leader level</li> <li>CMT workshop to review People Strategy – October 2018</li> <li>Global challenge award event to be held end of October</li> </ul>			<b>Substantial</b>	<b>Static</b>



Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status  (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<ul style="list-style-type: none"> <li>Nov-Dec 2017</li> <li>Registration of Virgin Corporate Global Challenge for staff – May 2018</li> <li>Sickness Clinics to be progressed in areas of concern– June 2018</li> </ul>					
7.	Insufficient levels of resilience and capacity exist in order to deliver key strategic projects & services within the Council	CX	<p><b><u>Creative &amp; Aware / Opportunist</u></b></p> <p>Projects &amp; Major Change</p>	<ul style="list-style-type: none"> <li>BCP Plans in place for critical services</li> <li>New Vision 2020 launched, with associated 3 year programme, forming basis of service plans and priorities</li> <li>Strategic Projects reported on a quarterly basis to CMT/Exec/PSC</li> <li>Programme Boards established for key strategic projects.</li> <li>MTFS 2018-23 allocates resources in line with Vision 2020.</li> <li>Lincoln Project Management model in place including allocation of Project Managers, Sponsors, appropriate project management records and Identification of critical tasks within specific project plans</li> <li>Regular reporting of other all Strategic Plan schemes</li> <li>Development of skills and abilities of key leaders and staff through Leadership Development Programme</li> <li>Appointments have been made and Officers are in post for the two vacant Assistant Directors in Housing &amp; Regeneration</li> <li>Interim Assistant Director – Strategic Development is in post.</li> <li>Priority setting for Phase 2 projects, 2018/19 – 2019/20 commenced</li> </ul>	<ul style="list-style-type: none"> <li>Recruitment to AD – Strategic Development /AD – Regeneration – Early 2019</li> </ul>			Substantial	Static

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status  (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
				<ul style="list-style-type: none"> <li>through CMT and Portfolio Holders</li> <li>• Vision 2020 Phase 2 projects agreed and work allocations within Directorates reviewed</li> <li>• Health and Wellbeing group being set up with staff to support People Strategy – Ongoing</li> <li>• Recruitment of vacant Director of Housing &amp; Investment – Sept 18</li> <li>• Management restructure approved by Executive</li> </ul>					
8.	Decline in the economic prosperity within the City Centre	CLT	<b>Opportunist</b>	<ul style="list-style-type: none"> <li>• COLC representatives continue to sit on Bailgate Guild/Healthy High Streets/Chamber of Commerce etc</li> <li>• City Stakeholder Group set up with MP/Police and third sector organizations to review pathways into support – Sept 2017</li> <li>• City Centre Masterplan in place</li> <li>• Public Realm Strategy in place</li> <li>• Townscape Assessment has been undertaken</li> <li>• Range of partner developed strategies in place</li> <li>□</li> </ul>	<ul style="list-style-type: none"> <li>• New intervention team set up to support rough sleeping/homeless ness/street begging – October 2018</li> <li>• Research work in the city continues to understand the causes of the increases in rough sleeping and ASB.</li> <li>• Reviewing current arrangements with market – Q3</li> <li>• Review Place shaping strategy – commence Q2</li> <li>• Review Public Arts Strategy – January 2019</li> <li>• Rollout of Business Growth Policy – Q2</li> <li>• Development of a programme of activity/investment to support the vibrancy of the city centre – Q3</li> <li>• Newly set up High Street Task Force now in place – continue to scope and monitor actions required</li> <li>• Work on “evening economy” to commence</li> </ul>			Limited	N/A

Risk No:	Risk Description	Risk Owner	Risk Appetite	Controls/Actions		Current Risk Score	Target Risk Score at end of March 2019	Assurance - Status (Full, Substantial, Limited, No)	Assurance - Direction of Travel (Improving, Static, Declining)
				Current/Already in Place	Required Mitigation (inc timescales)				
					January 2019 <ul style="list-style-type: none"> <li>Review /engage with government on Future High St Fund / Business Rates Relief for small business following Autumn Statement</li> </ul>				

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## EXECUTIVE

26 NOVEMBER 2018

**SUBJECT:           TREASURY MANAGEMENT AND PRUDENTIAL CODE UPDATE  
REPORT – HALF YEAR ENDED 30<sup>TH</sup> SEPTEMBER 2018**

**REPORT BY:        CHIEF EXECUTIVE AND TOWN CLERK**

**LEAD OFFICER:    SARAH HARDY, GROUP ACCOUNTANT**

**1.     Purpose of Report**

- 1.1    This report covers the Council's treasury management activity and the actual prudential indicators for the period April 1<sup>st</sup> to September 30<sup>th</sup> 2018. This is in accordance with the requirements of the Prudential Code.

**2.     Executive Summary**

- 2.1    Treasury Management position and performance results for the 6 months ended 30<sup>th</sup> September 2018

**2.1.1   Investment portfolio**

The Council held £20.3 million of investments at 30<sup>th</sup> September 2018. The investment profile is shown in Appendix A.

Of this investment portfolio 100% was held in low risk specified investments, the requirement for the year being a minimum of 25% of the portfolio to be specified investments.

*Liquidity* – The Council seeks to maintain liquid short-term deposits of at least £5 million available with a week's notice. The weighted average life (WAL) of investments for the year was expected to be 0.45 years (164 days). At 30<sup>th</sup> September 2018 the Council held liquid short term deposits of £11.3 million and the WAL of the investment portfolio was 0.17 years (61 days). The decrease in the WAL of the investment portfolio is due to a larger proportion of the portfolio being placed in shorter term investments.

*Security* - The Council's maximum security risk benchmark for the portfolio as at 30<sup>th</sup> September 2018 was 0.009%, which equates to a potential loss of £0.001827m on an investment portfolio of £20.3m. This is slightly higher than budgeted maximum risk of 0.008% in the Treasury Management Strategy. It represents a very low risk investment portfolio.

*Yield* – The Council achieved an average return of 0.73% on its investment portfolio for the 6 months ended 30<sup>th</sup> September 2018. This compares favourably with the target 7 day average LIBID at 30<sup>th</sup> September of 0.59% and is higher than the budgeted yield of 0.52% for 2018/19 in the MTFs 2018-23.

### 2.1.2 External borrowing

At 30<sup>th</sup> September 2018 the Council held £81.104 million of external borrowing, of which 100% were fixed rate loans (Appendix A).

For the 6 months ended 30<sup>th</sup> September 2018, the Council achieved an average rate of 3.90% on its external borrowing. This is slightly lower than the budgeted rate set in the MTFs 2018-23; there has been no change to external borrowing during the first 6 months of the year however further borrowing is planned in the second half of the year to finance asset purchases.

## 3. Background

3.1 The prudential system for capital expenditure is now well established. One of the requirements of the Prudential Code is to ensure adequate monitoring of the capital expenditure plans, prudential indicators (PIs) and treasury management response to these plans. This report fulfils that requirement and includes a review of compliance with Treasury and Prudential Limits and the Prudential Indicators at 30<sup>th</sup> September 2018. The Treasury Management Strategy and Prudential Indicators were previously reported to and approved by Council on 27 February 2018.

3.2 This Council has adopted the CIPFA Code of Practice for Treasury Management in the Public Sector and operates its treasury management service in compliance with this Code and the above requirements. These require that the prime objective of treasury management activity is the effective management of risk, and that its borrowing activities are undertaken in a prudent, affordable and sustainable basis.

3.3 This report highlights the changes to the key prudential indicators, to enable an overview of the current status of the capital expenditure plans. It incorporates any new or revised schemes previously reported to Members. Changes required to the residual prudential indicators and other related treasury management issues are also included.

## 4. Prudential Indicators

4.1 This part of the report is structured to provide an update on:

- The Council's capital expenditure plans;
- How these plans are being financed;
- The impact of the changes in the capital expenditure plans on the prudential indicators and the underlying need to borrow; and
- Compliance with the limits in place for borrowing.

### 4.2 Capital Expenditure

The table below summarises the changes to the capital programme that have been approved by or subject to Executive approval since Council approved the original budget in February 2018.

Capital Expenditure	2018/19 Original Estimate £000	2018/19 Revised Estimate £000	2019/20 Original Estimate £000	2019/20 Revised Estimate £000	2020/21 Original Estimate £000	2020/21 Revised Estimate £000
General Fund	14,209	16,663	500	837	500	566
HRA	25,805	33,048	14,529	11,359	11,386	11,601
<b>Total</b>	<b>40,014</b>	<b>49,711</b>	<b>15,029</b>	<b>12,196</b>	<b>11,886</b>	<b>12,167</b>

#### 4.3 Financing of the Capital Programme

The table below draws together the main strategy elements of the capital expenditure plans (above) and the expected financing arrangements for this capital expenditure. The borrowing element of the table increases the underlying indebtedness of the Council in the Capital Financing Requirement (CFR), although this will be reduced in part by revenue charges for the repayment of debt.

Indicators 1 & 2	2018/19 Original Estimate £000	2018/19 Revised Estimate £000	2019/20 Original Estimate £000	2019/20 Revised Estimate £000	2020/21 Original Estimate £000	2020/21 Revised Estimate £000
<b>Capital Expenditure</b>						
<b>Total Spend</b>	<b>40,014</b>	<b>49,711</b>	<b>15,029</b>	<b>12,196</b>	<b>11,886</b>	<b>12,167</b>
<b>Financed by:</b>						
Capital receipts	6,912	12,206	3,969	1,720	900	900
Capital grants & contributions	670	1,568	300	300	300	300
Major Repairs Reserve (Depreciation)	16,631	21,835	10,710	9,640	10,486	10,701
Revenue	2,785	201	0	66	0	66
<b>Net borrowing need for the year</b>	<b>13,016</b>	<b>13,732</b>	<b>50</b>	<b>470</b>	<b>200</b>	<b>200</b>

The principal changes in the financing, from the original estimates approved in February 2018 are as a result of the re-profiling of expenditure.

#### 4.4 The Capital Financing Requirement and External Debt

The table below shows the Council's Capital Financing Requirement (CFR), which is the Council's underlying need to borrow for a capital purpose. It also shows the expected debt position over the period.

Indicators 3 & 4	2018/19 Original Estimate £000	2018/19 Revised Estimate £000	2019/20 Original Estimate £000	2019/20 Revised Estimate £000	2020/21 Original Estimate £000	2020/21 Revised Estimate £000
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
General Fund	65,464	63,730	64,536	62,605	62,537	60,553
HRA	58,503	58,503	58,503	58,503	58,503	58,503
Total CFR	123,967	122,233	123,039	121,108	121,040	119,056
<b>Net movement in CFR</b>	<b>12,137</b>	<b>12,753</b>	<b>(929)</b>	<b>(1,125)</b>	<b>(1,998)</b>	<b>(2,052)</b>

Indicator 5	2018/19 Original Estimate £000	2018/19 Revised Estimate £000	2019/20 Original Estimate £000	2019/20 Revised Estimate £000	2020/21 Original Estimate £000	2020/21 Revised Estimate £000
	£000	£000	£000	£000	£000	£000
Borrowing	100,103	95,354	100,103	95,500	99,247	94,645
Other long term liabilities *	342	342	105	105	(0)	0
<b>Total Debt 31 March</b>	<b>100,445</b>	<b>95,696</b>	<b>100,208</b>	<b>95,605</b>	<b>99,247</b>	<b>94,645</b>

\* Other long term liabilities includes Finance leases

The Council is currently under-borrowed against the CFR, as, whilst the Council has adequate cash balances, it is more advantageous to continue to employ internal resources until cash flow forecasts indicates the need for additional borrowing. PWLB borrowing rates are currently forecast to rise over the next year, but as investment rates are still very low, there is a cost of carry for external borrowing. It is anticipated that borrowing will need to be taken in 2018/19 (£18m) and in 2019/20 (£1m) - further borrowing will be dependent upon any additional capital programme requirements not anticipated at this point.

The HRA borrowing requirement has been considered independently from that of the General Fund and whilst, at some point it may be advantageous for the HRA to take advantage of low borrowing rates rather than employ internal balances this borrowing has been deferred as rates are forecast to remain low. Currently the 30 year HRA Business Plan does not currently anticipate borrowing however the government has recently lifted the HRA borrowing cap and any changes will be reflected in a revised 30 year business plan.

#### 4.5 Limits to Borrowing Activity

The first key control over the Council's borrowing activity is a prudential indicator to ensure that over the medium term, net borrowing will only be for a capital purpose. Net external borrowing should not, except in the short term, exceed the total of CFR in the preceding year plus the estimates of any additional CFR for 2019/20 and next two financial years. This allows some flexibility for limited early borrowing for future years. The Council has approved a policy for borrowing in advance of need, which will be adhered to if this proves prudent.

Indicator 6	2018/19 Original Estimate £000	2018/19 Revised Estimate £000	2019/20 Original Estimate £000	2019/20 Revised Estimate £000	2020/21 Original Estimate £000	2020/21 Revised Estimate £000
Gross Borrowing	100,103	95,354	100,103	95,500	99,248	94,645
Investments	14,600	14,600	21,000	21,000	19,000	19,000
<b>Net Borrowing</b>	<b>85,503</b>	<b>80,754</b>	<b>79,103</b>	<b>74,500</b>	<b>80,248</b>	<b>75,645</b>
CFR	<b>123,967</b>	<b>122,233</b>	<b>123,039</b>	<b>121,108</b>	<b>121,040</b>	<b>119,056</b>
<b>Net borrowing is below CFR</b>	<b>38,464</b>	<b>41,479</b>	<b>43,936</b>	<b>46,608</b>	<b>40,792</b>	<b>43,411</b>



The Chief Finance Officer reports that no difficulties are envisaged for the current or future years. This view takes into account current commitments, existing plans, and the proposals in this budget report.

A breakdown of the loans and investments profile is provided in Appendix A.

A further two prudential indicators control the overall level of borrowing. These are:

1. **The Authorised Limit** – This represents the limit beyond which borrowing is prohibited, and needs to be set and revised by members. It reflects the level of borrowing which, while not desired, could be afforded in the short term, but is not sustainable in the longer term. It is the expected maximum borrowing need with some headroom for unexpected movements. This is the statutory limit determined under section 3 (1) of the Local Government Act 2003.
2. **The Operational Boundary** – This indicator is based on the probable external debt during the course of the year; it is not a limit and actual borrowing could vary around this boundary for short times during the year. CIPFA anticipate that this should act as an indicator to ensure the authorised limit is not breached.

<b>Indicator 7</b>	<b>2018/19 Original Limit £000</b>	<b>2018/19 Revised Estimate £000</b>	<b>2019/20 Original Limit £000</b>	<b>2019/20 Revised Estimate £000</b>	<b>2020/21 Original Limit £000</b>	<b>2020/21 Revised Estimate £000</b>
<b>Authorised limit for external debt*</b>						
Borrowing	134,000	134,000	133,000	133,000	131,000	131,000
Other long term liabilities**	1,800	1,800	1,300	1,300	800	800
<b>Total Authorised limit</b>	<b>135,800</b>	<b>135,800</b>	<b>134,300</b>	<b>134,300</b>	<b>131,800</b>	<b>131,800</b>
<b>Indicator 8</b>	<b>2018/19 Original Limit £000</b>	<b>2018/19 Revised Estimate £000</b>	<b>2019/20 Original Limit £000</b>	<b>2019/20 Revised Estimate £000</b>	<b>2020/21 Original Limit £000</b>	<b>2020/21 Revised Estimate £000</b>
<b>Operational boundary for external debt*</b>						
Borrowing	126,400	126,400	125,900	125,900	124,300	124,300
Other long term liabilities**	1,600	1,600	1,100	1,100	700	700
<b>Total Operational Boundary</b>	<b>128,000</b>	<b>128,000</b>	<b>127,000</b>	<b>127,000</b>	<b>125,000</b>	<b>125,000</b>

\* The highest level of external debt during the first half of 2018/19 was £81.138m.

\*\* Other long term liabilities include Finance leases.

There have been revisions to the capital programme since the Medium Term Financial Strategy was set in February 2018 which have impacted on authority's capital financing requirement and as a result, to the figures calculated for the operational boundary for borrowing. The limits for the Operational Boundary allow for previous use of internal borrowing to be replaced by external borrowing should the Chief Finance Officer decide that it is appropriate and prudent to do so.

## Other Prudential Indicators

- 4.6 Appendix B details the updated position on the remaining prudential indicators and the local indicators.

## **5. Treasury Management Strategy 2018/19 to 2020/21 Update**

### **5.1 Economic Update**

The Council has appointed Link Asset Services as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates. **The following paragraphs and the table in paragraph 5.1.6 give *Link's* views on economic prospects and interest rates.**

- 5.1.1 **UK** - The first half of 2018/19 has seen UK **economic growth** post a modest performance, but sufficiently robust for the Monetary Policy Committee, (MPC), to unanimously (9-0) vote to increase **Bank Rate** on 2<sup>nd</sup> August from 0.5% to 0.75%. Although growth looks as if it will only be modest at around 1.5% in 2018, the Bank of England's August Quarterly Inflation Report forecast that growth will pick up to 1.8% in 2019, albeit there were several caveats – mainly related to whether or not the UK achieves an orderly withdrawal from the European Union in March 2019.

Some MPC members have expressed concerns about a build-up of **inflationary pressures**, particularly with the pound falling in value again against both the US dollar and the Euro. The Consumer Price Index (CPI) measure of inflation rose unexpectedly from 2.4% in June to 2.7% in August due to increases in volatile components, but is expected to fall back to the 2% inflation target over the next two years given a scenario of minimal increases in Bank Rate. The MPC has indicated Bank Rate would need to be in the region of 1.5% by March 2021 for inflation to stay on track. Financial markets are currently pricing in the next increase in Bank Rate for the second half of 2019.

As for the **labour market**, unemployment has continued at a 43 year low of 4% on the Independent Labour Organisation measure. A combination of job vacancies hitting an all-time high in July, together with negligible growth in total employment numbers, indicates that employers are now having major difficulties filling job vacancies with suitable staff. It was therefore unsurprising that wage inflation picked up to 2.9%, (3 month average regular pay, excluding bonuses) and to a one month figure in July of 3.1%. This meant that in real terms, (i.e. wage rates higher than CPI inflation), earnings grew by about 0.4%, near to the joint high of 0.5% since 2009. (The previous high point was in July 2015.) Given the UK economy is very much services sector driven, an increase in household spending power is likely to feed through into providing some support to the overall rate of economic growth in the coming months. This tends to confirm that the MPC were right to start on a cautious increase in Bank Rate in August as it views wage inflation in excess of 3% as increasing inflationary pressures within the UK economy. However, the MPC will need to tread cautiously before increasing Bank Rate again, especially given all the uncertainties around Brexit.

In the **political arena**, there is a risk that the current Conservative minority government may be unable to muster a majority in the Commons over Brexit. However, our central position is that Prime Minister May's government will endure,

despite various setbacks, along the route to Brexit in March 2019. If, however, the UK faces a general election in the next 12 months, this could result in a potential loosening of monetary policy and therefore medium to longer dated gilt yields could rise on the expectation of a weak pound and concerns around inflation picking up.

5.1.2 **USA** -President Trump’s massive easing of fiscal policy is fuelling a (temporary) boost in consumption which has generated an upturn in the rate of strong growth which rose from 2.2%, (annualised rate), in quarter 1 to 4.2% in quarter 2, but also an upturn in inflationary pressures. With inflation moving towards 3%, the Fed increased rates another 0.25% in September to between 2.00% and 2.25%, this being four increases in 2018, and indicated they expected to increase rates four more times by the end of 2019. The dilemma, however, is what to do when the temporary boost to consumption wanes, particularly as the recent imposition of tariffs on a number of countries’ exports to the US, (China in particular), could see a switch to US production of some of those goods, but at higher prices. Such a scenario would invariably make any easing of monetary policy harder for the Fed in the second half of 2019.

5.1.3 **Eurozone** - Growth was unchanged at 0.4% in quarter 2, but has undershot early forecasts for a stronger economic performance in 2018. In particular, data from Germany has been mixed and it could be negatively impacted by US tariffs on a significant part of manufacturing exports e.g. cars. For that reason, although growth is still expected to be in the region of 2% for 2018, the horizon is less clear than it seemed just a short while ago.

5.1.4 Current medium term interest rate forecasts (not anticipating an increase in BoE rates in November) are shown below:

Link Asset Services Interest Rate View											
	Sep-18	Dec-18	Mar-19	Jun-19	Sep-19	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21
Bank Rate View	0.75%	0.75%	0.75%	0.75%	1.00%	1.00%	1.00%	1.25%	1.25%	1.50%	1.50%
3 Month LIBID	0.75%	0.80%	0.80%	0.90%	1.10%	1.10%	1.20%	1.40%	1.50%	1.60%	1.60%
6 Month LIBID	0.85%	0.90%	0.90%	1.00%	1.20%	1.20%	1.30%	1.50%	1.60%	1.70%	1.70%
12 Month LIBID	1.00%	1.00%	1.00%	1.10%	1.30%	1.30%	1.40%	1.60%	1.70%	1.80%	1.80%
5yr PWLB Rate	2.00%	2.00%	2.10%	2.20%	2.20%	2.30%	2.30%	2.40%	2.50%	2.50%	2.60%
10yr PWLB Rate	2.40%	2.50%	2.50%	2.60%	2.70%	2.70%	2.80%	2.90%	2.90%	3.00%	3.10%
25yr PWLB Rate	2.80%	2.90%	3.00%	3.10%	3.10%	3.20%	3.30%	3.30%	3.40%	3.50%	3.50%
50yr PWLB Rate	2.60%	2.70%	2.80%	2.90%	2.90%	3.00%	3.10%	3.10%	3.20%	3.30%	3.30%

## 5.2 Borrowing activity

5.2.1 The uncertainty over future interest rates increases the risks associated with treasury activity. As a result the Council will take a cautious approach to its treasury strategy.

5.2.2 Long-term fixed interest rates are currently low but expected to rise over the three-year treasury management planning period. The Chief Finance Officer, under delegated powers, will take the most appropriate form of borrowing depending on the prevailing interest rates at the time, taking into account the risks shown in the

forecast above. The approved funding of the current capital programme does require borrowing to be taken during 2018/19 and 2019/20. In addition to this there has been internal borrowing (i.e. using cash balances), to fund previous years' capital expenditure, which may need to be replaced at some point in the future with external borrowing. The current key challenge is anticipating the optimum point at which any future borrowing should be taken. Any future borrowing will increase cash holding at a time when counterparty risk remains high and investment returns are low. In this scenario, borrowing is likely to be postponed until cash flow need is more apparent.

5.2.3 Opportunities for debt restructuring will be continually monitored. Action will be taken when the Chief Finance Officer feels it is most advantageous.

### 5.3 Investment Strategy 2018/19 to 2020/21

5.3.1 The objectives of the Council's investment strategy are the safeguarding of the repayment of the principal and interest of its investments on time first, and ensuring adequate liquidity second – the investment return being a third objective. Following on from the economic background above, the current investment climate is one of over-riding risk consideration i.e. that of counterparty security risk. As a result of these underlying concerns, officers continue to implement an operational investment strategy, which tightens the controls already in place in the approved investment strategy.

5.3.2 The Council held £20.3 million of investments at 30<sup>th</sup> September 2018 and the investment profile is shown in Appendix A.

### 5.4 Risk Benchmarking

The Investment Strategy for 2018/19 includes the following benchmarks for liquidity and security. Yield benchmarks are contained within section 6.

5.4.1 *Liquidity* – The Council has no formal overdraft facility and seeks to maintain liquid short-term deposits of at least £5 million available with a weeks notice.

The weighted average life (WAL) of investments for the year was expected to be 0.45 years (164 days). At 30<sup>th</sup> September 2018 the Council held liquid short term deposits of £11.3 million and the WAL of the investment portfolio was 0.17 years (61 days). The decrease in the WAL of the investment portfolio is due to investments being held in shorter term accounts to service internal borrowing requirements in a lower return environment.

The Chief Finance Officer can report that liquidity arrangements were adequate during the year to date

5.4.2 *Security* – The Council's maximum security risk benchmark for the portfolio as at 30<sup>th</sup> September 2018 was 0.009%, which equates to a potential loss of £0.001827m on an investment portfolio of £20.3m. This is slightly higher than the budgeted maximum risk of 0.008% in the Treasury Management Strategy. It represents a very low risk investment portfolio which carries a very much lower level of risk than Link's model portfolio and other local authorities within our benchmarking group.

The target set within the 2018/19 Strategy is that a minimum of 25% of the portfolio must be held in low risk specified investments. The Chief Finance Officer can report that the investment portfolio was maintained within this overall benchmark during the year to date. At 30<sup>th</sup> September 2018, 100% of the investment portfolio was held in low risk specified investments.

5.4.3 *Security* – The Council invests in Money Market Funds which allows easy access to funds for cashflow purposes whilst providing a small variable rate of interest. These have been C-NAV (Constant Net Asset Value) funds – this means that funds invested maintain a constant value. The Money Market Fund sector is in the final stages of converting these funds to LVNAV (Low Volatility Net Asset Value) pricing which does not guarantee a constant net asset value however, as the name suggests there is low levels of volatility in these funds. It is the view of the Council’s Treasury advisors that this change does not present high levels of risk to the security of the council’s funds and they will continue to represent a secure investment opportunity whilst allowing easy access to funds.

6. Yield Benchmarking

6.1 The Council participates in a benchmarking group run by our Treasury Management advisors (Link). To 30<sup>th</sup> September 2018 the benchmarking group achieved average yields of 0.78% on an average portfolio of investments of £30.078m compared to City of Lincoln’s yield of 0.73% on £20.3m of investments.

7. **Strategic Priorities**

7.1 Develop a fit for purpose Council –Through its Treasury Management Strategy the Council seeks to reduce the amount of interest it pays on its external borrowing and maximise the interest it achieves on its investments.

8. **Organisational Impacts**

8.1 Finance – The financial implications are covered in the main body of the report.

9. **Recommendations**

9.1 It is recommended that Executive note the Prudential and Local Indicators and the actual performance against the Treasury Management Strategy 2018/19 for the half-year ended 30<sup>th</sup> September 2018 and approve the change to the use of LVNAV Money Market Funds

**Is this a key decision?** Yes

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?** No

**How many appendices does the report contain?** 2

**List of Background  
Papers:**

Treasury Management Strategy 2018/19 (Approved by  
Council February 2018)

Lead Officer – Sarah Hardy, Group Accountant Tel. 01522 873839,  
e-mail [sarah.hardy@lincoln.gov.uk](mailto:sarah.hardy@lincoln.gov.uk)

**Borrowing Profile at 30<sup>th</sup> September 2018**

	<b>Long term borrowing</b>	
	<b>Fixed rate</b>	<b>Variable rate</b>
	<b>£ 000</b>	<b>£ 000</b>
<b>PWLB loans</b>	58,793	0
<b>Other Market loans</b>	16,000	0
<b>Local Authority loans</b>	5,750	
<b>3% stock</b>	561	0
<b>TOTAL</b>	<b>81,104</b>	<b>0</b>

**Investment Profile at 30<sup>th</sup> September 2018**

	<b>Total Principal invested</b>	<b>Short term</b>	
		<b>Fixed rate</b>	<b>Variable rate</b>
	<b>£ 000</b>	<b>£ 000</b>	<b>£ 000</b>
<b>UK Banks &amp; Building societies (including Call accounts)</b>	<b>9,000</b>	9,000	0
<b>UK Money Market Funds</b>	<b>11,300</b>	0	11,300
<b>TOTAL</b>	<b>20,300</b>	<b>9,000</b>	<b>11,300</b>

### Updated Position on the Remaining Prudential and Local Indicators

#### Affordability Prudential Indicators

Actual and estimates of the ratio of financing costs to net revenue stream – This indicator identifies the trend in the cost of capital (borrowing costs net of interest and investment income) against the net revenue stream.

Table 5. Ratio of Financing Costs to Net Revenue Stream

Indicators 9 & 10	2018/19 Original Estimate £000	2018/19 Revised Estimate £000	2019/20 Original Estimate £000	2019/20 Revised Estimate £000	2020/21 Original Estimate £000	2020/21 Revised Estimate £000
General Fund	13.3%	14.1%	20.1%	20.7%	21.8%	21.6%
HRA	44.1%	46.4%	43.1%	45.8%	42.5%	44.5%

The General Fund ratio has increased in 2018/19 and is expected to increase in 2019/20 and 2020/21 as a result of additional interest and MRP payments on the borrowing that is taken to finance the capital programme. The HRA ratios have increased in 2018/19 and are expected to improve slightly in future years due to anticipated reduced debt costs and the end of the four year period of a 1% annual reduction in rents.



## Treasury Management Prudential Indicators

The first treasury indicator requires the adoption of the CIPFA Code of practice on Treasury Management. This Council adopted the Revised Code of Practice on Treasury Management on 1st March 2011, and as a result adopted a Treasury Management Policy & Practices statement (1st March 2011).

There are four further indicators:

**Upper Limits On Variable Rate Exposure** – This indicator identifies a maximum limit for variable interest rates based upon the debt position net of investments.

**Upper Limits On Fixed Rate Exposure** – Similar to the previous indicator this covers a maximum limit on fixed interest rates.

These indicators are complemented by four local indicators:

- Limit on fixed interest rate investments
- Limit on fixed interest rate debt
- Limit on variable rate investments
- Limit on variable rate debt

During the first half of the year the highest and lowest exposure to fixed and variable rates were as follows:

Indicators 11 & 12	2018/19 Limit (Upper) £million	2018/19 Max Q1 & Q2 £million
<b>Upper limits on interest rate exposures</b>		
Upper limits on fixed interest rates	96.5	72.3
Upper limits on variable interest rates	40	30.9

	2018/19 Limit %	2018/19 Max Q1 & Q2 %
<b>Local indicator limits based on debt only</b>		
Limits on fixed interest rates	100%	100%
Limits on variable interest rates	40%	0%
<b>Local indicator limits based on investments only</b>		
Limits on fixed interest rates	100%	51%
Limits on variable interest rates	75%	73%

**Maturity Structures Of Borrowing** – These gross limits are set to reduce the Council's exposure to large fixed rate loans (those instruments which carry a fixed interest rate for the duration of the instrument) falling due for refinancing.

<b>Indicator 13</b>	2018/19 Original Estimate %	2018/19 Revised Estimate %	2019/20 Original Estimate %	2019/20 Revised Estimate %	2020/21 Original Estimate %	2020/21 Revised Estimate %
<b>Maturity Structure of fixed borrowing (Upper Limits)</b>						
Under 12 months	40%	40%	40%	40%	40%	40%
12 months to 2 years	40%	40%	40%	40%	40%	40%
2 years to 5 years	60%	60%	60%	60%	60%	60%
5 years to 10 years	80%	80%	80%	80%	80%	80%
10 years and above	100%	100%	100%	100%	100%	100%
<b>Maturity Structure of fixed borrowing (Lower Limits)</b>						
Under 12 months	0%	0%	0%	0%	0%	0%
12 months to 2 years	0%	0%	0%	0%	0%	0%
2 years to 5 years	0%	0%	0%	0%	0%	0%
5 years to 10 years	0%	0%	0%	0%	0%	0%
10 years and above*	10%	10%	10%	10%	10%	10%

As at 30<sup>th</sup> September 2018 the maturity structure of borrowing during the first half of the year was as follows:

<b>Indicator 13</b>	<b>2018/19 Half year Lower</b>	<b>2018/19 Half year Upper</b>
<b>Maturity Structure of fixed borrowing</b>	<b>%</b>	<b>%</b>
Under 12 months	5	5
12 months to 2 years	6	6
2 years to 5 years	6	6
5 years to 10 years	10	10
10 years and above	73	73

**Total Principal Funds Invested** – These limits are set to reduce the need for early sale of an investment, and are based on the availability of investments after each year-end.

Indicator 14	2018/19 Original Estimate £m	2018/19 Revised Estimate £m	2019/20 Original Estimate £m	2019/20 Revised Estimate £m	2020/21 Original Estimate £m	2020/21 Revised Estimate £m
<b>Maximum principal sums invested &gt; 1 year</b>	£5m	£0m	£5m	£0m	£5m	£0m

As at 30<sup>th</sup> September 2018, there were no principal funds invested over 1 year.

### Local Prudential Indicators

In addition to the statutory and local indicators listed above the Director of Resources has set four additional local indicators aimed to add value and assist in the understanding of the main indicators. These are:

#### 1. Debt – Borrowing rate achieved against average 7 day LIBOR

	2018/19 Target %	2018/19 Actual – 30 <sup>th</sup> September %	2019/20 Target %	2020/21 Target %
Debt – borrowing rate achieved (i.e. temporary borrowing of loans less than 1 year)	Less than 7 day LIBOR	No loans taken 7 day LIBOR rate 0.71%	Less than 7 day LIBOR	Less than 7 day LIBOR

#### 2. Investments – Investment rate achieved against the average 7 day LIBID

	2018/19 Target %	2018/19 Actual – 30 <sup>th</sup> September %	2019/20 Target %	2020/21 Target %
Interest rate achieved	Greater than 7 day LIBID	Achieved 0.73% compared to 0.59% LIBID (+0.14%)	Greater than 7 day LIBID	Greater than 7 day LIBID

The interest rate achieved on investments compares favourably to the 7 day LIBID due to the use of fixed term, fixed rate investments, plus the greater use of semi-fixed rate call accounts and money market funds which pay a premium over the LIBID rate.

#### 3. Average rate of interest paid on the Council's debt during the year (this will evaluate performance in managing the debt portfolio to release revenue savings)

	<b>2018/19 Target %</b>	<b>2018/19 Actual – 30<sup>th</sup> September %</b>	<b>2019/20 Target %</b>	<b>2020/21 Target %</b>
Average rate of interest on Council debt	Less than 4.25	3.90	Less than 4.25	Less than 4.25

4. The amount of interest on debt as a percentage of gross revenue expenditure. The results against this indicator will be reported at the year-end.

**SUBJECT: ANNUAL REPORT TO TENANTS AND LEASEHOLDERS  
2017/18**

**DIRECTORATE: DIRECTORATE OF HOUSING AND REGENERATION**

**REPORT AUTHOR: CHRIS MORTON, RESIDENT INVOLVEMENT MANAGER**

## **1. Purpose of Report**

- 1.1 This report sets out the details of the annual report to tenants and leaseholders 2017/18 as required by Homes England, the regulator for social housing in England.

## **2. Executive Summary**

- 2.1 There is a requirement by Homes England to produce and submit an annual report to tenants and leaseholders each year. The report for 2017/18 sets out performance from 1 April 2017 to 31 March 2018. It must be developed in consultation with tenants and in accordance with the guidance set out by Homes England. The draft report is shown in appendix one. Please note that as this is a draft document and might alter prior to publication.

## **3. Background**

- 3.1 The annual report must contain performance information relating to the council's landlord function.
- 3.2 This year's annual report has again been developed in consultation with tenant representatives through the Lincoln Tenants' Panel and the Editorial Panel.

## **4. Theme and Content of the Annual Report to Tenants and Leaseholders 2017/2018**

- 4.1 The main theme of the report is to show the successes achieved by housing and to report performance information for 2017/18. The performance includes rent arrears, satisfaction with repairs, repair appointments kept, percentage of ASB resolved and void turnaround times.
- 4.2 The secondary theme of the report is around celebrating the communities of Lincoln. For example there is an article about the Tower Action Group and a garden competition held on the estates.

## **5. Next Steps**

- 5.1 Further amendments will be made to the report to take into account any feedback. The report will be published on the council's website and delivered to all tenants.

## 6. Strategic Priorities

### 6.1 Let's deliver quality housing

The annual report when published will help to deliver the council's strategic priority of 'Let's deliver quality housing.' This is because the report provides performance information to tenants and allows them to see how well we have performed as their landlord. It then allows tenants to use the information to challenge us to improve and hold us to account. The report also celebrates areas where we have been successful and this will demonstrate how we deliver quality housing.

## 7. Organisational Impacts

### 7.1 Finance (including whole life costs where applicable)

There are no direct financial implications as a result of the report

### 7.2 Legal Implications including Procurement Rules

There are no legal implications as a result of the report.

### 7.3 Equality, Diversity & Human Rights

There are no direct equality, diversity or human rights implications as a direct result, however the report is designed with a minimum text of 11pt and copies can be supplied in alternative formats e.g. large print, different languages.

## 8. Risk Implications

### 8.1 (i) Key risks associated with the preferred approach

- Failure to deliver a good quality and honest annual report could lead to reduction in tenant satisfaction with services.

## 9. Recommendation

### 9.1 Members are asked to note the contents of the report and approve publication of the annual report to tenants.

<b>Is this a key decision?</b>	No
<b>Do the exempt information categories apply?</b>	No
<b>Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?</b>	No
<b>How many appendices does the report contain?</b>	One

**List of Background Papers:**

None

**Lead Officer:**

Chris Morton, Resident Involvement Manager  
Telephone (01522) 873398.

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# HOME!

**CITY OF LINCOLN COUNCIL  
FOR TENANTS AND LEASEHOLDERS**



**ANNUAL REPORT 2017/18**



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- Further Reading

### RESIDENT INVOLVEMENT CHECK:



The Annual Report was created in partnership with our editorial panel made up of tenants and our production team.



Like us on Facebook:  
**City of Lincoln Council – Housing**

# WELCOME TO THE 2017/18 ANNUAL REPORT

Last year we launched Vision 2020 that sets out our priorities for City of Lincoln Council and the city. One of these is 'Let's deliver quality housing' and this report will show you how we have been achieving this.

We have made good progress in a number of areas of housing and in particular have been working hard to address the lack of affordable housing in the city, as this is a key issue for residents.

Vision 2020 states that we will deliver and facilitate at least 400 council enabled new homes by 2020. Supporting the Local Plan, these will be built across the city by both the council and other housing providers and will be built to various sizes, types and tenures to meet housing need. In 2017/18 we made a start on the programme and completed the building of 12 properties at Blankney Crescent.

Over the next year we plan to build 172 properties at several locations around the city.

The report includes information about how well we have performed as your landlord from 1 April 2017 to 31 March 2018. Members of Lincoln Tenants' Panel have interviewed managers to find out how their service has performed and how they plan to improve their service in the future.

However, it's not just about what we have achieved as a council, which is why we have included articles about some of the fantastic communities we have in the city. Their hard work and dedication help to make Lincoln a better place for everyone to live.

In conclusion a big thank you goes to Councillor Peter West who was the Portfolio Holder of Housing during the period covered by the report and has now stepped down after many years of involvement with housing in the city.

*Cllr. Donald Nannestad,  
Portfolio Holder for Housing*

# LTP

IT HAS BEEN ANOTHER BUSY YEAR FOR LINCOLN TENANTS' PANEL (LTP) AND WE HAVE ONCE AGAIN WORKED HARD TO ENSURE YOUR VIEWS ARE REPRESENTED AT THE COUNCIL. OVER THE LAST YEAR THE PANEL HAS:

- Helped the council to achieve accreditation for its anti-social behaviour service
- Monitored performance on areas including, rent, repairs and customer services
- Discussed all housing related Executive Committee reports and informed the decision making process
- Attended Housing Scrutiny Committee meetings to ensure tenants' views were considered
- Carried out activities to recruit more tenants and to publicise the work of the panel.

The year ahead is going to be an important one because of the Housing Green Paper that was recently launched by the government. It contains proposals on a number of areas that will affect residents and LTP will make sure your voices are heard at the heart of government.

At a local level we will continue to review all housing policy changes put forward by the council to ensure these are right for residents. We also plan to keep holding service areas to account where performance has been falling short of target during 17/18.

One area of focus will be the council's performance around dealing with anti-social behaviour, as we know this is a priority for residents. The service greatly improved last year, however we will continue to monitor and make sure the improvements from the ASB accreditation are implemented.

On an estate level, the panel is aware that residents are concerned about the number of untidy gardens and how these make their neighbourhoods look uncared for. In response to this we will look into the council's policy on dealing with untidy gardens and monitor how effective this is with tackling the problem.

I hope you enjoy reading this report and if you would like to join the panel please contact [christopher.morton@lincoln.gov.uk](mailto:christopher.morton@lincoln.gov.uk) or telephone 01522 873398.

**Debbie Rousseau,**  
*Chair of Lincoln Tenants' Panel*

# REPAIRS



WHAT WE SAID WE WOULD MEASURE	HOW DID WE DO IN 2017/18?	WHAT WAS OUR TARGET?	DID WE ACHIEVE OUR TARGET?
All repairs carried out within timescale	97.5%	97.5%	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
Emergency repairs completed on time	100%	99.5%	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
Average number of days to complete a repair	7 days	8 days	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
Tenant satisfaction with repairs surveyed after work complete	96.22%	95%	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
Getting repairs right first time	90.21%	90%	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
Average time to re-let a property	27 days	25 days	<span style="color: lightgreen;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>

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## MICK BARBER & CHRISTINE LAMMING CAUGHT UP WITH OUR MAINTENANCE MANAGER, MATT HILLMAN, TO FIND OUT HOW WELL WE HAVE PERFORMED IN TERMS OF REPAIRING OUR PROPERTIES AND HOW HE PLANS ON IMPROVING THE SERVICE.

### *Q) What service does your team provide?*

- A) We carry out all day-to-day repairs, excluding heating work, that are the council's responsibility. This includes, plumbing, joinery, bricklaying, plastering, painting and electrical work. The team also deals with properties that have been vacated and refurbishes them so they are ready to let to the next tenants.

### *Q) What's been the biggest achievements for repairs?*

- A) We have committed to an extensive training plan within the service which has seen our repairs team and office staff undertake several key training programmes. This includes increasing our multi-skilled repairs operatives, who can complete lots of different jobs, by seven employees.

In addition to the improved service, we have also managed to reduce costs and made a surplus for the second year running. For example we have set up in-house stores that are run by Travis Perkins. This arrangement allows us to save money and makes it easier for the workforce to get the parts they need. Any surplus we make goes back into providing services for council tenants.

### *Q) How well has the repairs service performed?*

- A) Housing Repairs Service continues to improve performance across the board and last year we met all of our targets, apart from void re-let times. Most notable is our first time fix rate which is the best it has ever been, with over 93% of repairs being completed at the first visit.

### *Q) What do you want to improve in the future?*

- A) Currently, when installing windows we must pay to have the completed work inspected and signed off. Therefore we are working towards getting FENSA accreditation which will mean we can sign off our own window installations. It will help to further lower costs and make the process faster, saving staff time.

## **LAST YEAR WE CARRIED OUT:**

**3,335 EMERGENCY REPAIRS**

**1,474 URGENT REPAIRS**

**17,602 NON-URGENT REPAIRS**



# TOWER ACTION GROUP (TAG)

IN THE MID-2000s, THE RESIDENTS OF THE TOWER ESTATE FELT THE AREA HAD BECOME RUN DOWN AND HAD LOST ITS SENSE OF COMMUNITY.

It was this that drove the residents to set up the Tower Action Group. Their aim? To make Tower a community again!

The first task was to find a venue to hold activities because Tower didn't have a community centre. The residents worked with the council and in 2010 took over the lease of a former flat on Roman Pavement. It was agreed to let them use this on a rent free basis.

Since then they have set up several different activities for the residents including bingo, daily coffee mornings and a newly set up session where anyone can come along to learn to knit and sew.

Last year was again very busy for TAG and they included 50 residents a week in activities. Some of the activities TAG helped to arrange included:

- Arranging a coach trip to the seaside
- Organising table top sales
- Holding the knitting and craft club every Friday
- Signposting and supporting individuals with any queries they may have
- Helping residents by being there to listen and talk to others
- Working with police, councillors and the council to tackle issues on the estate
- Creating new promotional leaflets for the office.

Thanks to the work completed by Tower Action Group, the estate has now vastly improved and a sense of community has returned. If you would like to join the Tower Action Group or find out more about community groups in your area, please contact the resident involvement team by email [LTP@lincoln.gov.uk](mailto:LTP@lincoln.gov.uk) or telephone 01522 873398.

# BLOOMING MARVELLOUS

IN AUGUST A GARDEN COMPETITION WAS ORGANISED BY IGNITE ELIM CHURCH TO HELP RECOGNISE AND CELEBRATE SOME OF LINCOLN'S BEST GARDENERS. PASTOR DARREN EDWARDS TOLD US ALL ABOUT THE COMPETITION IN THE ARTICLE BELOW.

"This summer, Ignite Elim Church teamed up with several local community groups and Pennells Garden Centre to run the 'Lincoln in Bloom Competition'

The competition was held in Birchwood, Ermine, Moorland and St Giles. On each of these four estates we had a prize for the winning garden and a prize for the most outstanding garden. The contestant with the most outstanding garden received a special prize for the garden that stands out most in its street, improving the aesthetic feel of the area. In addition to this, we had a city wide category, for the best garden from all of the entries.

It was a real privilege to be able to host such a lovely event in the city and this year it was really hard to pick the winners because we had so many fantastic gardens to choose from." The winners were:

Birchwood in Bloom: Winner

**Robert Kalenczuk.**

*Most Outstanding:*

*Richard Whillock.*

Ermine in Bloom: Winner

**Y Carr.**

*Most Outstanding:*

*Mr Myers.*

Moorland in Bloom: Winner:

**Beata Gabinska.**

*Most Outstanding:*

*Michael Stevens.*

St Giles in Bloom: Winner:

**Denise Hinch.**

*Most Outstanding:*

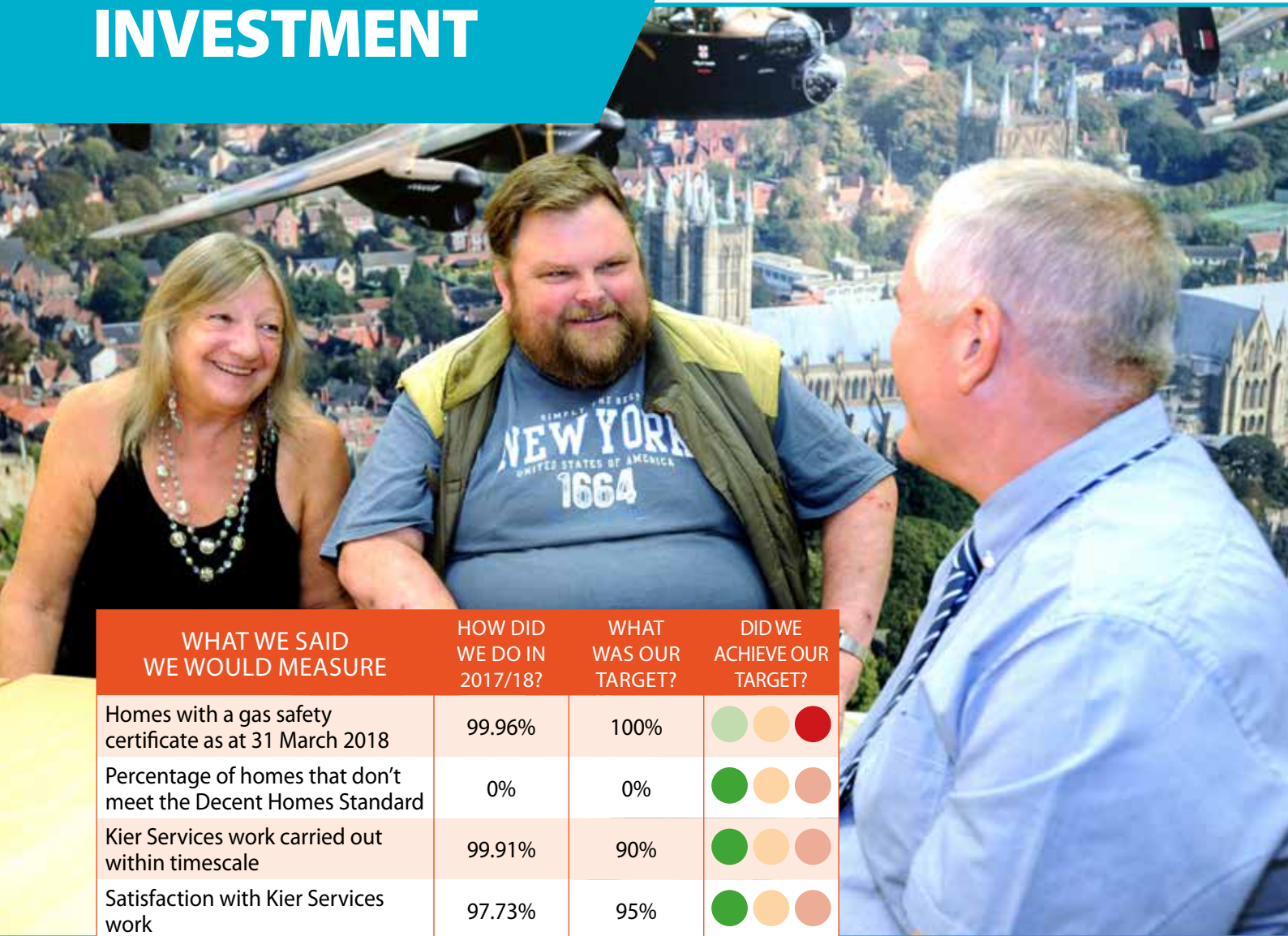
*Jane Murphy.*

**And finally, congratulations to the big winner of Lincoln City in Bloom, Denise Hinch.**

The Lincoln in Bloom is a great example of how we highlight some of the outstanding communities we have in Lincoln and it's nice to see them gain recognition. If you would like advice about organising your own community event or competition please contact the resident involvement team, email [LTP@lincoln.gov.uk](mailto:LTP@lincoln.gov.uk) or telephone: 01522 873398.



# INVESTMENT



WHAT WE SAID WE WOULD MEASURE	HOW DID WE DO IN 2017/18?	WHAT WAS OUR TARGET?	DID WE ACHIEVE OUR TARGET?
Homes with a gas safety certificate as at 31 March 2018	99.96%	100%	● ● ●
Percentage of homes that don't meet the Decent Homes Standard	0%	0%	● ● ●
Kier Services work carried out within timescale	99.91%	90%	● ● ●
Satisfaction with Kier Services work	97.73%	95%	● ● ●
Aaron Services work carried out within timescale	99.40%	98.5%	● ● ●
Satisfaction with Aaron Services work	98.82%	95%	● ● ●



KATHY HILL & JOHN RANSHAW SAT DOWN WITH OUR INVESTMENT MANAGER, KEVIN BOWRING, TO ASK HIM ABOUT HIS TEAM'S PERFORMANCE AND THEIR PLANS FOR THE FUTURE.

**Q) What service does your team provide?**

A) The Investment Team has a wide remit that includes planning all improvement works to properties, for example, installing new kitchens, bathrooms, central heating, doors, windows, roofs and new electrics. We also deliver a programme of ongoing works including external painting, gas servicing and boiler repairs. The work is carried out by different contractors including Kier Services and Aaron Services. It's our job to make sure they complete work on time and to a good standard.

**Q) What has been the biggest achievements for Investment?**

A) We have delivered a number of initiatives to make heating properties more affordable for residents. This included replacing older boilers with new more efficient ones, upgrading older windows with triple glazed units and fitting insulation in walls and lofts.

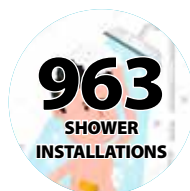
**Q) How well has the Investment Team performed?**

A) With the support of our partners, Kier and Aaron Services, we delivered improvements to over 2,200 homes last year. This work included fitting new bathrooms, kitchens and windows. That's improving 6 properties every day!

**Q) What do you want to improve in the future?**

A) We aim to visit all of our properties at least every five years to complete a 'stock condition survey', an assessment of when key components such as bathrooms, kitchens, doors and windows need to be replaced based on their present condition. By doing so, we can ensure we prioritise the 'worst first' and target resources to those customers who need them most. Whilst we undertook approximately 1,500 surveys this year, we need to continue to improve our stock data to ensure our replacement service is delivered in a more fair and efficient manner.

**IN 2017-18 WE SPENT £4,969,079 IMPROVING THE QUALITY OF YOUR HOMES. WORKS COMPLETED INCLUDED:**



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# TENANCY SERVICES



WHAT WE SAID WE WOULD MEASURE	HOW DID WE DO IN 2017/18?	WHAT WAS OUR TARGET?	DID WE ACHIEVE OUR TARGET?
The percentage of ASB cases closed that were resolved	98%	94%	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
The average number of days to resolve cases of anti-social behaviour	66 days	70 days	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
Rent collected against rent due	99.68%	100%	<span style="color: lightgreen;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>
The level of arrears against total rent due	2.11%	2.15%	<span style="color: green;">●</span> <span style="color: orange;">●</span> <span style="color: red;">●</span>

## STEVE BEARDER SPOKE TO OUR TENANCY SERVICES MANAGER, DAVE WARD, TO FIND OUT MORE ABOUT HIS TEAM.

### *Q) What does the Tenancy Services Team do?*

A) The team carries out a number of different tasks. These include managing tenancies, tackling rent arrears, processing mutual exchange requests, investigating complaints of anti-social behaviour (ASB), managing high rise blocks and cleaning communal areas in blocks of flats.

### *Q) What's been the biggest achievement for the team?*

A) Our biggest achievement was gaining accreditation of our anti-social behaviour service by Housemark, demonstrating how much the service has developed and improved over the last two years.

### *Q) How well has the team performed?*

A) For the second successive year, we kept rent arrears low, achieving 2.11% outstanding rent of all rent due for collection in year, against an overall target of 2.15%. The total amount of arrears fell to £574,426 from the previous year's

total of £611,687 but we are working hard to collect all outstanding rent.

In terms of anti-social behaviour, 98% of our ASB cases were resolved against a target of 94%.

### *Q) What do you want to improve in the future?*

A) We want to keep helping vulnerable tenants when they claim Universal Credit. To do this we plan to build on our current working relationships with DWP and other support agencies. This is important to ensure these tenants can sustain their tenancies.

The other area to keep improving is how we respond to anti-social behaviour. Firstly, we plan to provide more support for victims and witnesses of ASB. Secondly, to publicise the availability of our service more effectively through our website and social media. Lastly, to make tenants more aware of our performance figures and success stories by publishing this information more widely.

## **FACT BOX-PROVIDING VALUE FOR MONEY:**

By 2020 we will have reduced the cost of your rent by one percent each year, in accordance with government regulations. Despite this reduction we have improved the service we offer and continue to make improvements to your homes. Average weekly rents for council properties are now £69.13. For your rent payment you receive:

- Repairs to your home
- Annual gas safety checks
- Dedicated customer services and housing team
- Improvements to your home to keep it at a decent standard
- 24/7 emergency repair line
- Certain emergency repairs made safe within 24hrs
- Boiler break downs attended within 24hrs during the winter
- ASB complaints investigated.

# NEW BUILDS

We are making progress on delivering much needed social housing in Lincoln and building is underway on several sites around the city, with some already complete.

The programme will see at least **400 affordable homes** facilitated or built by the city council **by 2020**. These are a mix of 2, 3 and 4 bedroom homes. The properties will be built in the following areas:

- ◆ **ERMINE**
- ◆ **MONKS ROAD AND STAMP END**
- ◆ **MOORLAND**
- ◆ **ST GILES.**



To find out more about these properties and apply please visit our website <https://www.lincoln.gov.uk/housingbrochures/> or call us on **01522 873333**.

# TONY HIGGS AND ERMINE RESIDENTS

Tony Higgs is a resident of the Ermine Estate in Lincoln and has spent the last nine years getting involved with his community to help other residents. His CV on volunteering is impressive and includes being a member of Lincoln Tenants Panel (LTP), tenant inspectors and the Ermine Board. Prior to this he spent 20 years serving the country as a Royal Engineer.

His focus recently has been the Tuesday Club and Tony tells the story below.

"I noticed that on the Ermine there wasn't much for older residents to do and there were some who felt lonely. I decided to help run the Tuesday Club, which aims to provide low cost entertainment.

There's a lot that we do including quizzes, tombola, cards, guest speakers and curling. However the most popular activity is bingo as everyone can be involved including individuals with impairments. We are constantly looking for new ideas.

I have also set up the Ermine Singalong that aims to bring budding singers from across the area together."

I enjoy volunteering because you get to meet different people, get involved, support and help others. I also enjoy organising and planning events and activities for everyone involved."

If you would like to join the Tuesday Club or the Ermine Singalong please contact Tony on 07807023003. The Tuesday Club is held every week at 2pm and costs £5 per month. The Ermine Singalong is £1 per session and is held on a Thursday between 10am-12pm. Both are located at the Sudbrooke Drive Community Centre.





# COMMUNITY INVESTMENT

To help communities in Lincoln we have set up a Community Investment Fund.

Community groups and charities can apply to the fund for help delivering their projects. This includes funding for materials and labour. For more information about community investment, email the resident involvement team [LTP@lincoln.gov.uk](mailto:LTP@lincoln.gov.uk) or telephone: 01522 873398.

To date we have helped with several projects, the support included:

- ◆ Installing benches in the courtyard at St Clements Court. New benches were provided, bushes were removed and new paving slabs put in.
- ◆ Supplying materials for Boutham Park Regeneration Project. This involved providing parts for the weir that will help to improve the water quality of the lake.



- ◆ Renovating parts of St Barnabas Hospice. We have refurbished the kitchen and renewed the paving to the garden. This has made it a more accessible space for patients and their families.
- ◆ Fitting a new kitchen at Abbey Access Centre. This is a community facility, which provides a café, meeting room and training courses for residents.
- ◆ Renewing a shrub bed at Derek Miller Court. The residents wanted a space to garden at the court and approached us for help. Through the fund we removed the old shrubs, provided top soil and flower bulbs.
- ◆ Providing funding the Hillside Garden. Local charity, Green Synergy, has developed a garden that will be used to provide a range of therapeutic, educational and skills based projects. To support the project, funding was provided to buy a gate for the entrance to the garden.
- ◆ Helping the Moorland Local People Project with local improvements. We have installed a bench, path and notice board on Turner Avenue. This was requested by residents to make the area a nicer place to visit.

# ALLOCATIONS AND SHELTERED HOUSING



WHAT WE SAID WE WOULD MEASURE	HOW DID WE DO IN 2017/18?	WHAT WAS OUR TARGET?	DID WE ACHIEVE OUR TARGET?
Offers accepted first time	75.05%	85%	

112



SHEILA WATKINSON GOT CHANCE TO SPEAK TO CLLR. DONALD NANNESTAD, PORTFOLIO HOLDER FOR HOUSING , TO ASK HIM ABOUT THE ALLOCATIONS SERVICE AND THE CONTROL CENTRE.

***Q) What service does the team provide?***

A) The allocations team is responsible for dealing with applications for housing. We also work to prevent homelessness and deal with people who are homeless. The control centre takes emergency calls from vulnerable residents who have activated their life line system. We can then give them advice, call a relative or an ambulance if needed. Sheltered housing provides accommodation for older residents across the city.

***Q) What's been the biggest achievement for the teams?***

A) We have changed our lettings policy to make the allocation of homes fairer customers. These changes included reserving 25 per cent of homes for current tenants who want to transfer. Then there was our new website that we launched following feedback from residents that said the old site was slow and would often crash.

***Q) How well have the teams performed?***

A) This year has been challenging for the team with a number of vacancies affecting the performance.

***Q) What do you want to improve in the future?***

A) We are planning to review all processes and make them simpler, look at staffing levels and provide further staff training.

***How do I apply for council housing or apply to transfer to a different property?***

If you want to apply for housing in Lincoln or North Kesteven, you will need to either register with [www.lincshomefinder.co.uk/Lincshomefinder](http://www.lincshomefinder.co.uk/Lincshomefinder) online or contact us on telephone 01522 873333 or in person at our offices located at City Hall, Beaumont Fee, Lincoln, LN1 1DD.

***Have you thought about a Mutual Exchange?***

The process allows council tenants to exchange homes. If you would like to move, this may be quicker and easier than applying for a transfer. To find out further information and to register for a Mutual Exchange please go to: [www.homeswapper.co.uk/](http://www.homeswapper.co.uk/) or contact us on telephone 01522 873333.

# CUSTOMER SERVICES



WHAT WE SAID WE WOULD MEASURE	HOW DID WE DO IN 2017/18?	WHAT WAS OUR TARGET?	DID WE ACHIEVE OUR TARGET?
% of calls answered within 60 seconds	63.91%	80%	<span style="color: green;">●</span> <span style="color: yellow;">●</span> <span style="color: red;">●</span>

## CAROLINE COYLE-FOX SAT DOWN AND SPOKE WITH JO CROOKES, CUSTOMER SERVICES MANAGER TO ASK HER ABOUT THE TEAM'S PERFORMANCE

### *Q) What service does customer services provide?*

A) Customer services is responsible for many of the first line enquiries made to the council. The team run the main reception and enquiry centre in City Hall as well as taking telephone and email enquiries about a wide range of issues. These include Housing Benefit and Council Tax, applying for housing, rent enquires, tenancy issues, environmental health, rubbish, recycling and garden waste collections.

### *Q) What's been the biggest achievement for the team?*

A) Customer feedback is very positive and we receive many compliments about the professional yet caring approach that the team take to our customers. The team work incredibly hard in what are sometimes very difficult circumstances, for example during extreme weather events or speaking to and helping people during traumatic life events. I am grateful to the team for their ability to deal with anything that the day presents in a calm and composed way, putting the needs of the customer first.

### *Q) How well has customer services performed?*

A) We are incredibly busy and answered more than 137,000 calls last year. On average the calls were answered in under a minute, which compares well with the wait times experienced when calling

other businesses and public sector bodies. Of course we concentrate on quality and resolving the issue during the call wherever this is possible, and staff are encouraged to ensure that they give each call the time required to deal with it effectively. Housing Helpdesk and the Repairs line are extremely busy. In 2017-2018 we answered 40,032 calls to housing helpdesk and 22,347 repair calls. This accounts for 92.7% of the calls made to these numbers. The average waiting time for callers was 63.4 seconds. Many calls get through very quickly but we often have a very high peak of calls and these calls can wait much longer to get through. For example many people call in on Monday morning. Similarly when there is a mail shot or other council communication the phone lines can be inundated with calls

### *Q) What do you want to improve in the future?*

A) We are pleased that so many of the routine calls we used to take are now being handled electronically which means that we can spend our time dealing with more challenging issues and supporting those residents who need our assistance the most. In common with all areas of the council we are looking at providing the best possible value for money and cutting expenditure. Our next project will be to help tenants pay their rent by Direct Debit where possible because the plastic payment cards used at the Post Office are very costly to operate indeed.



## ASK THE **HOUSING OFFICER**

### Further reading

Homes England is a non-departmental government body that sets out the service we must provide to you in a regulatory framework. One of the requirements is to publish an annual report each year.

Your Housing Officer is there to give you advice about your tenancy. They are also responsible for ensuring the tenancy agreement is complied with and for things like investigating anti-social behaviour complaints. If you need to contact them, you can send an email to [tenancy.support.team@lincoln.gov.uk](mailto:tenancy.support.team@lincoln.gov.uk) or call them on 01522 873333.

You can find out who your housing officer is online at [www.lincoln.gov.uk/housingofficer](http://www.lincoln.gov.uk/housingofficer)

**For more information** please see their website [www.gov.uk/government/publications/regulatory-standards](http://www.gov.uk/government/publications/regulatory-standards) or contact us by emailing **christopher.morton@lincoln.gov.uk** or by calling **01522 873398** to request a copy.

## Obtaining copies in alternative formats

If you have difficulty in understanding anything in this document, please go to City Hall, Beaumont Fee, Lincoln or any other council office, and an interpretation service will be provided.

### French

Si vous avez besoin d'éclaircissements au sujet de ce document, veuillez vous rendre au City Hall, Beaumont Fee, Lincoln ou tout autre Council office, où nous pourrions faire appel à un interprète par le biais du National Interpreting Service.

### Polish

Jezeli masz trudnosci ze zrozumieniem tego dokumentu, zglos sie do urzedu miasta w City Hall, Beaumont Fee w Lincoln lub do innego urzedu nalezkiego do rady miejskiej, w którym wezwiemy tłumacza z National Interpreting Service.

### Portuguese

Se tiver dificuldade em compreender qualquer coisa neste documento, por favor dirija-se à City Hall, Beaumont Fee, Lincoln ou qualquer outra repartição do município, onde poderemos chamar um interprete para si através do Serviço Nacional de Interpretação.

### Turkish

Bu belgeyi anlamakta zorlanırsanız, Beaumont Fee, Lincoln Belediyesi'ne ya da herhangi başka bir belediye meclisi ofisine gidin. National Interpreting Service aracılığıyla size bir çevirmen sağlanacaktır.

This publication can also be made available in large print, or electronically.

**Please call: 01522 873333**

<b>SUBJECT:</b>	<b>JOINT MUNICIPAL WASTE MANAGEMENT STRATEGY FOR LINCOLNSHIRE</b>
<b>DIRECTORATE:</b>	<b>COMMUNITIES AND ENVIRONMENT</b>
<b>REPORT AUTHOR:</b>	<b>STEVE BIRD ASSISTANT DIRECTOR COMMUNITIES AND STREET SCENE</b>

## **1. Purpose of Report**

- 1.1 To introduce and provide background to the new draft Joint Municipal Waste Strategy document for Lincolnshire.
- 1.2 To seek Executive agreement to endorse the strategy on behalf of the City of Lincoln Council, before onward reporting to full Council.

## **2. Executive Summary**

- 2.1 The Joint Municipal Waste Management Strategy (JMWMS) for Lincolnshire attempts to set out how members of the Lincolnshire Waste Partnership (LWP) can work together to protect the environment by delivering sustainable waste management services through the establishment of best value waste management practices across the county.
- 2.2 At the meeting of the LWP on 8th March the draft JMWMS was approved for public consultation, which was launched on 4th April and closed on 2nd July.
- 2.3 During this period the draft strategy was submitted to the City Council's policy Scrutiny Committee for consideration. Feedback was minuted and taken into account in the redrafts.
- 2.4 Attached as appendix A is a copy of the final draft for consideration and endorsement.

## **3. Background**

- 3.1 The Lincolnshire Waste Partnership (LWP) brings together the public bodies within Lincolnshire responsible for the collection and disposal of waste and include:
  - Seven Waste Collection Authorities (WCA's) – Boston Borough Council, City of Lincoln Council, East Lindsey District Council, North Kesteven District Council, South Holland District Council, South Kesteven District Council and West Lindsey District Council;
  - One Waste Disposal Authority (WDA) – Lincolnshire County Council; and
  - One Waste Regulatory Authority – The Environment Agency.

- 3.2 The LWP's previous strategy was adopted in 2008 and now requires review. This new strategy has been developed as a joint venture between the WDA and the WCAs, with significant commitment from all members of the LWP in order to arrive at a shared vision of how a detailed proactive strategy may be developed.
- 3.3 This draft strategy provides the strategic framework through which the LWP can express their shared vision and strategic objectives for the handling of municipal waste. Furthermore, it meets the legal requirements, laid down by the Waste and Emissions Trading Act (2003), to have such a joint strategy.

#### **4. The Strategy**

4.1 Attached is a copy of the JMWMS.

4.2 The document is set out in a simple structured format, making it easy to follow.

- 4.3
1. Summary
  2. Introduction  
Gives more detailed background information about why we need a new strategy.
  3. What are the key legislative drivers?  
Background information which has been taken into account in shaping the Strategy.
  4. How has the strategy been developed?  
Details of the process followed to develop this strategy.
  5. Where are we today?  
An assessment of the partnership's current services and future needs.
  6. What are we aiming for?  
Our vision and objectives for what we want to achieve.
  7. How will we get there?  
Sets out the types of action identified to fulfil our objectives which will be developed into an action plan, which will be updated annually, once the strategy is adopted.
  8. The next steps: Monitoring, implementing and reviewing the strategy  
How we will check that we are meeting the objectives agreed in the strategy?

4.4 Chapter five sets out information, including:

- An analysis of the nature and performance of existing services;
- Projections of future waste quantities; and
- The impact of changes in waste quantities on overall performance if no changes, other than those already planned, are introduced.

4.5 This information makes it clear that, whilst we have achieved a lot in recent years, we now face a number of challenges:

- A growing population producing more waste each year;

- Funding from central government decreasing;
- A falling recycling rate locally and a stalled rate nationally;
- Waste going into the wrong bin – A quarter of what is received in recycling collections is not recyclable, whilst a quarter of what is received in our general waste collections is actually recyclable.

4.6 The Lincolnshire Waste Partnership’s vision is:

***“To seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire.”***

4.7 In order to work towards this vision, the LWP has developed and agreed a set of high-level objectives, which are key drivers for the delivery of this strategy. In line with the vision, each of these objectives is to be considered in the light of the partnership’s shared values that:

***“All Objectives should ensure that services provided under the Strategy represent the best possible environmental option which gives value for money for Lincolnshire residents.”***

The ten proposed objectives are as follows:

<b>Objective 1.</b>	To improve the quality and therefore commercial value of our recycling stream.
<b>Objective 2.</b>	To move towards a common set of recycling materials.
<b>Objective 3.</b>	To consider the introduction of separate food waste collections where technically, environmentally and economically practicable.
<b>Objective 4.</b>	To explore new opportunities of promoting waste minimisation and of using all waste as a resource in accordance with the waste hierarchy.
<b>Objective 5.</b>	To contribute to the UK recycling targets of 50% by 2020 and 55% by 2025.
<b>Objective 6.</b>	To find the most appropriate ways to measure our environmental performance, and set appropriate targets.
<b>Objective 7.</b>	To seek to reduce our carbon footprint.
<b>Objective 8.</b>	To make an objective assessment of what further waste processing/disposal capacity is required and, as necessary, secure appropriate capacity.
<b>Objective 9.</b>	To regularly review the LWP governance model in order to provide the best opportunity to bring closer integration and the implementation of the objectives set by the strategy.
<b>Objective 10.</b>	To consider appropriate innovative solutions in the delivery of our waste management services.

## 4.8

In order to achieve these objectives, this strategy is accompanied by an action plan. The Action Plan will be reviewed and revised annually to ensure that it remains up to date and addresses any new challenges arising during the lifetime of the strategy.

Chapter 7 sets out some of the themes reflected in the Action Plan:

- Seeing the wider picture
  - Developing links with other local authorities
  - Engaging with the commercial sector
  - Addressing any waste processing capacity gaps
- Balancing economic and environmental benefits
  - Ensuring value for money
  - Caring for the environment
- Reviewing what we collect and how
- Getting our messages across
  - To the Lincolnshire public – e.g. What to put in which bin
  - To the national government – We need to try to influence national strategy & policy to tie in with our own
  - To other stakeholders – Parish Councils, Environment Agency, etc.
  - To the commercial sector – To waste producers as well as waste businesses

## 4.9

Chapter 8 sets out how we will ensure that we keep working to achieve our objectives throughout the lifetime of this strategy. This will include:

- Monitoring the strategy – Measuring our performance both in existing ways (such as recycling percentage) and in new ways which better reflect how we are doing compared to our strategic objectives.
- Implementing the strategy – Ensuring that our work is:
  - Appropriately funded,
  - Done in partnership across the members of the LWP, and
  - Properly focussed through the use of an action plan.



- Reviewing the strategy – Reacting to changing circumstances such as the UK's departure from the European Union and also the emerging approach by government to how waste streams will be handled in the future. For instance:
  - the strategy notes that the government's Resources and Waste Strategy is due imminently, which it is anticipated to include a provision requiring packaging manufacturers to pay 100% of the cost of recycling certain household waste raising an estimated £1bn which local councils may be mandated to use to revamp recycling facilities
  - other periodic announcements from government such as the recent budget announcement of a new tax on the manufacture and import of plastic packaging that contains less than 30 per cent recycled plastic

Such announcements mean the strategy will need to be kept under constant review to take advantage of not just the crystallisation of government thinking but also the potential funding streams that may accompany it, to deliver the strategy.

## **5. Strategic Priorities**

### **5.1 Let's drive economic growth**

Growth generally creates increased waste. It is therefore vital that the county has a strategy for handling the increased projections in waste growth.

### **5.2 Let's reduce inequality**

Equality is reassessed whenever there is a change in service provision.

### **5.3 Let's deliver quality housing**

Easy and effective waste disposal is a key part of delivering improved housing in its widest sense.

### **5.4 Let's enhance our remarkable place**

Poor waste disposal practices increase the chances of problems arising from such as poor presentation and fly tipping.

## **6. Organisational Impacts**

### **6.1 Finance**

All members but one have agreed to jointly fund a project manager to support the work programme arising from the Action Plan. This is estimated to cost in the order of £9,500 pa, and be funded for three years. It is proposed that funding be found from the 2018/19 Business Rate Pilot.

There are no financial implications arising directly from this report, however any changes to the actual collections, or any agreement arising between the WCAs and the WDA as a result of changes, could have significant cost implications.

- 6.2 Legal Implications including Procurement Rules  
It meets the legal requirements, laid down by the Waste and Emissions Trading Act (2003), to have a joint strategy.
- 6.3 Land, property and accommodation  
There are no implications.
- 6.4 Human Resources  
There are no implications.
- 6.5 Equality, Diversity & Human Rights  
It is not possible to assess impact based on the existing draft strategy. Only when actions from the strategy drive changes in services will it be possible to assess these impacts. EIAs will be required for all changes proposed.
- 6.6 Significant Community Impact –  
There is no impact from having a strategy, however clearly a change to collection methodology could have significant community impact.
- 6.7 Corporate Health and Safety implications –  
There is no impact from having a strategy, however clearly a change to collection methodology could have significant H&S impact which would be assessed at the time of making any operational changes.

## 7. Risk Implications

- 7.1 (i) Options Explored  
Having a joint strategy  
Not having a joint strategy.
- 7.2 (ii) Key risks associated with the preferred approach  
A joint approach is essential in this situation as different organisations have control over different elements of waste management. However, joint working must be widely consultative, so whilst being well informed, it can be much slower to reach actions and compromises may be required.

## 8. Recommendation

- 8.1 That the Executive endorse the proposed Joint Municipal Waste Management Strategy (JMWMS) attached as Appendix A subject to the Strategy in the same form being formally adopted by all the waste collection authorities in Lincolnshire.
- 8.2 To agree funding be used from the Business Rate pilot 2018/19 as City of Lincoln Council's contribution towards the shared post of project manager for the Lincolnshire Waste Partnership, as set out in 6.1 above.

**Is this a key decision?** Yes

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?**

No

**How many appendices does the report contain?**

One

**List of Background Papers:**

None

Lead Officer:  
Telephone

Steve Bird  
(01522) 873421

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# Waste Strategy for Lincolnshire

Lincolnshire Waste Partnership 2018





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## Foreword

### **By Chair and Vice Chair on behalf of the Lincolnshire Waste Partnership**

*Welcome and thank you for your interest in Lincolnshire Waste Partnership's waste management strategy for Lincolnshire.*

*It is clear the cost of waste collection and disposal in the county will increase over the coming years, a fact that led all eight partner agencies to come together and work towards a sustainable strategy for today and for the future.*

*The LWP consulted the public on the strategy and it has now been formally adopted. It is aimed at keeping those expected cost increases to a minimum, while safeguarding our environment and making the best use of the resources available to us.*

*However, it is not just local action that is needed to make a difference. The strategy includes plans to lobby for changes to current legislation, particularly around food packaging.*

*Where we can't reduce waste or recycle it, we need to use it as a resource in itself – to create energy – and the waste partnership will work with other organisations to make sure we can do this as efficiently and economically as possible.*

*The joint strategy has been put together with the help and hard work of councillors and officers from the partner councils and with input from the public.*

*But this is just the beginning of our work. It is a plan of action for the LWP to follow, but with the flexibility required to make it possible for all of us to improve and develop our waste reduction, recycling and disposal efforts.*



# 1 Summary

This Joint Municipal Waste Management Strategy (JMWMS) for Lincolnshire sets out how the members of the Lincolnshire Waste Partnership (LWP) will work in partnership to protect the environment by delivering sustainable waste management services and to establish best value waste management practices for the benefit of Lincolnshire.

The Lincolnshire Waste Partnership's vision for this Strategy is:

***“To seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire.”***

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## 1.1 This version of the Strategy

This final version of the Strategy has been prepared and revised in discussion with the members of the Lincolnshire Waste Partnership (LWP). It takes into account feedback received during a period of public consultation undertaken between April and July 2018.

In addition to the endorsement of the LWP as a body, each partner council has adopted this JMWMS through its own formal processes.

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## 1.2 Layout of the document

In addition to this summary, the Strategy includes the following chapters.

### 2. Introduction

Gives more detailed background information about why we need a new Strategy.

### 3. What are the key legislative drivers?

Background information which has been taken into account in shaping the Strategy.

### 4. How has the strategy been developed?

Details of the process followed to develop this Strategy.

### 5. Where are we today?

An assessment of the Partnership's current services and future needs.

### 6. What are we aiming for?

Our vision and objectives for what we want to achieve.

### 7. How will we get there?

Sets out the types of action identified to fulfil our objectives – These will be expanded upon in further detail in a separate Action Plan to be updated annually.

### 8. The next steps: Monitoring, implementing and reviewing the strategy

How we will check that we are fulfilling our objectives.

This document also includes a number of appendices which give further explanatory details to support the main text. One of these, Appendix D, is the initial Action Plan setting out the work which the LWP will undertake to move forwards with the objectives of this Strategy. As stated elsewhere, the Action Plan will be reviewed annually to ensure that it remains up to date.

### 1.3 Where are we today? (see Chapter 5)

In order to consider what we would like to achieve and how we might do so, it is important to establish where we are starting from. Chapter 5 sets out detailed information, including:

- An analysis of the nature and performance of existing services;
- The impact of any service changes already firmly planned (if any);
- Projections of future waste quantities; and
- The impact of changes in waste quantities on overall performance if no changes, other than those already firmly planned, are introduced.

This information makes it clear that, whilst we have achieved a lot in recent years, we now face a number of challenges, such as:

- A growing population producing more waste each year;
- Funding from central government decreasing each year;
- A falling recycling rate locally and a stalled rate nationally, whilst the national government is committing to higher targets set by the EU;
- Waste going into the wrong bin – A quarter of what we receive in our recycling collections is not recyclable, whilst a quarter of what we receive in our general waste collections is actually recyclable; and
- Volatile markets for recyclable materials.

### 1.4 What are we aiming for? (see Chapter 6)

In order to work towards our vision, the Partnership has developed and agreed a set of high-level objectives, which are key drivers for the delivery of this strategy. In line with the vision, each of these objectives is to be considered in the light of the Partnership's shared values that:

***All Objectives should ensure that services provided under the Strategy represent the best possible environmental option which gives value for money for Lincolnshire residents.***

The ten objectives are as follows:

<b>Objective 1.</b>	To improve the quality and therefore commercial value of our recycling stream.
<b>Objective 2.</b>	To move towards a common set of recycling materials.

<b>Objective 3.</b>	To consider the introduction of separate food waste collections where technically, environmentally and economically practicable.
<b>Objective 4.</b>	To explore new opportunities of promoting waste minimisation and of using all waste as a resource in accordance with the waste hierarchy.
<b>Objective 5.</b>	To contribute to the UK recycling targets of 50% by 2020 and 55% by 2025.
<b>Objective 6.</b>	To find the most appropriate ways to measure our environmental performance, and set appropriate targets.
<b>Objective 7.</b>	To seek to reduce our carbon footprint.
<b>Objective 8.</b>	To make an objective assessment of what further waste processing/disposal capacity is required and, as necessary, secure appropriate capacity.
<b>Objective 9.</b>	To regularly review the LWP governance model in order to provide the best opportunity to bring closer integration and the implementation of the objectives set by the strategy.
<b>Objective 10.</b>	To consider appropriate innovative solutions in the delivery of our waste management services.

## 1.5 How will we get there? (see Chapters 7 & 8)

In order to achieve these objectives, this Strategy is accompanied by a separate Action Plan, the initial version of which is attached as Appendix D, detailing what will be done when and by whom. The Action Plan will be reviewed and revised annually to ensure that it remains up to date and addresses any new challenges arising during the lifetime of the Strategy.

Chapter 7 sets out some of the themes which are reflected in the action plan:

- **Seeing the wider picture** (see section 7.1)
  - Developing links with other local authorities
  - Engaging with the commercial sector
  - Addressing any waste processing capacity gaps
- **Balancing economic and environmental benefits** (see section 7.2)
  - Ensuring value for money
  - Caring for the environment
  - Finding the balance in practice
- **Reviewing what we collect and how** (see section 7.3)
- **Getting our messages across** (see section 7.4)
  - To those living in Lincolnshire – e.g. What to put in which bin
  - To the national government – Influencing national strategy and policy to tie in with our own
  - To other stakeholders – Parish Councils, Environment Agency, etc.
  - To the commercial sector – To waste producers and waste businesses

Chapter 7 also summarises (see section 7.5) each of the key workstreams which are included in the Action Plan.

We will also (as detailed in Chapter 8) ensure that we keep working to achieve our objectives throughout the lifetime of this Strategy. This will include:

- **Monitoring the strategy** (see section 8.1) – Measuring our performance both in existing ways (such as recycling percentages) and in new ways which better reflect how we are doing compared to our strategic objectives.
- **Implementing the strategy** (see section 8.2) – Ensuring that our work is:
  - Appropriately funded,
  - Done in partnership across the members of the LWP, and
  - Properly focussed through the use of an action plan.
- **Reviewing the strategy** (see section 8.3) – This will, in line with government guidance, happen at least every five years, and will also need to react to changing circumstances such as the UK's departure from the European Union.

## 2 Introduction

### 2.1 Background

The Lincolnshire Waste Partnership (LWP) brings together the public bodies within Lincolnshire responsible for collection and disposal of waste, including:

- Seven Waste Collection Authorities (WCA's) – Boston Borough Council, City of Lincoln Council, East Lindsey District Council, North Kesteven District Council, South Holland District Council, South Kesteven District Council and West Lindsey District Council;
- One Waste Disposal Authority (WDA) – Lincolnshire County Council; and
- One Waste Regulatory Authority – The Environment Agency.

This Joint Municipal Waste Management Strategy (JMWMS) provides a strategic framework through which the partners of the LWP can express their shared vision and strategic objectives for the handling of municipal waste. Furthermore, it meets the requirements of the Waste and Emissions Trading Act 2003 to have such a joint strategy.

The LWP's previous Strategy was adopted in 2008, necessitating this review. This new Strategy has been developed as a joint venture between the WDA and the WCA's, with significant commitment from all members of the LWP in order to arrive at a genuinely shared vision and future strategy.

In addition to this main Strategy document, the JMWMS process has produced:

- A Strategic Environmental Assessment (SEA), as required under the Environmental Assessment of Plans and Programmes Regulations 2004. The SEA provides a thorough environmental assessment of a number of scenarios which can deliver the objectives set by the strategy. In accordance with Government guidance, the SEA process, including the preparation of an Environmental Report, has been conducted at the same time as developing the Strategy; and
- An Action Plan of work to be undertaken to move towards the objectives identified in the Strategy. The intention is to update the Action Plan annually for the lifetime of this Strategy.

The initial Action Plan is attached as Appendix D to this document. The SEA Environmental Report is available from the JMWMS web page<sup>1</sup>.

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### 2.2 Scope and context

In developing this Strategy, a balance has been sought between reducing costs and "doing the right thing" environmentally. "Doing the right thing" (ideally the "best" thing) involves reference to a number of key documents.

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<sup>1</sup> <https://www.lincolnshire.gov.uk/recycle-for-lincolnshire/waste-strategy-for-lincolnshire/>

### 2.2.1 The Waste Hierarchy

Article 4 of the revised EU Waste Framework Directive lays down a five-step hierarchy of waste management options which must be applied by Member States in this priority order. In order of preference, these options are shown below in Figure 2-1.

**Figure 2-1 The Waste Hierarchy**



The Waste Hierarchy helps to encourage a change in thinking so that waste is considered as a resource to be made use of, with disposal being the last resort.

Regulation 12 of the Waste (England and Wales) Regulations 2012 asserts the need for us to consider the Waste Hierarchy in choosing how to handle all our waste streams, so this directs the principles under which our Strategy must be written.

It should also be noted that the most preferred options are to prevent things from becoming waste in the first place, or to make it possible to reuse them. This is reflected in our Objective 4 which has now, as described in Section 6.1, been expanded to specifically mention waste minimisation.

### 2.2.2 UK Policy and Legislation on Waste

This includes the following, further details of which are given in section 3.2 of this Strategy:

- Waste Management Plan for England (2013)
- 25 Year Environment Plan (January 2018)
- Resources and Waste Strategy (due during 2018)

### 2.2.3 Lincolnshire's Previous Waste Strategy (2008)

Lincolnshire's previous Waste Strategy identified 10 key objectives. Considerable progress has been made on these over the last decade, including:

Objective 5	To increase progressively the recovery and diversion of biodegradable waste from landfill, to meet and exceed the Landfill Directive diversion targets.
Objective 6	To ensure that residual waste treatment supports energy recovery and other practices higher up the waste hierarchy.

Through the building of the new Energy from Waste (EfW) facility in Hykeham, which began receiving waste in 2013, we now send less than 5% of our waste to landfill. This reduced our landfill tonnage so much that we achieved our 2020 Landfill Directive diversion target as soon as the EfW was in full operation, and we have continued to achieve that target in every year since then.



Our EfW facility also ensures that our residual waste is treated higher up the waste hierarchy than landfill.

Objective 7	To deliver best value for money waste management services, addressed on a countywide basis.
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The lifetime of our 2008 Strategy has coincided with a period of unprecedented cuts to the funding which local authorities receive from national government. The LWP authorities have achieved large budget savings during this time, but have continued to provide a high level of service to the public.

Whilst our previous objectives were considered in developing this new Strategy, it is important to note that:

- Some of those objectives have already met – e.g. Objective 5 as described above.
- The new Strategy needs to reflect the changing political landscape – e.g. Financial austerity and the UK's exit from the European Union.
- Changing the focus may help to renew the impetus and impact which have been lost as the previous Strategy has aged.

### 2.3 What does the waste strategy cover?

This Strategy is intended to fulfil the duty, under the Waste and Emissions Trading Act (2003) that:

*"The waste authorities for a two-tier area must... have for the area a joint strategy for the management of... waste from households, and... other waste that, because of its nature or composition, is similar to waste from households"*

In preparing this Strategy, in order to ensure a holistic approach and to identify possible synergies, the process also needs to take into account links between:

- The Waste Strategy as a whole and the LWP partner authorities' strategic approach to other related matters, including (but not limited to):
  - Other environmental matters (e.g. Natural Environment Strategy)
  - Public health
  - Economic growth (e.g. Development Plans) and the consequential effects on waste growth.
- Our Waste Strategy and those of neighbouring local authorities, and
- Each individual Objective and all other Objectives within the Strategy.

## 3 What are the key legislative drivers?

This chapter outlines the main legal requirements for waste management that the Partnership has either already met or will need to meet as new legislation and requirements are introduced. It then considers the legislation regarding planning for any new waste management facilities and services that may be required to enable the Partnership to meet its future targets.

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### 3.1 European waste policy and legislation

The European Union is currently the major source of the UK's environmental legislation and guidance in relation to the management of waste. Whilst, in the longer term, the UK's exit from the European Union may see the UK diverge from EU waste policy and legislation, the UK Government have indicated their intention to continue to comply with EU legislation for the foreseeable future.

A number of European Directives have been introduced which aim to increase levels of recycling and recovery, and thus reduce the amount of waste which is landfilled. A number of these have recently been amended as part of the EU's Circular Economy Package (CEP) which came into force on 4<sup>th</sup> July 2018. In particular, the CEP includes changes to the Waste Framework Directive and Landfill Directive, both of which are key drivers for the LWP's strategic thinking.

Full details of the CEP are available online, for example on the website of the Council of the EU<sup>2</sup>, but they are summarised below under the following headlines:

- Waste Hierarchy
- Recycling/reuse targets
- Separate collections of specific materials
- Landfill targets

#### 3.1.1 Waste Hierarchy

This provides a framework of how sustainability in waste management can be increased progressively. It is described in detail in Section 2.2.1 of this JMWMS.

#### 3.1.2 Recycling/reuse targets

The UK government is committed to meeting the EU targets for the recycling of "municipal waste" (Table 3-1). However, it should be noted that the definition of this differs from that of the former headline UK recycling rate (National Indicator 192). Indeed, different EU member states measure this in a variety of ways, and the LWP has joined others in lobbying the UK government to consider including the recycling of Incinerator Bottom Ash (IBA) which would considerably boost the LWP's reported recycling rate. Indeed, the reported rate for the UK as a whole already includes the recycling of metals extracted from IBA, whereas the official rate for individual councils does not. Further information regarding this can be found in section 5.5 of this Strategy.

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<sup>2</sup> <http://www.consilium.europa.eu/en/press/press-releases/2018/05/22/waste-management-and-recycling-council-adopts-new-rules/>



**Table 3-1 EU recycling/reuse targets**

	By 2020	By 2025	By 2030	By 2035
Total reuse and recycling of municipal waste	50%	55%	60%	65%

### 3.1.3 Separate collections of specific materials

Before the introduction of the CEP there was already a requirement, transposed into UK law, for separate collections of paper, metal, plastic and glass:

- "Where necessary... to ensure that waste undergoes recovery operations... and to facilitate or improve recovery"; and
- "if technically, environmentally and economically practicable" (or "TEEP" for short).

The CEP supplements this with the requirement, subject to the same "TEEP" caveat, for separate collections of:

- "Bio-waste" (including food waste) by 31<sup>st</sup> December 2023; and
- Textiles and hazardous waste by 1<sup>st</sup> January 2025.

It remains to be seen how these requirements will be reflected in the new UK Resources and Waste Strategy or transposed into UK law, particularly in the light of the "TEEP" caveat. This should become clearer with the publication of Defra's new Resources and Waste Strategy due towards the end of 2018.

### 3.1.4 Landfill targets

The UK Government responded to the original EU Landfill Directive both by setting equivalent targets (under the Landfill Allowance Trading Scheme, LATS) for each local authority, and by increasing the cost of landfill through an escalating rate of Landfill Tax, and the UK has achieved the 2020 target well ahead of time. Whilst the LWP's development, under its previous Waste Strategy, of an energy from waste facility brought us well within our LATS targets, the minimisation of our Landfill Tax bill, particularly in the face of predicted population and waste growth, remains a key driver.

## 3.2 National waste policy and legislation

Much of the UK's waste legislation transposes the above EU legislation. It is currently unclear how Brexit will affect UK legislation in the future, but the UK Government has expressed a desire initially to retain EU-related waste legislation.

Another element of uncertainty surrounds the UK Government's long-anticipated 25 Year Environment Plan which was published in January 2018. Whilst the Plan contains, as described below, some pledges on waste, the promised new Resources and Waste Strategy is anticipated to arrive around the same time as the adoption of this Lincolnshire Strategy. This JMWMS is intended

to be flexible enough to react to any significant changes resulting from that new national strategy, particularly through the commitment to an annual review of the accompanying Action Plan.

### 3.2.1 Waste Management Plan for England

The 2013 Waste Management Plan for England sets out a number of strategic priorities which need to be taken into account in this Strategy for Lincolnshire. These include:

- Implementing the Waste Hierarchy.
- Measures to promote high quality recycling.
  - The Waste (England and Wales) Regulations 2011, transposing the revised EU Waste Framework Directive, require the separate collection of waste paper, metal, plastic and glass from 2015 onwards wherever separate collection is necessary to get high quality recycling, and is practicable.
  - The Waste and Resources Action Programme (WRAP), will advise local authorities and others, including on best practice in collections.
  - The introduction of Regulations relating to Material Recovery Facilities (MRFs), including mandatory sampling weights and frequencies for inputs and outputs.
- Separate collection of biowaste.
  - The Government has identified anaerobic digestion as the best technology currently available for treating food waste.

### 3.2.2 UK 25 Year Environment Plan

The government's 25 Year Environment Plan<sup>3</sup> was published in January 2018. On the subject of waste it included, on page 29, the following commitment.

*We will minimise waste, reuse materials as much as we can and manage materials at the end of their life to minimise the impact on the environment. We will do this by:*

- *Working towards our ambition of zero avoidable waste by 2050*
- *Working to a target of eliminating avoidable plastic waste by end of 2042.*
- *Meeting all existing waste targets – including those on landfill, reuse and recycling – and developing ambitious new future targets and milestones.*
- *Seeking to eliminate waste crime and illegal waste sites over the lifetime of this Plan, prioritising those of highest risk. Delivering a substantial reduction in litter and littering behaviour.*
- *Significantly reducing and where possible preventing all kinds of marine plastic pollution – in particular material that came originally from land.*

The Plan includes a statement (page 85) that Defra will be:

*Publishing a new Resources and Waste strategy in 2018 aimed at making the UK a world leader in resource efficiency. It will set out our approach to reducing waste, promoting*

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<sup>3</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/673203/25-year-environment-plan.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/673203/25-year-environment-plan.pdf)

*markets for secondary materials, incentivising producers to design better products and how we can better manage materials at the end of life by targeting environmental impacts.*

It is currently anticipated that this Resources and Waste strategy will be released in October 2018. Our Strategy Action Plans for future years will need to take this new national strategy into account, particularly with regard to any specific targets which are set.

### **3.2.3 National Planning Policy**

The National Planning Policy Framework (NPPF), introduced in March 2012 and revised in July 2018, sets out the Government's national planning policies for England. This is supported by online Planning Practice Guidance. The overarching aim of the NPPF is to achieve sustainable development by ensuring economic, social and environmental gains are sought jointly and simultaneously through the planning system. At the centre of this is a presumption in favour of sustainable development. The NPPF must be taken into account in the preparation of development plan documents, and is a material consideration in planning decisions. However, whilst the NPPF includes both general policies and specific policies, the specific policies do not extend to waste. Instead, these are set out in the National Planning Policy for Waste (NPPW) (October 2014).

The NPPW sits alongside the National Waste Management Plan (December 2013) and sets out the national framework for planning for waste management. It outlines the planning system's key roles in delivering the new facilities that are essential for implementing sustainable waste management and protecting the environment and human health. The emphasis is on delivering sustainable development, driving waste up the hierarchy, seeing waste as a resource and disposal as the last option.

### **3.2.4 Other National Strategies**

The UK Government has set out several other Strategies which include elements relating to waste management.

- The Industrial Strategy sets out plans:
  - For "moving towards a regenerative circular economy";
  - To "take further measures to strengthen the markets for secondary materials"; and
  - To further develop the "Midlands Engine".
- The Clean Growth Strategy – Includes, under the heading "Enhancing the Benefits and Value of Our Natural Resources", proposals to:
  - "Work towards our ambition for zero avoidable waste by 2050, maximising the value we extract from our resources, and minimising the negative environmental and carbon impacts associated with their extraction, use and disposal";
  - "Publish a new Resources and Waste Strategy";
  - "Explore new and innovative ways to manage emissions from landfill"; and
  - "Invest £99 million in innovative technology and research for agri-tech, land use, greenhouse gas removal technologies, waste and resource efficiency".

### 3.3 The Lincolnshire Minerals and Waste Local Plan (MWLP)

The County Council has produced the Lincolnshire Minerals and Waste Local Plan under its statutory duties as the Mineral and Waste Planning Authority for the County. Planning law requires that all applications for planning permission for waste development must be determined in accordance with this plan unless material considerations indicate otherwise. This plan is comprised of two parts, each forming a development plan document:

- the Core Strategy and Development Management Policies (CSDMP) document (adopted on 1 June 2016) – which sets out the key principles to guide the future extraction of minerals and the form of waste management development in the County up to 2031, together with the development management policies against which applications for those types of development will be assessed; and
- the Site Locations document (adopted on 15 December 2017), which includes specific proposals and policies for the provision of land for mineral and waste development.

The Strategic Objectives of the plan include:

- protecting the environment and local communities from the negative impacts of waste development, reducing residual impacts and delivering improvements where possible, and ensuring new facilities include high standards of design and layout, sustainable construction methods, good working practices and environmental protection measures;
- through prioritising the movement of waste up the waste hierarchy, minimising greenhouse gas emissions by reducing reliance on landfill, maximising opportunities for the re-use and recycling of waste, facilitating new technologies to maximise the renewable energy potential of waste as a resource, and promoting the use of carbon capture technology; and
- delivering adequate capacity for managing waste more sustainably when it is needed; and ensuring waste is managed as near as possible to where it is produced.

In relation to waste, the plan is based on directing new waste facilities, including extensions, to areas in and around the County's main settlements (Lincoln, Boston, Grantham, Spalding, Bourne, Gainsborough, Louth, Skegness, Sleaford and Stamford) where the highest levels of waste are expected to be generated. The strategy does, however, recognise that some developments are likely to be developed outside these areas, including biological treatment of waste such as anaerobic digestion and open-air windrow composting.

The plan identifies, through the Site Locations document, locations for a range of new or extended waste management facilities to meet the predicted capacity gaps for waste arisings in the County for the period up to and including 2031. This will involve the building of waste management facilities for recycling and an energy from waste facility mainly for the management of Local Authority Collected Waste, and commercial & industrial waste. The plan identifies that facilities for the management of the county's Local Authority Collected Waste are already in place, with any future needs relating to replacement facilities. There is no requirement for further landfill facilities. The need for specialised thermal treatment and hazardous landfill would continue to be met by national facilities outside the county. The plan also safeguards waste management facilities from redevelopment to non-waste uses or from the encroachment of incompatible development.

The plan makes provision to meet the requirement for waste facilities through one site specifically allocated and safeguarded for waste development, and 16 areas (industrial areas) where waste uses are considered acceptable alongside other industrial and employment uses (providing flexibility and choice).

To sum up, the Lincolnshire MWLP provides the spatial context and locational criteria for new waste facilities covering all waste streams. Whilst it sets out the predicted requirement for new facilities, this is only indicative and is used to ensure that sufficient land is available for new waste facilities to meet the capacity gaps. In practise, the LMWLP has allocated far more land for future waste management than will be required in order to allow flexibility. The LWP will therefore need, particularly in considering the need for the development of new waste management facilities, to refer to the Lincolnshire MWLP.

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### **3.4 Relationship with Neighbouring Authorities**

Whilst each neighbouring authority was specifically contacted during our Public Consultation on this JMWMS, only a limited number of responses were received. These are shown in Appendix C.

Strong working relationships are required with our neighbouring authorities and, as highlighted by the response from North Lincolnshire Council, we will look for opportunities for joint infrastructure developments where this is mutually beneficial. In developing and implementing our Action Plan, we will seek to identify such opportunities.

We will also seek to continue dialogue with our neighbours once as the UK Government's transposition of the EU Circular Economy package becomes clearer, particularly through Defra's new Resources and Waste Strategy.

## 4 How has the strategy been developed?

### 4.1 Background

The previous Joint Municipal Waste Management Strategy for Lincolnshire was published in June 2008.

That Strategy was compiled by following Government guidance on waste management strategies and assessed in accordance with the ODPM guidance 'A Practical Guide to the Strategic Environmental Assessment Directive' (2005).

The Lincolnshire Waste Partnership has identified that a new joint waste strategy and a SEA are required.

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### 4.2 Development of a new waste strategy

The development of this new strategy has also made use of the 2005 guidance from the Office of the Deputy Prime Minister (ODPM). Although this is no longer available online, it is still generally considered to be the most relevant national guidance on the subject.

The guidance sets out three questions which should be answered in developing a Waste Strategy. We have addressed each of these questions as described below.

#### 4.2.1 "Where are we today?"

Chapter 5 summarises the services currently provided by each of the LWP authorities. It also includes an analysis of the quantities of each waste stream and material being handled, and a forecast of future waste quantities.

#### 4.2.2 "Where do we want to get to and when?"

The ODPM guidance describes this as "*the objectives for how waste will be managed more sustainably in the future*". Chapter 6 sets out the LWP's shared objectives, developed and agreed through a series of workshops and meetings early in the Strategy process. Chapter 6 also addresses the main challenges facing the LWP during the period covered by this Strategy.

#### 4.2.3 "What do we need to do to get there?"

Chapter 7 gives an overview of the actions identified by the Partnership as being needed to achieve the objectives of this Strategy. It essentially sets out a 'route map' showing how those objectives will be achieved.

The necessary actions have been set out in more detail in an Action Plan for the first year of the life of this Strategy. This includes details of:

- who will need to do what? and
- by when?

In order to ensure that the Action Plan continues to deliver in future years, a revised version will be produced annually. This will respond to any changes in the ongoing quantity and composition of waste, as well as to any other necessary factors.

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### 4.3 Strategic Environmental Assessment

The Department for Environment, Food & Rural Affairs' (Defra) "Guidance on Municipal Waste Management Strategies" states that "*as a minimum the Strategy should undergo a Strategic Environmental Assessment (SEA).*"

In general, SEA permits analysis of all draft Strategy provisions against a series of environmental objectives. The aim is to ensure the effects of the Strategy are positive with regard to the County's environmental features. Any significant adverse effects identified must be avoided, remedied or mitigated.

In view of this an SEA has been undertaken in parallel with the Strategy process, with both documents feeding into each other as appropriate. The SEA was completed in line with:

- Environmental Assessment of Plans and Programmes Regulations' (SI 2004/1633) 'SEA Regulations'
- Government Guidance on SEA and SA: <https://www.gov.uk/guidance/strategic-environmental-assessment-and-sustainability-appraisal>

This will include several stages of consultation, initially with statutory consultees (Natural England, Historic England and the Environment Agency) and then alongside public consultation on this Waste Strategy.

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### 4.4 Stakeholder Engagement

In addition to the statutory consultation for the SEA, the Defra guidance on Waste Strategies makes it clear that engaging with various stakeholders is vital to the development of an effective Strategy. Our Strategy process has involved this in a number of ways including the following.

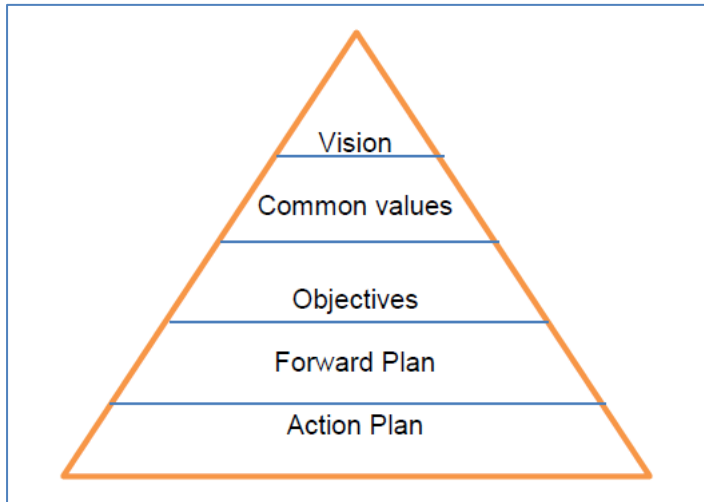
#### 4.4.1 LWP Authorities

The overall objectives and initial proposals for a way to work towards them were developed jointly by the eight authorities of the LWP. This was achieved by holding two workshop sessions in July 2017. Those sessions were facilitated by an independent chair in order to ensure that the views of all partners were captured and given an equal footing.

Full details of the workshops and their outputs can be seen in Appendix A.

Amongst other things, the workshops established an overall framework for how the format of the strategy would lead from the overarching "Vision" to specific practical actions in an "Action Plan".

**Figure 4-1 Overall structure of the Waste Strategy**



Further engagement with all LWP partners has continued throughout the Strategy process, including through regular LWP meetings, with many partners using formal scrutiny processes to assist in its development, and through formal adoption of the documents at the end.

#### **4.4.2 Public Consultation**

A draft version of the JMWMS was made available for a period of 90 days of public consultation between April and July 2018. This final version of the Strategy, and its accompanying Action Plan, reflect the feedback received from the consultation.

Full details of the results of the consultation process are shown in Appendix B of this Strategy.



## 5 Where are we today?

Before deciding what we want to achieve in the future, and of how we are going to do so, it is essential that we have a proper understanding of our current services and of what waste we are likely to need to deal with during the period covered by this Strategy.

This chapter provides a summary of the necessary baseline information including, as prescribed in Defra's 2005 JMWMS Practice Guide:

- An analysis of the nature and performance of existing services;
- The impact of any service changes already firmly planned (if any);
- Projections of future waste quantities; and
- The impact of changes in waste quantities on overall performance if no changes, other than those already firmly planned, are introduced.

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### 5.1 Demographics

Within the East Midlands Region, Lincolnshire is the largest county covering 592,075 hectares, and the fourth largest in England covering 5% of England.

The following information on the population of Lincolnshire all comes from the Lincolnshire Research Observatory website<sup>4</sup>.

As at the 2011 Census:

- Lincolnshire is a large and sparsely populated county. In England 18% of the population live in rural areas, that is in towns of less than 10,000 people, in villages, hamlets or isolated dwellings. In Lincolnshire the figure is 48%.
- Lincolnshire is home to 306,971 households. The average household is made up of 2.32 persons, similar to the figure of 2.27 for England as a whole.
- Lincolnshire has an ageing population with nearly 21% of its population being over 65 years of age compared to the England figure of just over 16%, with East Lindsey having the highest proportion at 26%.

The population of Lincolnshire grew by over 10% between 2001 and 2011, which is faster than the figure for England of just under 8%. As can be seen in Table 5-1, estimates indicate that Lincolnshire's population continues to grow faster than the national rate for England, by a further 5.3% between 2011 and 2017. Most of our WCA's saw growth between 5.2% and 6.0% (above the national average of 4.9%) during that same period, but it should be noted that population growth in East Lindsey was significantly lower (at 2.4%) and in North Kesteven was significantly higher (at 6.9%).

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<sup>4</sup> <http://www.research-lincs.org.uk/Population.aspx>

**Table 5-1 Population estimates**

Area	2011 Census	2017 Mid Year Estimate	Growth
Boston BC	64,637	68,500	6.0%
City of Lincoln	93,541	98,400	5.2%
East Lindsey DC	136,401	139,700	2.4%
North Kesteven DC	107,766	115,200	6.9%
South Holland DC	88,270	93,300	5.7%
South Kesteven DC	133,788	141,700	5.9%
West Lindsey DC	89,250	94,300	5.7%
<b>Lincolnshire</b>	<b>713,653</b>	<b>751,200</b>	<b>5.3%</b>
<b>England</b>	<b>53,012,456</b>	<b>55,619,400</b>	<b>4.9%</b>

Forecasts are that population growth for Lincolnshire going forwards (10% higher in 2041 than in 2017) will continue to be a little lower than the average for England. It should be noted, however, that this official estimate doesn't take into account specific housing developments, and the expectation is that the population will grow by more than this. Either way, these extra people are likely to produce a significant amount of additional waste which the LWP will need to collect and dispose of.

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## 5.2 Waste arisings

### 5.2.1 UK arisings summary

Defra's report "UK Statistics on Waste"<sup>5</sup> (published February 2018 included the following key points regarding the national situation in 2014:

- The UK generated 202.8 million tonnes of total waste in 2014.
- Over half of this (59%) was generated by construction, demolition and excavation.
- UK generation of commercial and industrial waste in 2014 was 41.9 million tonnes.
- Only 26.8 million tonnes, around 13% of the total, was "waste from households".

Clearly, household waste is a relatively small proportion of overall waste, and needs to be considered in the light of the wider picture.

### 5.2.2 Current Local Authority Collected Waste (LACW)

As a predominantly rural county, the largest waste stream in Lincolnshire comes from agricultural services which, according to the Waste Needs Assessment produce for the Lincolnshire Minerals and

<sup>5</sup> <https://www.gov.uk/government/statistics/uk-waste-data>

Waste Local Plan (Site Locations Document)<sup>6</sup>, represents some half of the total waste stream. In comparison, LACW represents around 10% of the total waste arisings in the county.

It should be noted that whilst the County Council is required to consider all waste streams in the development of its Minerals and Waste Local Plan, agricultural waste is largely dealt with at source rather than requiring the County Council's attention in its role as Waste Planning Authority. Furthermore, the Waste and Emissions Trading Act 2003<sup>7</sup> states in Section 32(1), in defining the duty to have a Joint Municipal Waste Management Strategy, that this Strategy should only cover the management of:

- (a) waste from households, and
- (b) other waste that, because of its nature or composition, is similar to waste from households.

Therefore this Strategy focuses on LACW, which can include waste from the following sources (as defined in the Controlled Waste Regulations 2012):

- Waste from households – This makes up the vast majority of LACW;
- Other "household waste" – e.g. From schools and hospitals;
- **Some** waste from commercial premises (such as shops, offices and restaurants); and
- **Some** waste from construction and demolition (C&D) activities.

Table 5-2 shows the breakdown of LACW across Lincolnshire, with 360,701 tonnes arising in 2017/18 of which around 96% is household waste.

**Table 5-2 Summary of Local Authority Collected Waste (LACW) in Lincolnshire 2017/18**

Sources: Collection (purple) = County Council Waste Data Management System; Disposal (orange) = Wastedataflow<sup>8</sup>

Waste Stream	2017/18 (Tonnes)	% of Total Waste Stream
Local Authority Collected Waste	360,701	
Waste collected at kerbside by WCA's	274,180	76% of LACW
Other waste collected by WCA's <sup>i</sup>	16,289	5% of LACW
Waste collected at HWRC's	69,500	19% of LACW
Other LACW <sup>ii</sup>	731	<1% of LACW
Total Household Waste collected <sup>iii</sup>	346,777	96% of LACW
Total Household Waste disposed of <sup>iii</sup>	346,329	
Household Waste reused, recycled or composted	150,553	44% of <b>Household Waste</b> Disposal
Household Waste sent for energy recovery	179,976	52% of <b>Household Waste</b> Disposal
Household Waste landfilled	13,151	4% of <b>Household Waste</b> Disposal

*i – Includes street sweepings, litter, bring banks, trade waste, etc.*

*ii – Largely consists of waste from charities for which the WDA provides disposal.*

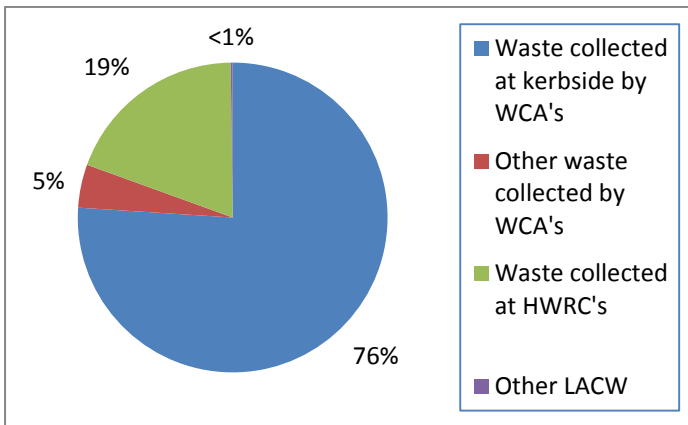
*iii – Totals collected and disposed of differ due to changes in stock levels at Waste Transfer Stations.*

<sup>6</sup> [http://uk.sitestat.com/lincolnshire/lincolnshire/s?Home.residents.environment-and-planning.planning-and-development.minerals-and-waste.site-locations-examination.131110.articleDownload.106584&ns\\_type=pdf&ns\\_url=https://www.lincolnshire.gov.uk//Download/106584](http://uk.sitestat.com/lincolnshire/lincolnshire/s?Home.residents.environment-and-planning.planning-and-development.minerals-and-waste.site-locations-examination.131110.articleDownload.106584&ns_type=pdf&ns_url=https://www.lincolnshire.gov.uk//Download/106584)

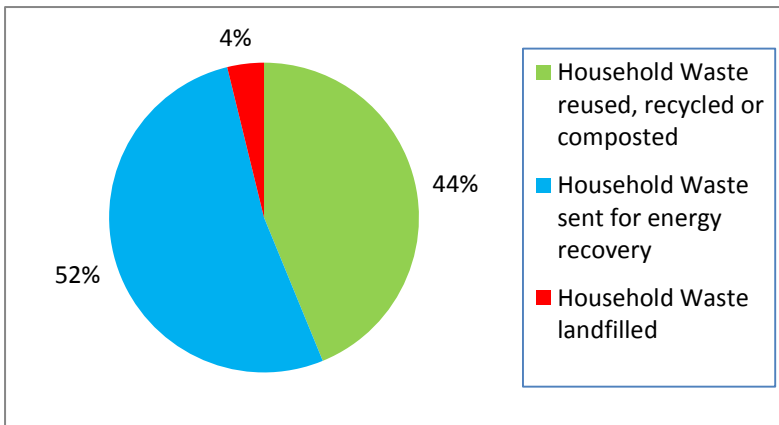
<sup>7</sup> <http://www.legislation.gov.uk/ukpga/2003/33/contents>

<sup>8</sup> <http://www.wastedataflow.org/>

**Figure 5-1 Sources of LACW in 2017/18**



**Figure 5-2 Destinations of Household Waste in 2017/18**



### 5.2.3 Waste growth

As was reported in the LWP's previous Waste Strategy, between 2000/01 and 2006/07 the total tonnage of Local Authority Collected Waste (LACW) in Lincolnshire rose by over 13%. Table 5-3 and Figure 5-3 below, however, show that we actually saw a fall in waste thereafter, with only one subsequent year (2016/17) seeing more waste generated than 2006/07.

**Table 5-3 Waste growth trends in Lincolnshire between 2007 and 2018**

Source: Wastedataflow<sup>9</sup>

Year	Municipal Waste (Tonnes)	% Change	Household Waste	% Change
2006/07	365,537		349,663	
2007/08	352,123	-3.67%	338,676	-3.14%
2008/09	359,798	+2.18%	348,280	+2.84%
2009/10	349,784	-2.78%	336,893	-3.27%
2010/11	355,209	+1.55%	341,886	+1.48%
2011/12	349,736	-1.54%	336,073	-1.70%
2012/13	345,232	-1.29%	335,028	-0.31%

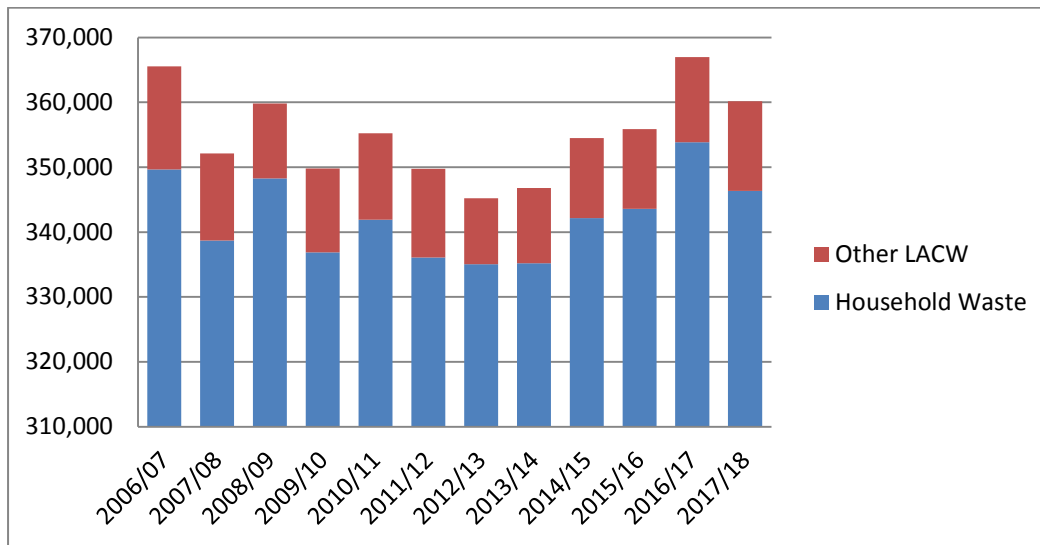
<sup>9</sup> <http://www.wastedataflow.org/>

## Waste Strategy for Lincolnshire

Year	Municipal Waste (Tonnes)	% Change	Household Waste	% Change
2013/14	346,795	+0.45%	335,216	+0.06%
2014/15	354,503	+2.22%	342,132	+2.06%
2015/16	355,849	+0.38%	343,574	+0.42%
2016/17	366,947	+3.12%	353,819	+2.98%
2017/18	360,155 <sup>i</sup>	-1.85%	346,329	-2.12%
Overall Change (since 2006/07)		-1.47%		-0.95%

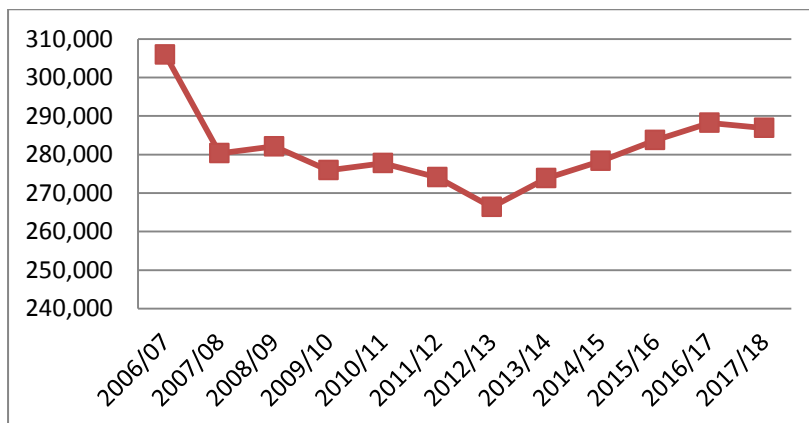
*i – The definition of Municipal Waste differs slightly from LACW, so this total is different to that in Table 5-2.*

**Figure 5-3 Annual Tonnage of LACW in Lincolnshire**



It should be noted that the total tonnage has been very erratic, making it difficult to predict any given year. However, closer analysis reveals that much of the variation is due to weather conditions on the quantity of green waste received for composting – e.g. Snow in March 2018 restricted early-Spring growth. Figure 5-4 shows the total tonnage excluding green waste.

**Figure 5-4 Annual Tonnage excluding Green Waste**



This shows a clearer trend from which conclusions can be drawn:

- Total tonnage fell for several years up to 2012/13, possibly due to the economic downturn making the public less likely to throw things away.
- There has been an upturn in recent years, possibly as the economy picks up again.

In view of the most recent upward trend, and ongoing population growth, it is forecast that LACW arisings will continue to grow. This is in line with the forecasts in the Waste Needs Assessment that accompanies the Lincolnshire Minerals and Waste Local Plan<sup>10</sup> which suggests that LACW tonnages will grow as shown in Table 5-4.

The forecasts consist of a two part assumption:

- 1) That the population will grow by 0.66% per annum; and
- 2) That each person will produce more waste each year.

Whilst the second part may seem a pessimistic assumption, particularly given the fall in waste in 2017/18, over the preceding four years (to 2016/17) waste growth *per person* was around 0.7% per annum.

**Table 5-4 LACW growth scenario from Lincolnshire Minerals and Waste Local Plan**

	2016 to 2020	2021 to 2031
<b>Population growth</b>	0.66% per annum	0.66% per annum
<b>Waste per head growth</b>	0.5% per annum	0.25% per annum
<b>Total Growth</b>	1.16% per annum	0.91% per annum

These increases are small for any given year, but would represent an increase of over 15% (around 50,000 tonnes of extra household waste) **in** 2031.

### 5.3 Waste composition

In order to assess the effectiveness of our current waste management services, it is crucial to identify the total quantities collected of each type of waste. Whilst this is relatively simple for separately-collected waste types (e.g. paper in bring banks), the full picture can only be seen by assessing the composition of streams of mixed waste including all of those listed below in Table 5-5.

Ideally, the composition of each of these streams should be identified through detailed analysis of representative samples of real waste which has been collected. However, to do this for all streams would be impractical, so their composition has been measured as shown in Table 5-5.

<sup>10</sup> [http://uk.sitestat.com/lincolnshire/lincolnshire/s?Home.residents.environment-and-planning.planning-and-development.minerals-and-waste.site-locations-examination.131110.articleDownload.106584&ns\\_type=pdf&ns\\_url=https://www.lincolnshire.gov.uk//Download/106584](http://uk.sitestat.com/lincolnshire/lincolnshire/s?Home.residents.environment-and-planning.planning-and-development.minerals-and-waste.site-locations-examination.131110.articleDownload.106584&ns_type=pdf&ns_url=https://www.lincolnshire.gov.uk//Download/106584)

**Table 5-5 Method of assessing composition of each mixed waste stream**

Waste stream	Composition assessed by
Kerbside-collected mixed dry recyclables	Regular sampling and analysis in line with Materials Recycling Facility (MRF) Code of Practice
Kerbside-collected residual/general waste	One-off sampling and analysis undertaken in September 2017
HWRC-collected residual/general waste	Use of Defra-compiled national average figures for HWRC residual waste (most recent available is for 2010/11)
Other streams of mixed waste (e.g. flytipping)	Use of Defra-compiled national average figures for the most appropriate category listed (most recent available is for 2010/11)
Separately-collected (e.g. paper in bring banks)	Composition is known as there is usually only one type of waste in each collection

**5.3.1 Kerbside-collected mixed dry recyclables (MDR)**

The composition of this waste stream is well known as the Materials Recycling Facility (MRF) Code of Practice requires our MRF contractor to undertake regular sampling and analysis of the material both going into and coming out of their sorting processes.

**Figure 5-5 Composition of MDR in 2017/18**

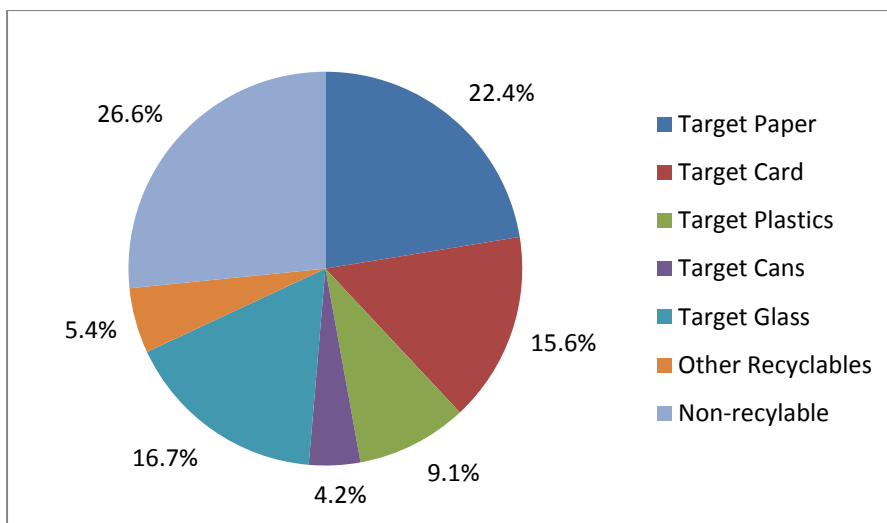


Figure 5-5 summarises the sampling data for 2017/18 and shows that of the total tonnage collected:

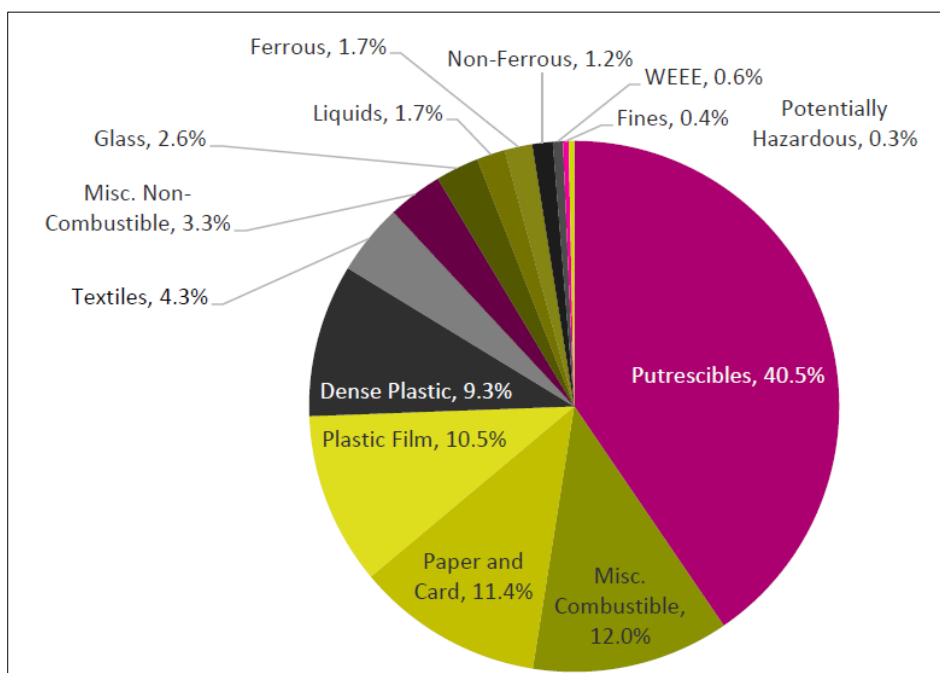
- Around 68% was "target" recyclables – This is what the LWP has asked the public to put into the kerbside recycling collections.
- Around 5% was other recyclables – Whilst not on the specified list, our current MRF contractor is able to recycle these as well. However, this may not be recyclable at all MRF's.
- Nearly 27% was not recyclable – This should not be in these collections, and is addressed in this Strategy.

### 5.3.2 Kerbside-collected residual/general waste

Since this one waste stream makes up around 40% of the total waste collected by the LWP, a sampling exercise was undertaken in September 2017 to establish what materials are contained in it. This involved using socio-economic data to identify an individual round in each WCA area which represented, as closely as possible, that Council's area as a whole. A random sample of waste from each of those seven rounds was then analysed.

Figure 5-6 shows collated data for the county as a whole. The percentages were calculated by multiplying the figures for each WCA by the total tonnage they collected in 2016/17 since those collecting a higher tonnage collect a higher proportion of the overall waste stream.

**Figure 5-6 Composition of Residual Waste in 2016/17**



Many of the categories listed are self-explanatory but the largest two are:

- "Putrescibles" = Mostly food waste
- "Misc. Combustible" = Mostly nappies and sanitary products

More detailed headlines from the sampling exercise were that the overall composition includes:

- Around 15% home-compostable food – e.g. Vegetable peelings;
- Around 13% other food – e.g. cooked food, meat and dairy products; and
- Nearly 20% materials which the LWP already collect at kerbside either for recycling or composting.

### 5.3.3 Overall composition

Combining data from all these individual waste streams, Table 5-6 summarises the calculated overall composition of the waste collected by each of the main methods during 2017/18. Table 5-6 also



shows the overall composition of all LACW in 2017/18, calculated by adding all the mixed-stream totals to the quantities of each waste type collected separately (e.g. from bring banks). For consistency, the waste type groups listed are those used in the 2017 kerbside residual waste sampling exercise.

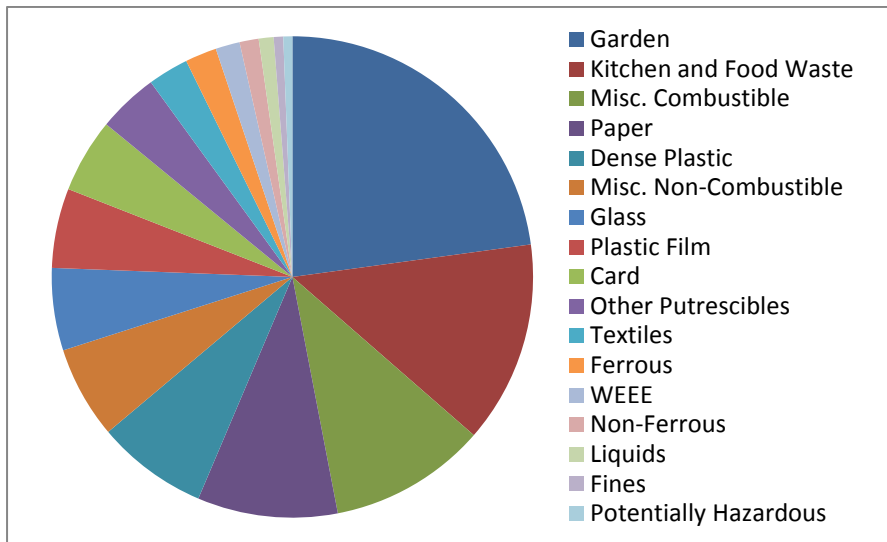
**Table 5-6 Tonnage of each waste type collected by each method in 2017/18**

	Kerbside Collections <sup>i</sup>	Household Waste Recycling Centres	Other Local Authority Collected Waste	TOTAL Local Authority Collected Waste	% of Local Authority Collected Waste
Card	15,276	2,103	574	17,953	5.0%
Paper	31,713	1,252	933	33,898	9.4%
Plastic Film	18,155	727	358	19,240	5.3%
Dense Plastic	22,636	3,790	504	26,930	7.5%
Textiles	7,299	1,946	602	9,847	2.7%
Glass	16,010	875	3,036	19,921	5.5%
Ferrous	4,993	2,444	189	7,626	2.1%
Non-Ferrous	3,468	1,009	148	4,624	1.3%
Misc. Combustible	19,999	17,197	831	38,028	10.6%
WEEE	1,034	4,707	114	5,856	1.6%
Potentially Hazardous	527	1,544	110	2,181	0.6%
Misc. Non-Combustible	5,621	13,416	3,279	22,316	6.2%
Kitchen and Food Waste	47,119	586	1,145	48,851	13.6%
Garden Waste	62,498	17,308	2,424	82,230	22.8%
Other Putrescibles	14,086	369	158	14,613	4.1%
Fines	598	226	1,473	2,298	0.6%
Liquids	2,903	0	691	3,593	1.0%
<b>TOTALS</b>	<b>273,934</b>	<b>69,500</b>	<b>16,570</b>	<b>360,005</b>	

*i – Includes collections of residual, recyclables and garden waste.*

Figure 5-7 shows the overall composition of LACW from 2017/18 with the waste types ordered from highest to lowest percentage.

**Figure 5-7 Overall composition of LACW in 2017/18**



Points to note regarding all the above data include that:

- Between them, kerbside collections and HWRC's account for around 95% of our LACW, so the composition of other streams hasn't been examined in detail.
- The largest waste type which is not currently collected for recycling or composting is kitchen and food waste. Details of the proportion of the total for each waste type (including what is collected mixed in with general waste) is currently recycled or composted is shown in Section 5.5.

## 5.4 Current Waste Management

The current waste management infrastructure needs to be reviewed to provide a baseline on which to develop the Waste Strategy. This review focuses on:

- Waste collection services
- Waste transfer and logistics
- Recycling and composting arrangements
- Treatment and disposal of residual waste
- Existing contracts for all of the above
- Service performance measures
- Current waste management costs

### 5.4.1 Waste Collection Services

Within Lincolnshire it is the district, borough and city councils (as WCA's) that have the responsibility to collect waste from households, and the County Council (the WDA) that has the responsibility to dispose of it, as well as to operate HWRCs.

**Kerbside collections – collections by/for WCAs**

Table 5-7 below provides a summary of the current kerbside collection services offered by each WCA.

All authorities that are using wheelie bins for their residual waste collection have a “no side waste policy” in place. This means that, apart from specific exceptions (e.g. just after Christmas), residents are not allowed to place other wastes (e.g. sacks) alongside their wheelie bins. South Holland operates a sack collection system and will collect side waste.

It should be noted that, as part of Defra's consistency agenda, WRAP are seeking to establish whether a national standard set of bin colours would help to make things clearer for the public and thus increase recycling rates<sup>11</sup>. In view of this, any consideration of a more standardised approach for Lincolnshire should take account of the feedback from that work. However, in the absence of any additional government funding, it is unlikely that bins will be replaced sooner than at the end of their natural lifetime.

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<sup>11</sup> <https://www.letsrecycle.com/news/latest-news/wrap-consults-on-national-colour-scheme-for-bins/>

**Table 5-7 Kerbside collection services offered by each Waste Collection Authority (WCA)**

The following indicates the service provided to the majority of households by each WCA. Colour shading shows the colour of bin provided for each service.

Unless otherwise stated, collections are provided using a wheelie bin and fortnightly/alternate weekly collections (AWC).

Waste Collection Authority	Residual Waste	Mixed Dry Recyclables	Green Waste
Boston Borough Council	AWC in 240 litre bins	AWC in 240 litre bins	AWC in 240 litre bins Charged service No service in Winter
City of Lincoln Council <sup>i</sup>	AWC in 240 litre bins	AWC in 240 litre bins	AWC in 240 litre bins Charged service
East Lindsey District Council	AWC in 180 litre bins (240 litre for larger families)	AWC in 240 litre bins	AWC in 240 litre bins Charged service Reduced service in Winter
North Kesteven District Council <sup>ii</sup>	AWC in 240 litre bins	AWC in 240 litre bins <sup>iii</sup>	AWC in 240 litre bins Charged service
South Holland District Council	Weekly collection in sacks	Weekly collection in sacks	AWC in 240 litre bins Charged service
South Kesteven District Council	AWC in 240 litre bins	AWC in 240 litre bins	AWC in 240 litre bins Charged service
West Lindsey District Council	AWC in 180 litre bins <sup>iv</sup> (240 litre for larger families)	AWC in 240 litre bins <sup>iv</sup>	AWC in 240 litre bins Charged service No service in Winter

*i – City of Lincoln have alternative arrangements for higher-density inner city areas, using 140 litre bins, communal bins or sacks as appropriate, some of which (mainly residual waste) are collected weekly.*

*ii – North Kesteven – Since 2009 new builds receive, as standard, a 180 litre bin for residual waste and a 360 litre bin for MDR.*

*iii – Black wheelie bin with green lid*

*iv – Around 2,000 WLDC terraced properties receive a weekly sack collection instead of wheelie bins*

**Table 5-8 Current Collection Contract Arrangements**

WCA	How collections are provided
Boston BC	Service provided in-house
City of Lincoln	Contract with Biffa
East Lindsey DC	Service provided in-house
North Kesteven DC	Service provided in-house
South Holland DC	Service provided in-house
South Kesteven DC	Service provided in-house
West Lindsey DC	Service provided in-house

Every household in every WCA area receives a residual waste collection. Table 5-9 summarises the number of households in each WCA area that are currently provided with kerbside recycling and green waste collections.

**Table 5-9 Households receiving recycling/green waste kerbside collection in 2017/18**

	Boston	East Lindsey	Lincoln	North Kesteven	South Holland	South Kesteven	West Lindsey
Dwelling Stock	29,360	68,060	45,220	50,270	40,070	63,050	42,660
Number of HH – dry recyclables	ALL	ALL	44,300	ALL	ALL	ALL	ALL
Number of HH – green waste <sup>i</sup>	7,648	29,053	16,355	30,800	3,155	28,324	39,660

*i – Green waste collection numbers are lower because they are a charged-for, opt-in service.*

### **Bring banks for recyclables – collections by/for WCAs**

Many of our WCAs currently operate a network of bring banks placed in various locations to receive recyclable material. The County Council either arranges and pays for the recycling of this material, or pays Recycling Credits to each WCA for it.

### **Bulky household waste – collections by/for WCAs**

Bulky waste falls outside the scope of the regular WCA kerbside collection service as these items are generally too large or too difficult to be handled by the normal means. The WCAs across the Partnership offer bulky waste collection on demand for item such as furniture, mattresses and large household appliances. Each district has its own policy on charging for these collections.

### **Commercial waste – collections by/for WCAs**

Currently Boston Borough Council, South Kesteven District Council and West Lindsey District Council operate collections of commercial waste from business premises, and other WCAs are considering doing so. The Strategy, through its ongoing Action Plans, should consider whether it would be appropriate to have a common policy.

### **Street cleansing – collections by/for WCAs**

Each WCA provides a regular service across their area. Busy places, such as shopping precincts and high streets usually have permanent cleaning staff or daily cleansing regimes. General waste such as litter is handled in the same way as other residual waste, but road grit from street sweepers is kept separate as the County Council has separate arrangements in place for the recycling of it.

### **Abandoned and end of life vehicles – collections by/for WCAs**

Abandoned vehicles that are on public land are removed in accordance with the relevant legislation by each district within its area, and then the County Council arranges for disposal where necessary.

### **Fly tipped waste – collections by/for WCAs**

Fly tipping is a serious national problem. As well as being unsightly, it can lead to serious pollution of the environment and harm to human health, and is costly to remove and dispose of correctly. Most fly tipped waste is handled in the same way as residual waste, and all WCAs have enforcement policies which inform the process by which offenders will be investigated and prosecuted.

### **Clinical waste – collections by/for WDA**

The Controlled Waste Regulations 2012 define this type of waste:

*“clinical waste” means waste from a healthcare activity (including veterinary healthcare) that—*

*(a) contains viable micro-organisms or their toxins which are known or reliably believed to cause disease in humans or other living organisms,*

*(b) contains or is contaminated with a medicine that contains a biologically active pharmaceutical agent, or*

*(c) is a sharp, or a body fluid or other biological material (including human and animal tissue) containing or contaminated with a dangerous substance within the meaning of Council Directive 67/548/EEC on the approximation of laws, regulations and administrative provisions relating to the classification, packaging and labelling of dangerous substances(b),*

*and waste of a similar nature from a non-healthcare activity.*

The WDA arranges for both the collection and disposal of waste in categories (a) and (b) above. The WCAs collect items in category c.

### **Household Waste Recycling Centres – collections by/for WDA**

The County Council operates 11 HWRCs across the county to which residents can bring their household waste. Tables 5-10 and 5-11 below summarises respectively:

- Table 5-10 – The location of and contractual arrangements for each HWRC; and
- Table 5-11 – The facilities provided at each HWRC.

**Table 5-10 HWRC Contractual and Operational Arrangements**

*Unless stated otherwise, opening hours are standardised as 09:00hrs to 16:00hrs Friday, Saturday, Sunday and Monday (closed Tuesday, Wednesday and Thursday).*

*NB – All sites are closed on 25<sup>th</sup> and 26<sup>th</sup> December and 1<sup>st</sup> January every year.*

Location	Site Ownership	Operated by	Opening hours
<b>Lincoln HWRC</b> Great Northern Terrace LN5 8LG	County Council	Carl Drury Ltd.	09:00hrs to 16:00hrs 7 days a week
<b>Boston HWRC</b> Bittern Way PE21 7RQ	County Council	Carl Drury Ltd.	09:00hrs to 16:00hrs 7 days a week
<b>Spalding HWRC</b> West Marsh Rd PE11 2BB	County Council	Carl Drury Ltd.	<b>Summer</b> <b>(1st April to 31st October)</b> 08:00hrs to 16:00hrs 7 days a week. <b>Winter</b> <b>(1st November to 31st March)</b> 08:00hrs to 16:00hrs Friday, Saturday, Sunday and Monday.
<b>Gainsborough HWRC</b> Long Wood Road, Corringham Road Ind Est, Gainsborough, DN21 1QB	County Council	Carl Drury Ltd.	Standard (09:00hrs to 16:00hrs Friday, Saturday, Sunday and Monday)
<b>The Rasens HWRC</b> Gallamore Lane Industrial Estate, Gallamore Lane, Middle Rasen, LN8 3HA	County Council	Carl Drury Ltd.	Standard
<b>Bourne HWRC</b> South Fen Road PE10 0DN	County Council	Recycle It Wright Ltd.	Standard
<b>Grantham HWRC</b> Mowbeck Way NG31 7AS	County Council	Recycle It Wright Ltd.	Standard
<b>Sleaford HWRC</b> Pride Parkway NG34 8GL	County Council	Recycle It Wright Ltd.	Standard
<b>Louth HWRC</b> Bolingbroke Road LN11 0WA	County Council	Sid Dennis & Sons Ltd.	Standard
<b>Skegness HWRC</b> Warth Lane PE25 2JS	County Council	Sid Dennis & Sons Ltd.	Standard
<b>Kirkby on Bain HWRC</b> Tattershall Road LN10 6YN	FCC Environment	FCC Environment	Standard

Table 5-11 – Materials accepted at Household Waste Recycling Centres as of April 2018

HWRC Site	Residual waste	Green	Wood	Plastics	Paper	Cardboard	Mattresses	WEEE	Books & CDs	Textiles	Household Chemicals	Glass bottles/jars	Cooking Oil	Mineral Oil	Lead Acid Batteries	Household batteries	Plasterboard	Soil	Rubble	Pressurised Gas Cylinders <sup>1</sup>	Scrap Metal	Re-use
Bourne	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Boston	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Gainsborough	x	x	x	x	x	x	x	x	x	x	x	x	x	x	ii	x	x	x	x	x <sup>1</sup>	x	x
Grantham	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Kirkby on Bain	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Lincoln	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Louth	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Rasens	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Skegness	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Sleaford	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x
Spalding	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x <sup>1</sup>	x	x

An "x" indicates that the stated waste stream is collected separately at the stated HWRC.

- i) Gas cylinders are accepted where necessary, but should ideally be returned to a gas supplier, particularly as a deposit refund is sometimes available.
- ii) Lead acid batteries are no longer accepted at Gainsborough due to repeated security issues. Residents are recommended to contact a scrap dealer.



### 5.4.2 Waste Transfer and Logistics

Some waste streams are delivered directly to an appropriate treatment or disposal site. For the majority of waste streams, LCC provides a number of Waste Transfer Stations (WTSs) to receive waste both from WCA collections and from HWRCs, enabling the waste to be bulked up for transportation to centralised destinations.

Some WCAs use more than one WTS depending on where waste is collected and/or what type of waste it is. Likewise, many of these WTSs receive waste from more than one WCA or HWRC.

#### WTSs operated by Lincolnshire County Council

The WDA directly operates a network of five WTSs around the County. Table 5-12 shows the location of each WTS, as well as the tonnage of each type of waste received at each site.

The WDA lets contracts for the transportation of waste from each WTS to the appropriate destinations.

**Table 5-12 Location and 2017/18 tonnage throughput for WDA WTSs**

Location	Residual Waste (Tonnes)	Mixed Dry Recyclables (Tonnes)	Road Grit (Tonnes)	Other (Tonnes)	TOTAL (Tonnes)
<b>Boston WTS</b> Slippery Gowt Lane PE21 7AA	42,722	7,423	986		51,131
<b>Gainsborough WTS</b> Marshall Lane DN21 1GD	15,697	8,162	1,652		25,512
<b>Grantham WTS</b> Occupation Road NG32 2BP	28,376	13,086	1,305		42,767
<b>Louth WTS</b> Bolingbroke Road LN11 0WA	31,471	10,982	1,733	Glass = 622Te Mattresses <sup>i</sup> = 1Te	44,809
<b>Sleaford WTS</b> Pride Parkway NG34 8GL	14,428	5,652	954	Mattresses <sup>i</sup> = 26Te	21,060

*i – Mattresses are often delivered in in loads of mixed residual waste. This is the weight of mattresses which were delivered (and weighed) separately.*

#### Other WTSs used by the Lincolnshire Waste Partnership

Arrangements are in place for the use of several other WTSs owned and operated by third parties. Details are shown in Table 5-13.

**Table 5-13 Location and 2017/18 tonnage throughput for third party WTSs**

Location	Operator	Arranged by	Mixed Dry Recyclables (Tonnes)	Green Waste (Tonnes)
<b>Hykeham</b>	Mid UK Recycling	Lincs CC	13,600	
<b>Market Deeping</b>	Mid UK Recycling	Lincs CC	10,500	2,600
<b>Boston</b>	Mick George	Boston BC		4,200

### 5.4.3 Recycling and composting arrangements

#### Green waste

There is generally no need for the use of WTSs for green waste as, both from kerbside collections and from HWRCs, it is sent directly to a network of composting facilities across the county under contracts operated by the County Council. In 2017/18 72,619 tonnes of green waste was sent to these facilities, which are identified in Table 5-14.

**Table 5-14 Current Composting Facilities**

Composting operator	Location(s)
Clarkeson Recycling	Riby
Greenaway	Alford
Land Network (Gainsborough)	Sturgate
Land Network (Melton)	Melton Mowbray
Land Network (N.E.Lincs)	South Elkington
Material Change	Crowland
MEC Recycling	Swinderby / Saxilby
Mid UK Recycling	Caythorpe / Colsterworth

#### Mixed dry recycling

All the WCAs operate a kerbside collection of mixed dry recyclables (MDR) which includes a wide range of materials. Historically each WCA has accepted a different mix of materials but the Partnership has identified that it would like to move towards a more standardised recyclable stream where possible. The benefits of such standardised collections include:

- Making the service easier to understand and thus, in line with our strategic vision, more "customer friendly"; and
- Acting in line with the government's "consistency" agenda which seeks to reduce the number of different recycling systems in place across the UK.

As part of the implementation of this JMWMS, the LWP will be working together towards this aim. At the time of writing, discussions are progressing well towards agreement on a common recycling mix. Once agreed, any changes will be publicised through a unified communications campaign using a wide range of methods and media.

In September 2018 the LWP agreed to focus on those materials which should not be deposited in recycling collections. These materials will never be part of the recycling mix, and thus can be the

subject of communications regardless of any future changes to that mix. Figure 5-7 shows the publicity to be used, in most areas as stickers to go onto recycling bins.

Figure 5-7 "No Thanks" bin sticker



The County Council has a contract for the processing of this MDR at Materials Recycling Facilities (MRF's) located in the county. Once collected, each WCA delivers their MDR either to one or more of the WTS's provided by the County Council, or directly to the MRF contractor.

#### Other dry recycling

Separately-collected recyclables from WCA bring banks and from HWRC's go to a number of different destinations under a variety of different arrangements.

#### 5.4.4 Treatment and disposal of residual waste

The LWP's 2008 Waste Strategy included two Objectives which focussed on residual waste:

Objective 5 – To increase progressively the recovery and diversion of biodegradable waste from landfill, to meet and exceed the Landfill Directive diversion targets.

Objective 6 – To ensure that residual waste treatment supports energy recovery and other practices higher up the waste hierarchy.

In line with these objectives we have, during the lifetime of that Strategy, moved almost entirely from sending residual waste to landfill to using the new Energy from Waste facility at Hykeham. Indeed, we have done this so successfully that the majority of landfill sites in Lincolnshire either have already closed or are likely to close in the near future. Further information regarding this is shown in Table 5-15.

**Table 5-15 Residual Waste Contracts 2017**

Site Type	Site	Operator	2016/17 Input by LWP (Tonnes)	Contract Details
Energy from Waste	Hykeham	FCC Environment	162,716	Ends 2039
Landfill	Colsterworth	FCC Environment	6,738	Closing 2018
Landfill	Kirkby on Bain	FCC Environment	5,511 <sup>i</sup>	Final cell, and will close once filled
Landfill	Leadenham	FCC Environment	0	Site mothballed Reopening in 2018
Landfill	Whisby	FCC Environment	0	Site mothballed Future use to be determined

*i – Includes around 1,400 tonnes of rubble from HWRCs.*

Given the limited future availability of landfill, the high cost of landfill tax, and that landfill sits at the bottom of the Waste Hierarchy, it seems sensible that the LWP aspires in the long term to send zero waste to landfill.

This aspiration, and the fact that the Hykeham EfW does not have the capacity to process the forecasted quantities of residual waste, are reflected in one of our key objectives:

<b>Objective 8.</b>	To make an objective assessment of what further waste processing/disposal capacity is required and, as necessary, seek to secure appropriate capacity.
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## 5.5 Service performance measures

Whilst the statutory reporting of National Indicators was removed in 2011, the percentage of household waste sent for reuse, recycling or composting (former NI 192) remains a generally accepted headline measure of the performance of local authority waste and recycling services.

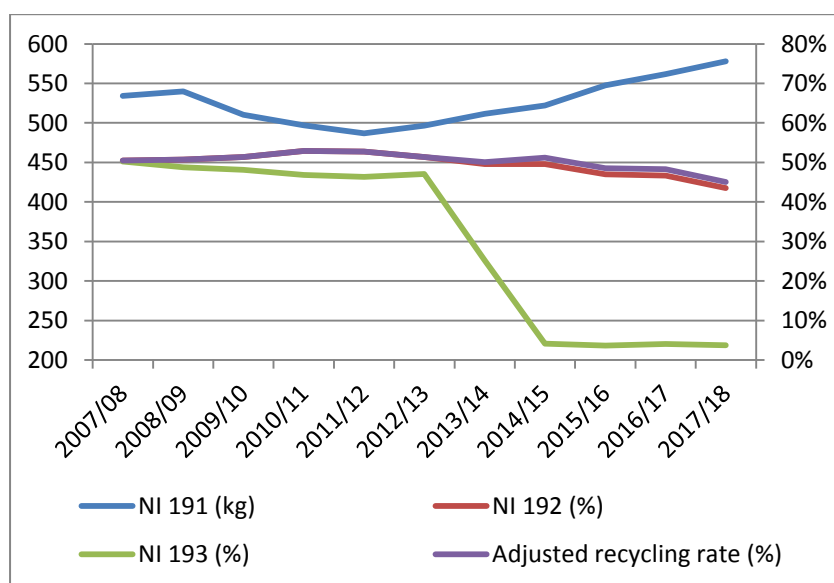
Table 5-16, and the accompanying Figure 5-9, show the County Council's (and thus the LWP's) overall performance against all three of the waste-related former National Indicators:

- NI 191 = Residual Household Waste per Household
- NI 192 = Percentage Household Waste sent for Reuse, Recycling or Composting
- NI 193 = Percentage of Municipal Waste Sent To Landfill

**Table 5-16 National Indicator (NI) performance since 2007/08**

	2007/08		2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18
NI191: Residual Household Waste kg per Household	534.1		496.8	486.7	496.7	511.4	522.0	547.6	561.9	578.0
NI192: % HH waste sent for Reuse, Recycling or Composting	50.5		52.9	52.8	51.3	49.6	49.6	47.0	46.7	43.5
NI193: % Municipal Waste Sent To Landfill	50.2		46.8	46.4	47.1	25.2	4.1	3.6	4.0	3.8

**Figure 5-9 National Indicator (NI) performance since 2007/08**



In addition to the three National Indicators, Figure 5-9 also shows an additional measure for recycling performance. Defra have recently announced that the overall UK recycling rate (as reported to the EU) will be measured in a different way. In line with practice in a number of other EU nations, the national rate will include metals recycled from Incinerator Bottom Ash (IBA) such as that generated at our EfW facility. Since this is the basis on which the UK's performance will be measured against the EU target of 50% recycling by 2020, it seems appropriate to record the LWP's performance on the same basis in addition to the official NI192 rate.

Table 5-17 shows this higher recycling percentage alongside our official performance. It should be noted that our recycling rate on that basis would have been around 1.5% higher each year since our EfW facility opened in 2013.

**Table 5-17 Increased recycling performance by inclusion of metals recycled from EfW ash**

	2007/08		2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18
NI192: Percentage HH waste sent for Reuse, Recycling or Composting	50.5%		52.9%	52.8%	51.3%	49.6%	49.6%	47.0%	46.7%	43.5%
Adjusted recycling rate (including metals from EfW ash)	50.5%		52.9%	52.8%	51.3%	50.0%	51.2%	48.5%	48.3%	45.0%

### 5.5.1 Quantity of residual waste (NI191)

Following the introduction of our 2008 Strategy, the weight of residual (non-recycled) waste produced by each household fell significantly. Indeed, the 486.7kg per household which we achieved in 2011/12 was equivalent to 225.8kg per head, which was well on target for achieving our 2008 Waste Strategy Objective of 225kg per head by 2020.

Unfortunately this downward trend ended at that point and we have seen a steady increase to a level even higher than in 2008, with the present figure of 578kg equating to around 261kg per head of residual waste. Although the fall and subsequent rise may partly be a result of the global economic downturn (people buy less and thus throw away less when times are financially difficult) and the subsequent recovery, this is a trend that needs reversing.

**Table 5-18 Residual and total waste vs recycling rate in 2017/18**

	<b>Residual household waste per household (NI191)</b>	<b>Total household waste collected per person (BV84)</b>	<b>Household waste reused, recycled or composted (NI192)</b>
Boston BC	597kg	395kg	35.2%
City of Lincoln	507kg	359kg	35.1%
East Lindsey DC	456kg	384kg	42.1%
North Kesteven DC	521kg	405kg	43.9%
South Holland DC	562kg	331kg	27.2%
South Kesteven DC	506kg	381kg	40.9%
West Lindsey DC	514kg	430kg	46.0%
<b>LWP Total (WCA's + HWRC's)<sup>i</sup></b>	<b>578kg</b>	<b>461kg</b>	<b>43.5%</b>
<i>2016/17 LWP Total</i>	<i>562kg</i>	<i>478kg</i>	<i>46.7%</i>

*i – The LWP total weight is higher than that for the individual WCA's as each WCA figure doesn't include waste collected from their residents at County Council HWRC's.*

It is interesting to note that the two WCA's with the lowest overall recycling rate also have the lowest total waste per person, particularly since the Waste Hierarchy (see section 2.2.1 for details) makes it clear that waste prevention should have a higher priority than recycling.

### 5.5.2 Recycling performance (NI192)

It is clear from the above data that the LWP's headline recycling rate has been in slow decline since a peak of 52.9% in 2010/11. This fall in recycling has been accompanied by an increase in the quantity of residual waste to be disposed of.

Table 5-19 shows the recycling and composting performance of each Waste Collection Authority and across the HWRC network during 2017/18.

**Table 5-19 Recycling and composting performance in 2017/18**

	Household waste reused, recycled or composted (NI192)	Household waste recycled (BV82a)	Household waste composted (BV82b)
Boston BC	35.2%	19.6%	15.6%
City of Lincoln	35.1%	19.1%	16.1%
East Lindsey DC	42.1%	20.1%	22.0%
North Kesteven DC	43.9%	19.1%	24.9%
South Holland DC	27.2%	22.0%	5.2%
South Kesteven DC	40.9%	22.4%	18.5%
West Lindsey DC	46.0%	18.1%	27.8%
<b>LWP Total (WCA's + HWRC's)<sup>i</sup></b>	<b>43.5%</b>	<b>22.2%</b>	<b>21.2%</b>
<i>2016/17 LWP Total</i>	<i>46.7%</i>	<i>24.4%</i>	<i>22.3%</i>

*i – The overall LWP recycling performance is higher than that for most of the individual WCA's as each WCA figure doesn't include waste recycled by their residents at County Council HWRC's.*

The headline figure of 43.5% for the LWP as a whole shows a considerable fall compared to the 2016/17 figure of 46.7%. Two factors have particularly contributed to this fall:

- Composting – Around 5,000 tonnes less garden waste was presented to us. Since we received some 7,000 tonnes less waste in all, it seems possible that weather conditions have generated less garden growth. This is not unprecedented, but the extra composting could have boosted our recycling rate by around 0.8%.
- Recycling – Compositional analysis shows that we continue to see an increased amount of non-recyclable waste presented in our collections of Mixed Dry Recyclables. This is combined with a fall of over 2,500 tonnes in the total quantity presented in those collections.

Whilst the Government no longer sets targets for individual authorities, it should be noted that the UK is currently committed to meeting the EU recycling targets including 50% by 2020 and 65% by 2035. However, there are uncertainties over this as:

- The impact of the UK's exit from the EU is unclear at the time of writing, although it would currently appear that the UK will retain this overall target in some form; and

- Four different calculation methods are available to EU members, and none of these matches exactly with the UK's former NI 192. At least one of the alternatives could significantly improve the headline recycling rate for the LWP as shown in Figure 5-9 and described beneath it.

### 5.5.3 Landfilling performance (NI193)

The main success story during the period of the previous Waste Strategy has been in the way in which we dispose of residual waste, with the percentage of Municipal Waste sent to landfill (NI 193) falling from over 50% in 2007/08 to under 4% in 2017/18. This has been driven by:

- The LWP's commitment to move waste further up the EU Waste Hierarchy; and
- The need to reduce the County Council's annual spend on Landfill Tax.

This success has been achieved through two major initiatives:

- 1) The opening of the new Energy from Waste facility in Hykeham. This now diverts over 150,000 tonnes per annum from landfill, and thus moves it up the Waste Hierarchy from "disposal" to "recovery". The facility has recently received Planning Permission to increase capacity to 170,000 tonnes per annum.
- 2) The recycling of road grit. This diverts around 4,000 tonnes per annum from "disposal" to "recycling".

### 5.5.4 Recycling capture rate for each waste type

One way to identify areas in which recycling performance can be improved is to consider the proportion of the total quantity collected of each material (as listed in section 5.3.3, Table 5-6) which is captured for recycling. This is shown below in table 5-20.

**Table 5-20 Recycling capture rate for each waste stream in 2017/18**

Key

*Green = Above 70%*

*Yellow = Above 50%*

*Red = Below 20%*

	TOTAL Local Authority Collected Waste	Tonnage Reused, Recycled or Composted	Percentage Reused, Recycled or Composted
Card	17,953	12,325	68.7%
Paper	33,898	17,740	52.3%
Plastic Film	19,240	580	3.0%
Dense Plastic	26,930	8,145	30.2%
Textiles	9,847	1,025	10.4%
Glass	19,921	14,528	72.9%
Ferrous	7,626	4,322	56.7%
Non-Ferrous	4,624	2,284	49.4%



	TOTAL Local Authority Collected Waste	Tonnage Reused, Recycled or Composted	Percentage Reused, Recycled or Composted
Misc. Combustible	38,028	10,220	26.9%
WEEE	5,856	4,419	75.5%
Potentially Hazardous	2,181	1,035	47.5%
Misc. Non-Combustible	22,316	14,419	64.6%
Food	48,851	0	0.0%
Garden	82,230	72,619	88.3%
Other Putrescibles	14,613	0	0.0%
Fines	2,298	0	0.0%
Liquids	3,593	0	0.0%
TOTALS	360,005	163,661	

The capture rate for WEEE (electricals), glass and garden waste exceeds 70%. Several other streams exceed 50% recycling: paper, card, ferrous metals, and "miscellaneous non-combustible" (which includes soil and rubble from HWRC's).

At the other end of the spectrum, for those streams marked in red, the capture rate is less than 20%. Whilst some of these streams are, by definition, unlikely to be recyclable (e.g. "fines" are particles of waste which are too small to be identified), other streams show room for considerable improvement – e.g. food waste and textiles.

### 5.5.5 Other ways to measure environmental performance

It is important to note that, in developing this Strategy, a key task has been to reassess whether the former National Indicators represent the best way to measure the performance of the LWP. This review will be included in the Action Plan to accompany this Strategy document, and reflects the need to measure our success in meeting the objectives chosen by the Partnership.

## 5.6 Current waste management costs

In addition to measuring environmental performance, it is essential to measure how well we are meeting the challenges of diminishing budgets.

To enable comparison with historical costs, the costs of waste management in 2017/18 outlined in Table 5-21 are the totals of those formerly reported by each LWP authority as part of the Best Value Performance Indicator regime – BV86 for WCAs and BV87 for WDAs. The table also shows the equivalent 2006/07 cost per household which was included in the 2008 Strategy.

**Table 5-21 Costs of waste collection and disposal for 2017/18**

	Collection Costs (Total across all LWP WCA's)			Disposal Costs		
	Number of Households	Overall cost of collection	£/ HH	Municipal Waste (Tonnes)	Overall cost of disposal	£/ tonne
2006/07	308,931	£15,718,152	£50.88	365,537	£17,270,000	£47.25
2017/18	338,690	£14,879,176	£43.93	360,155	£18,774,000	£52.13

Despite increases in costs due to inflation and other factors, such as fuel tax, we have managed to achieve sufficient efficiency savings to reduce the overall cost of waste collection.

Disposal costs have risen a little overall, but considerable savings have been achieved compared to where we might have been, particularly had we continued to send large quantities of waste to landfill, for which Landfill Tax has increased significantly from £21 per tonne in 2006/07 to over £86 in 2017/18.

## 6 What are we aiming for?

The Partnership has made significant strides forwards during the lifetime of the previous Strategy, particularly in the development of an energy from waste facility to divert non-recycled waste away from landfill. This chapter identifies the challenges faced by the Partnership, currently and over the next few years, and the proposed approach to meeting these challenges.

### 6.1 Strategic objectives

In preparing this JMWMS, the LWP held two workshops to identify their overarching vision and objectives. Details of the process are included in Appendix A.

As a result, and as identified at the beginning of this document, the Partnership has the vision:

***“To seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire.”***

89% of responses to the public consultation either agreed or strongly agreed with this vision, and a number of comments were received in support of the combined focus on value for money, care for the environment and customer-friendly services.

Opinion was divided as to whether the first priority should be money or the environment. In view of that, the LWP have clarified that they will be seeking **the best environmental option which can be afforded**.

In order to work towards this vision, the Partnership have developed and agreed a set of high-level objectives, which are key drivers for the delivery of this strategy. In line with the vision, each of these objectives is to be considered in the light of the Partnership’s shared values that:

***All Objectives should ensure that services provided under the JMWMS represent the best possible environmental option which gives value for money for Lincolnshire residents.***

The ten objectives, generated at the July 2017 workshops and, where stated, refined through the consultation feedback, are as follows:

<b>Objective 1.</b>	<b>To improve the quality and therefore commercial value of our recycling stream.</b>
This ties in with the EU and UK government commitments to move away from a "make, use, dispose" model towards a more circular economy.	
<b>Objective 2.</b>	<b>To move towards a common set of recycling materials.</b>
The UK government have expressed the view that the large number of different systems cause public confusion, and thus hamper people's ability to put the right things into recycling collections. <b>Consultation:</b> <i>This received considerable support and, in the light of feedback received, it has been strengthened by the removal of the word "consider".</i>	

<b>Objective 3.</b>	<b>To consider the introduction of separate food waste collections where technically, environmentally and economically practicable.</b>
<p>The EU and UK government support food waste collections.  <b>Consultation:</b> Responses were divided as to whether this was a good idea. Supporters pointed out the environmental benefits, whilst others raised practical issues. The addition of "where practicable" allows for these concerns to be addressed, including through the undertaking of trial collections.</p>	
<b>Objective 4.</b>	<b>To explore new opportunities of promoting waste minimisation and of using all waste as a resource in accordance with the waste hierarchy.</b>
<p>The waste hierarchy remains a key driver. This "promoting" will include both communicating with the public and lobbying of government and manufacturers for changes to the wider picture.  <b>Consultation:</b> In line with responses, specific reference is now made to waste minimisation.</p>	
<b>Objective 5.</b>	<b>To contribute to the UK recycling targets of 50% by 2020 and 55% by 2025.</b>
<p>Whilst it could be argued that recycling rate is not a true reflection of environmental performance, it remains the headline measure both at UK and at EU level.  <b>Update:</b> The EU Circular Economy Package has introduced longer-term targets and we will need to respond to how these are featured in Defra's new Resources and Waste Strategy.</p>	
<b>Objective 6.</b>	<b>To find the most appropriate ways to measure our environmental performance, and set appropriate targets.</b>
<p>This will allow us to set targets which address progress towards our objectives rather than just chasing targets for their own sake.</p>	
<b>Objective 7.</b>	<b>To seek to reduce our carbon footprint.</b>
<p>This is a key way to measure the overall environmental impact of the services which we provide.  <b>Consultation:</b> This was strongly supported, particularly if it allows us to measure the impact of transportation.</p>	
<b>Objective 8.</b>	<b>To make an objective assessment of what further waste processing/disposal capacity is required and, as necessary, secure appropriate capacity.</b>
<p>Forecasts are that we will continue to see considerable waste growth, and we need to ensure we have sufficient capacity to handle it in the best way possible.  <b>Consultation:</b> In line with feedback, this has been expanded to include all waste streams rather than just residual (i.e. non-recycled) waste.</p>	
<b>Objective 9.</b>	<b>To regularly review the LWP governance model in order to provide the best opportunity to bring closer integration and the implementation of the objectives set by the strategy.</b>
<p>Whilst the LWP consists of a number of separate authorities, it is essential that we seek ways to work together to achieve the best outcomes for the people of Lincolnshire as a whole.</p>	
<b>Objective 10.</b>	<b>To consider appropriate innovative solutions in the delivery of our waste management services.</b>
<p>It is important not to be held back by sticking with existing practices where something new could improve things.</p>	

## 6.2 The challenges we face

Whilst the move from landfill to energy from waste as the main route for disposal of non-recycled waste has largely overcome the largest challenge identified in our previous Strategy, a number of key issues remain.

The landscape is uncertain as it is unclear what direction the Government's Waste and Resources Strategy, and resulting policy, will take as the UK leaves the European Union, but it seems clear that we will need to address falling recycling rates and increasing waste arisings.

### 6.2.1 Falling recycling rates in Lincolnshire

As indicated in Chapter 5, the Lincolnshire County Council recycling rate (which covers the LWP as a whole) has fallen in recent years from a peak of 52.9% in 2010/11 to 43.7% in 2017/18.

Whilst the overall tonnage collected from kerbside recycling bins has remained relatively stable, we have seen a rise in the percentage of that material which is **not** recyclable. In 2017/18 over a quarter couldn't be recycled, and this continues to rise still further. This includes some recyclables which had been damaged by those non-recyclable wastes – e.g. Paper made wet and dirty by food waste – a situation made worse by more stringent MRF regulation and an increasing emphasis on material quality worldwide.

### 6.2.2 The national and international picture

Defra statistics<sup>12</sup> show that the rate of recycling of waste from UK households has stalled. A small rise in 2016 followed a fall in 2015, meaning that the 2016 rate of 45.2% was very similar to that of 44.9% in 2014.

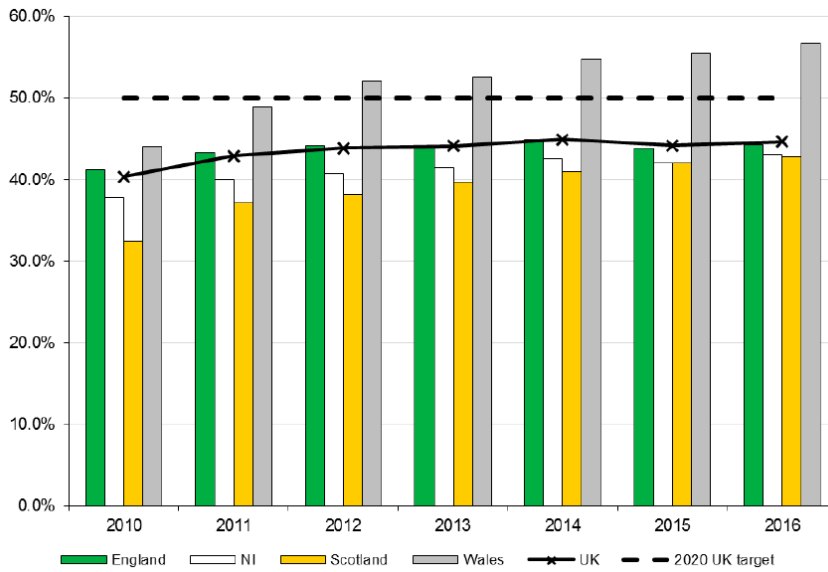
As shown in Figure 6-1, this stalling follows a number of years of growth. It is also interesting to note that the recycling rate for Wales is considerably higher than that in England, and that in Wales things operate very differently, including:

- There is a different method of financing waste management;
- All councils offer separate food waste collections; and
- Some authorities operate three or even four weekly residual waste collections.

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<sup>12</sup> <https://www.gov.uk/government/statistics/uk-waste-data>

**Figure 6-1 Defra chart showing data on recycling from UK households**



This issue is made more complex by uncertainty over what recycling rate we should be seeking to achieve. Our current national target is the EU target of 50% recycling of waste from households by 2020. Beyond that, the EU Circular Economy Package sets targets rising to 65% in 2035. The interim targets are set out in section 3.1.2 of this Strategy.

Following the UK decision to exit the EU, the UK Government seem inclined to retain existing EU-related legislation, but it is unclear whether the 2035 target will apply to the UK. Furthermore, a UK-wide target is not currently binding on individual local authorities.

A further complication is that, as described in section 5.5, the UK's national performance is measured (and reported to the EU) on a different basis to the official recycling rate attributed to individual UK councils and thus to the LWP. Although the LWP has joined in lobbying for this to be rectified, there is no indication that a change is imminent.

### 6.2.3 Growth in waste arisings

As described in Chapter 5, each year usually sees growth in the tonnage of waste for which the LWP is responsible. There are two reasons for this increase:

- Population growth – Lincolnshire’s population grew by more than 5% between 2011 and 2017. See section 5.1 for further details.
- Weight of waste per person – Whilst this stabilised somewhat during the economic downturn, there is concern that this will now resume its historical upwards trend.

This is a particular concern given that our Energy from Waste facility is already operating at close to full capacity and, without a new processing route, any additional residual waste would have to be sent to landfill.

## 7 How will we get there? – Our "Forward Plan"

In order to deliver the aims and objectives to which the Partnership aspires (see earlier chapters), it is essential that work undertaken by each partner organisation is focussed on actions which will further the objectives as set out in this Strategy.

This work is summarised in an Action Plan, the initial version of which has been developed alongside the preparation of this main Strategy document and is included herewith as Appendix D. Once adopted, the Action Plan will be reviewed on a regular basis (see Chapter 8) to ensure that it remains up to date for the lifetime of the Strategy, with additional actions added as work programmes are developed.

This chapter summarises the key themes which will shape our work together over the next few years, and these will guide the ongoing development of our Action Plan. In order to ensure that the LWP's efforts are focussed in the right direction, this chapter includes a table showing the links identified between each theme and each of our strategic objectives.

Also included here is information regarding the key workstreams identified for the initial Action Plan.

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### 7.1 Seeing the wider picture

It is crucial that each LWP partner authority is proactive in seeking to consider their actions in as broad a context as possible. This will feature a number of diverse elements including those shown below.

#### 7.1.1 Developing links with other local authorities

Any local authority is stronger when it learns from and, where appropriate, seeks to work with other councils. We will do this by:

- Strengthening relationships within the LWP
- Working with and learning from authorities outside the LWP

#### 7.1.2 Engaging with the commercial sector

Particularly in a time of reducing council budgets, it is important that we engage with businesses working in the waste sector in order to:

- Seek new opportunities to improve our services or save money
- Seek ways in which we could benefit by being more commercially-minded
- Be more aware of the potential value of the waste which we collect
- Help to fill any processing capacity gaps

#### 7.1.3 Addressing any waste processing capacity gaps

We have already identified some waste streams where there may be insufficient capacity at local facilities. The largest and most pressing of these is that forecasts indicate that our growing

population are likely by 2037 to produce 54,000 tonnes per annum of residual waste above and beyond the capacity of our existing EfW facility.

In order to mitigate against this, particularly in the light of expected growth in Lincolnshire's population, we need to ensure that we:

- Make good forecasts of how much of each waste type we are likely to have
- Promote the development of infrastructure for new and existing waste streams

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## 7.2 Balancing economic and environmental benefits

It is essential that every attempt is made to provide services which give value for money to the people of Lincolnshire, particularly due to the need for prudence with the public purse and ongoing annual reductions to Council budgets. However, it is also important where possible to maximise the positive environmental impacts of how we handle our waste.

The importance of both of these aspects is reflected in their inclusion in the Vision which the Partnership has agreed for this Strategy:

***“To seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire.”***

### 7.2.1 Ensuring value for money

Providing the best overall value for money for the council-taxpayers of Lincolnshire may mean finding innovative ways to fairly distribute costs and savings incurred by different authorities as part of any service change.

### 7.2.2 Caring for the environment

This will be undertaken in a number of ways, including:

- Following the Waste Hierarchy – This is enshrined in law
- Improving the environmental impact of existing services – e.g. use of heat from the Energy from Waste facility
- Reducing our carbon footprint
- Adopting and promoting “circular economy” thinking
- Considering the use of new and innovative technology

### 7.2.3 Finding the balance in practice

In the light of consultation responses received, including those from partner authorities, the LWP have agreed to assess the benefits of different options by seeking "the best environmental option which can be afforded".



### 7.3 Reviewing what we collect and how

A key element of the implementation of this Strategy is our response to the WRAP-sponsored work to assess the various options for how each of the LWP's Waste Collection Authorities operate their collection services. The decision-making process will need to feature a variety of elements such as:

- Evaluating the business case – Do the finances stack up?
- Focusing on streams with the most economic and/or environmental value
- Identifying barriers and how to overcome them – e.g. startup costs of service changes
- Considering the introduction of new collections – e.g. food waste
- The impact on collection rounds and collection vehicles
- The disposal both of the new collections and of other streams affected by the removal of some material

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### 7.4 Getting our messages across

It is essential that we communicate well so that we, as Councils, are not acting in isolation. This means developing plans for how to deliver key messages:

- To the users of our waste services – e.g. What to put in which bin
- To the national Government – Influencing national strategy and policy to tie in with our own
- To other stakeholders – Parish Councils, Environment Agency, etc
- To the commercial sector – To waste producers and waste businesses

Communicating with the public is particularly important, particularly in the event of any changes to services. Indeed, this ties in directly with our strategic vision by making our services more customer-friendly, and by making it as easy as possible for people to help us to protect the environment and to provide value for money.

In communicating these messages it is important that, as well as explaining what we would like the public to do, we also explain why – i.e. how it will help to achieve our strategic objectives.

Table 7-1 Linking themes with strategic objectives

Theme/Project	Obj.1	Obj.2	Obj.3	Obj.4	Obj.5	Obj.6	Obj.7	Obj.8	Obj.9	Obj.10
<b>Seeing the wider picture</b>										
Developing links with other local authorities – Strengthening relationships within the LWP		Y							Y	
Developing links with other local authorities – Working with and learning from authorities outside the LWP						Y		Y	Y	Y
Engaging with the commercial sector – Seek ways in which we could benefit by being more commercially-minded	Y			Y						Y
Engaging with the commercial sector – Be more aware of the potential value of the waste which we collect	Y	Y		Y						
Engaging with the commercial sector – Help to fill any processing capacity gaps			Y	Y				Y		
Addressing any waste processing capacity gaps – Make good forecasts of how much of each waste type we are likely to have	Y		Y					Y		
Addressing any waste processing capacity gaps – Promote the development of infrastructure for new waste streams	Y		Y	Y			Y	Y		
<b>Balancing economic and environmental benefits</b>										
Ensuring value for money	Y		Y	Y						Y
Caring for the environment – Following the Waste Hierarchy				Y			Y			
Caring for the environment – Improving the environmental impact of existing services	Y			Y	Y	Y	Y			
Caring for the environment – Reducing our carbon footprint							Y			
Caring for the environment – Adopting and promoting “circular economy” thinking	Y			Y						Y
<b>Reviewing what we collect and how</b>										
Evaluating the business case			Y	Y						
Focusing on streams with the most economic and/or environmental value	Y	Y		Y						
Identifying barriers and how to overcome them	Y	Y	Y		Y					Y
Considering the introduction of new collections				Y	Y		Y			
<b>Getting our messages across</b>										
To the Lincolnshire public					Y					
To the national government					Y	Y				
To other stakeholders – Parish Councils, Environment Agency, etc			Y		Y	Y				
To the commercial sector – To waste producers as well as waste businesses	Y	Y	Y	Y	Y			Y		Y

## 7.5 Key workstreams for initial Action Plan

The initial Action Plan has been developed on behalf of the LWP by an Officer Working Group including representatives from each partner council.

Six separate streams of work have been identified to enable us to begin to work towards the objectives identified in this Strategy. In the initial Action Plan, attached as Appendix D, each workstream is listed with one or more specific actions which relate to it.

Further details of each workstream, and how it relates to our objectives, are listed below.

<b>7.5.1 Strategic Review of Kerbside Mixed Dry Recycling Collection and Disposal</b>	
<b>Scope:</b>	To investigate the feasibility of ‘harmonising’ the countywide kerbside MDR mix to find the most effective balance between reducing residual waste, increasing recycling rates, reducing contamination and maximising the value of our recycle, taking into account household/population growth forecasts.  In line with Consultation feedback, this workstream will also include: <ul style="list-style-type: none"> <li>• A communications campaign to ensure that the public are well-informed about the service, and the part they can play in its success; and</li> <li>• A review of Household Waste Recycling Centres and how they tie in with kerbside services.</li> </ul>
<b>Supports:</b>	Objectives 1,2,4,5,7,8 and 10

<b>7.5.2 Food Waste Trial</b>	
<b>Scope:</b>	A wide range of operational waste issues are being considered as part of the development of the Joint Municipal Waste Management Strategy. To assist in increasing the capacity at the Energy from Waste facility, one of these proposals is the potential for a countywide food waste collection and recycling service.  It has therefore been decided to undertake a food waste trial in selective locations within South Kesteven District Council (SKDC), to cover urban, rural and semi-rural areas, totalling some 4733 properties.
<b>Supports:</b>	Objectives 1,2,3,4,5,7,8 and 10

<b>7.5.3 Strategic Review of Options for Continuous Improvement for Waste Collection and Disposal Arrangements in Lincolnshire</b>	
<b>Scope:</b>	To identify the most efficient and effective collection and disposal methods for managing the County’s municipal waste. This will be a “theoretical” exercise ensuring existing arrangements are NOT taken into account. All collection and disposal methods will be considered.
<b>Supports:</b>	Objectives 7,8,9 and 10

<b>7.5.4 Location of additional processing/disposal sites</b>	
<b>Scope:</b>	To identify high users of energy within Lincolnshire, both current and anticipated through Local Plans and other plans, so consideration can be given to investigate the opportunities for appropriate waste infrastructure and deliver a co-ordinated effective and efficient waste collection/disposal service, including for future growth.

	This will also assist in the consideration of the financial aspects through the local energy produced and ensuring that the infrastructure is environmentally friendly by reducing carbon mileage.
<b>Supports:</b>	Objectives 7,8 and 10

<b>7.5.5 Choosing performance indicators appropriate to measure environmental performance</b>	
<b>Scope:</b>	To identify a suite of performance indicators which give a clear way of measuring our environmental performance, including our carbon footprint. This will allow us to measure our progress towards our strategic objectives.
<b>Supports:</b>	Objectives 6 and 7

## 8 The next steps: Monitoring, implementing and reviewing the strategy

To help identify the best option for managing our waste in the future, we have begun to:

- Assess options for our waste collections; and
- Consider the disposal implications of those collection options.

However there are further considerations required to ensure the strategy can be implemented successfully to meet our shared strategic objectives.

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### 8.1 Monitoring the strategy

In order to know how well we are meeting our strategic objectives, it is important to establish and report on appropriate measures.

The key measures which are currently reported to the Partnership include:

- Percentage of household waste sent for reuse, recycling or composting (formerly a National Indicator, NI 192) – This is particularly important as it reflects our contribution to the national recycling target.
- Total tonnage of residual (non-recycled) waste – This is important as it reflects how well we are doing in implementing the waste hierarchy, both by recycling and through waste minimisation.

As a result of our new strategic objectives, and in line with Objective 6, new measures will need to be considered in order to monitor key issues such as our combined carbon footprint. The development of a new suite of measures is included in the Action Plan to accompany this Strategy, and will help us to pursue our Vision “to seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire.”.

In developing new measures, such as carbon emissions, it is important not to lose sight of the big picture, such as:

- Advances we have made over the last few years – e.g. Compare performance not just with current services but also with where we would be if we landfilled everything.
- Side benefits of our services – e.g. Use of the energy generated at the EfW facility.

Once a suite of performance indicators has been agreed, these will be regularly reported to the LWP, with statistical data accompanied by sufficient commentary that informed decisions can be made on any necessary changes to service provision or to future versions of the Action Plan.

## 8.2 Implementing the strategy

### 8.2.1 Funding and support

Due to council budgets reducing, and the need to adopt more sustainable waste management practices, further pressure will be placed on service budgets. While the Partnership has begun to identify ways in which our combined services might be improved, these will need to be considered pragmatically in the light of the available budget. The Partnership will also need to actively seek any funding opportunities, whether from Government or otherwise, which can help us to afford to undertake work in support of the Objectives identified in this Strategy.

### 8.2.2 Partnership working

To ensure the Partnership continue to improve services and develop efficiencies it is essential to work together to deliver the strategy. Working together enables the collection and disposal requirements to be coordinated to ensure that future collection service provision is provided with adequate treatment and disposal infrastructure.

In accordance with Objective 9, we are committed:

*To regularly review the LWP governance model in order to provide the best opportunity to bring closer integration and the implementation of the objectives set by the strategy.*

### 8.2.3 Implementing the strategy

The Partnership has made a commitment to implement this strategy and has recognised that significant changes are required over the next 10 years. To deliver these changes an action plan has been prepared by the Partnership which clarifies the actions and tasks required to meet the objectives as set out in the Strategy.

The delivery of tasks within the action plan will need to be monitored and reviewed annually to ensure the Partnership will deliver the targets it sets itself through this Strategy. Where significant changes occur, the action plan will be updated accordingly.

The action plan establishes how the Strategy will be delivered, considering what will be required by the Partnership in terms of:

- Action required to deliver waste minimisation and further increase recycling and composting;
- Future changes or improvements to collection services (residual waste, dry recycling, garden waste and potential food waste); and
- Investments required to deliver future residual waste treatment facilities and additional recycling infrastructure.

### **8.3 Reviewing the strategy**

This Strategy will need to be regularly reviewed in order to ensure that our shared objectives remain appropriate, and to change them if necessary. This will, in line with government guidance, happen at least every five years, meaning that the LWP will undertake an initial review by 2023 at the latest.

This will be particularly important in the light of any changes to the operational and legislative landscape, including:

- The UK's departure from the European Union, and any changes in UK waste legislation and policy which arise from that; and
- The level of funding provided to each Authority by the UK Government.

As previously stated, the accompanying Action Plan will also be regularly reviewed to enable us to continue to meet our objectives.

## **Appendix A – Development of Vision & Objectives**

As a joint Strategy, shared by all LWP partner authorities, an important part of the strategy development process was to ensure early involvement from all.

Two workshops were held in July 2017 at which partners had a series of discussions through which a shared Vision and Objectives were agreed. Full details of these workshops, and the output from them, are shown in the attached report.

With the addition of a 10<sup>th</sup> Objective to reflect the LWP's desire to seek innovative solutions, this Vision and Objectives were presented in the Consultation Draft of the JMWMS, and were generally well received. In response to feedback received, the agreed Objectives have been updated, although each one still retains the theme which was set out at the original workshops.





Ricardo  
Energy & Environment

# Lincolnshire Waste Partnership Joint Municipal Waste Management Strategy Workshops

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Report for Lincolnshire Waste Partnership  
Lincolnshire Waste Partnership JMWMS

ED 10614 | Issue Number 1 | Date 03/08/2017

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**Lincolnshire Waste Partnership**

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**Contact:**

John Woodruff  
Ricardo Energy & Environment  
Gemini Building, Harwell, Didcot, OX11 0QR,  
United Kingdom

t: +44 (0) 1235 75 3263

e: john.woodruff@ricardo.com

Ricardo-AEA Ltd is certificated to ISO9001 and ISO14001

**Author:**

John Woodruff, Gareth Morton, Helen Sankey

**Approved By:**

John Woodruff

**Date:**

03 August 2017

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# The Lincolnshire Waste Partnership – Joint Municipal Waste Management Strategy Workshops

## Introduction

As the Lincolnshire Waste Partnership's (LWP)'s only Waste Disposal Authority (WDA), Lincolnshire County Council (LCC) has taken responsibility for the project management of the review of its current Joint Municipal Waste Management Strategy (JMWMS).

In order to ensure that the JMWMS is jointly owned by all the authorities in the LWP, the WDA arranged two workshop sessions, to which each LWP member authority was invited. These were designed to encourage input from across the LWP in formulating the Visions and Objectives of the Strategy through the capture of a balance of views from across the LWP member authorities.

The Workshops were held at the Hykeham Energy from Waste Visitor Centre.

The first Workshop, on 6th July 2017, was titled "What do we want to achieve?" and aimed to reach agreement on the Vision and broad brush Objectives for the JMWMS.

The second Workshop, on 20th July 2017, was titled "How do we achieve it?" and aimed to develop a framework for the action plan.

The Workshops were Chaired and facilitated by Ricardo Energy & Environment, to provide an independent voice, with the aim of ensuring all attendees were able to voice their opinions, concerns, experience and ambitions. A key aim of the workshops was to ensure that the JMWMS is equally informed by input from all eight LWP authorities.

Over twenty delegates from the eight authorities (Boston Borough Council, City of Lincoln Council, East Lindsey District Council, North Kesteven District Council, South Holland District Council, South Kesteven District Council, West Lindsey District Council, and Lincolnshire County Council) attended each workshop to contribute to the discussion and put forward their views. A list of the attendees at each workshop can be found at Appendix 1.

## Workshop Methodology

Each workshop commenced with a briefing from the Chair outlining the overarching process of developing the Strategy, and consideration of legislative and political constraints, opportunities and other influencing factors impacting on the Strategy. Attendees were then invited to contribute to discussions regarding challenges and opportunities and their priorities for the Partnership.

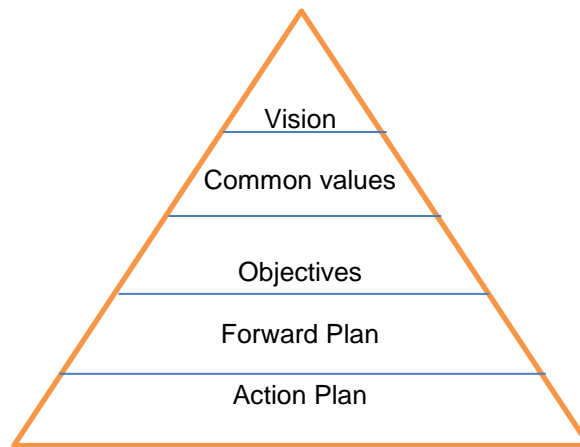
To facilitate discussion, a Scoping Paper had been prepared, setting out the broad Objectives as identified by the County Council. Additionally, information had been compiled to summarise the aims of the current (2008) Strategy, and performance indicators demonstrating performance across the original ambitions.

The Agenda for each Workshop was designed to provide enough time for a thorough analysis of the Scoping Paper, with the option of changing, adding, revising, removing or redesigning each of these elements.

The workshops utilised a combination of group discussions, break-out sessions and summary deliberations to scope the issues, challenges and opportunities, whilst identifying the key priorities for the LWP.

## Summary of Outcomes

During the discussions, a general structure of elements of the Strategy began to form: this is illustrated below:



Discussions regarding each of these elements are set out in the following sections.

### 1. Vision

At the second workshop, the Vision for the Strategy agreed in Workshop 1 was re-presented to the group and agreed:

#### **Vision for the Lincolnshire Joint Municipal Waste Management strategy**

***“To seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire.”***

### 2. Objectives

At the second workshop, attendees considered the revised Strategic Objectives. All comments, considerations, concerns and criticisms from Workshop 1 had been recorded, and these were used to thoroughly revise the Objectives in line with the Workshop’s overall feedback and input. Subsequently, these revised Objectives had been circulated by e-mail for further feedback. Comments were generally positive, but further comments were received, and these had been incorporated into a third iteration of each Objective where necessary. Some Objectives had been combined or removed, as they were considered actions.

Attendees at the second workshop analysed, considered and amended each Objective, until agreement was reached on the final iteration of each one. A summary of the evolution of the Objectives, from Scoping Paper to final iteration, can be found at Appendix 2.

Throughout the review of the list of Objectives, it became clear that two over-riding elements were being repeated, and were in danger of making the Objectives unnecessarily wordy and repetitive. It was thus agreed that these two over-riding values should be applied when considering any of the other Objectives.

A hierarchy was thus agreed whereby the LWP will have its vision, underneath which are the elements which describe the values which inform each of the Objectives.

**All Objectives should ensure that services provided under the JMWMS represent the best possible environmental option which gives value for money for Lincolnshire residents.**

The agreed Objectives will thus all be subject to these overarching approaches, which clearly tie in with the "value for money" and "environmental" aspects of the Vision.

The discussions around the common values developed a preference for ordering the Objectives to reflect the priority order of: value for money; environmental outcomes; and other Objectives.

In the light of the comments from attendees, to reflect this approach, the financial Objectives move to the top of the list, whilst the environmental Objectives follow, ordered by their position in the Waste Hierarchy. This leaves the LWP governance review as the final Objective, recognising that it is currently less of a priority as a review was done in 2016.

The revised list of Objectives in the Summary reflects the revised ordering agreed.

#### **The draft agreed Objectives:**

- 1. To improve the quality and therefore commercial value of our recycling stream**
- 2. To consider moving towards a common set of recycling materials.**
- 3. To consider the introduction of separate food waste collections**
- 4. To explore new opportunities of using all waste as a resource in accordance with the waste hierarchy.**
- 5. To contribute to the UK recycling target of 50% by 2020.**
- 6. To find the most appropriate ways to measure our environmental performance, and set appropriate targets.**
- 7. To seek to reduce our carbon footprint.**
- 8. To make an objective assessment of whether further residual waste recovery/disposal capacity is required and, if necessary, seek to secure appropriate capacity.**
- 9. To regularly review the LWP governance model in order to provide the best opportunity to bring closer integration and the implementation of the Objectives set by the Strategy.**

It was noted that further editing of the Objectives may be necessary as a result of the Strategic Environmental Assessment (SEA) and Public Consultation processes, as well as any changes in external factors between now and the adoption of the Strategy.

### **3. Forward Plan**

Attendees at the 2<sup>nd</sup> workshop were briefed on the need to develop a Forward Plan as part of the main JMWMS document. This Plan will summarise the types of strategic action required to fulfil the agreed objectives.

Whilst discussions at both workshops largely only focussed as far down as the objectives, those discussions did identify a number of types of action required to achieve the agreed Objectives.

The list attached as Appendix 3, prepared by the County Council, was intended to be shared at the 2<sup>nd</sup> workshop, but the planned session to discuss and revise it was superseded by the need to talk about specific and urgent actions regarding one of the objectives – the introduction of food waste collections.

This list will be circulated in a format which allows for further comment and for the addition of other proposed action types for the Forward Plan.

## 4. Strategic Action Plan

The initial Action Plan will be a separate document developed from the JMWMS Forward Plan. This will differ from the Forward Plan in that it will:

- 1) Be more detailed – i.e. who will do what and by when.
- 2) Contain targets and activities which are "SMART" – i.e. Specific, Measurable, Achievable, Relevant and Time-based.
- 3) Cover only the first year of the Strategy's lifetime – It will be reviewed annually thereafter.

Work on the Action Plan will begin once the Forward Plan has captured the types of action which are required to meet the agreed strategic objectives.

## Food Waste Collections

Having said that work on the Action Plan is to begin later, discussions planned to happen at Workshop 2 regarding actions to go into the Forward Plan were postponed in light of the urgent requirement for movement on the assessment of food waste collections, as identified by elected Members meeting together prior to Workshop 2.

Work is underway, including as part of the WRAP-sponsored assessment of collections consistency, to identify and allocate the necessary actions, including:

- Assessment of the costs to introduce collections.
- Assessment of the possible disposal savings.
- Consideration of a pilot project to begin as soon as possible.
- Information-gathering from other authorities who have introduced such collections.
- Visits to see possible vehicles for doing the collections.

This work will need to be monitored, recorded, and included in the JMWMS documentation.



Ricardo  
Energy & Environment

The Gemini Building  
Fermi Avenue  
Harwell  
Didcot  
Oxfordshire  
OX11 0QR  
United Kingdom  
t: +44 (0)1235 753000  
e: [enquiry@ricardo.com](mailto:enquiry@ricardo.com)

[ee.ricardo.com](http://ee.ricardo.com)

## Appendix B – Consultation Feedback

A formal consultation process was undertaken from 4<sup>th</sup> April to 2<sup>nd</sup> July 2018. This appendix summarises the results of that consultation and its influence on the final version of the JMWMS.

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### Summary

The draft strategy was generally well received, and responses to the consultation indicated a high level of support for the overall direction of the JMWMS. Specifically, of the 147 responses to the survey:

- 89% agreed or strongly agreed with the vision we have set out
- 75% agreed or strongly agreed that the proposed objectives can achieve that vision

Many of the comments received tied in with the vision which we have set out, agreeing that the LWP should:

- Ensure value for money;
- Care for the environment; and
- Provide customer-friendly services.

Other comments suggested areas in which the JMWMS could be strengthened or revised. Examples of how these are reflected in the revised version of the JMWMS are shown below.

Feedback received	How revised JMWMS reflects this
Specific actions need to be identified to show how the LWP will work to achieve their objectives.	An initial Action Plan has been produced and is attached as Appendix D. This Action Plan will be reviewed on an annual basis to ensure it remains up to date and effective.
Better publicity is needed to ensure that people know what to put into which collections.	The Action Plan includes: <ul style="list-style-type: none"><li>• A review to try to simplify our collection schemes; and</li><li>• A communications campaign.</li></ul>
Opinion was divided over whether food waste collections were a good idea.	The Action Plan includes undertaking a trial to assess the effectiveness of food waste collections. This trial, which actually began in June 2018, will enable decisions on possible wider collections to be based on real data.

---

### Consultation process

As part of the waste strategy and SEA process there is a statutory requirement to undertake consultation. Furthermore, consultation enables the LWP to take into account the views of the public and other stakeholders in the final JMWMS.



It is recommended that the consultation period lasts for 90 days, but this is not statutory. The public were consulted on the proposed draft strategy and the draft environmental report, which presents the outcomes of the Strategic Environmental Assessment (SEA).

There are numerous consultation methods available and each authority is free to choose how their consultation is undertaken.

### **Consultation methods selected**

The LWP chose to carry out a formal consultation between 4<sup>th</sup> April and 2<sup>nd</sup> July 2018 (90 days). The documents made available during the consultation period were:

- The full draft strategy and appendices
- Summary of the strategy
- Draft environmental report and its appendices

The consultation took the following forms:

- Publicising the consultation
- Web-based consultation documents and questionnaire
- Paper documents and questionnaire (available on request)
- Libraries and LWP council offices
- Face to face briefings for Elected Members at LWP councils

### **Publicising the consultation**

In order to reach as wide an audience as possible, a variety of means were used to publicise the consultation, including:

- Press releases – These were taken up and published by a number of media outlets
- Social media advertisements – Facebook and Twitter
- Direct emails to key groups
  - Statutory SEA consultees (Environment Agency, Natural England & Historic England);
  - Parish Councils in Lincolnshire;
  - A variety of waste-related businesses in Lincolnshire; and
  - Neighbouring councils.

### **Questionnaire – Web-based approach**

In the light of the aims set out in the vision – to protect the environment and provide value for money – it was decided that the focus of the consultation should be online rather than producing large numbers of paper copies.

Local residents and any other interested parties could access all consultation documents through the Recycle for Lincolnshire area of the Lincolnshire County Council website. A web-based questionnaire was provided to invite views on key topics, the benefit being that, as well as receiving comments, it provided statistics giving an indication of overall opinion. Also, a dedicated email account ([wastestrategy@lincolnshire.gov.uk](mailto:wastestrategy@lincolnshire.gov.uk)) was provided for other feedback and queries.

In total 147 completed questionnaires were completed, including five which were received in paper form and typed in by council staff. The results are summarised later in this appendix.

### **Questionnaire – Paper copies**

Whilst our preferred engagement method was online, the website made it clear that we were happy to send out on request paper copies of any or all of the documents. A number of items were sent out in the post but, unfortunately, only five paper questionnaires were returned.

### **Questionnaire – Libraries and LWP council offices**

Aware that not everyone has access to the internet, and in order to reach as wide an audience as possible, paper copies of key documents were sent out for display in public locations around the county:

- The main office of each of the eight LWP partner councils; and
- All 15 of the County Council's core public libraries.

In addition to a single reference copy of the full JMWMS and a poster advertising the consultation, each location received several copies of the following which could be taken away:

- A brief summary version of the JMWMS document – Essentially Chapter 1, including how to access the full documents and how to respond;
- The consultation response form; and
- A Freepost return envelope.

### **Face to face briefings for Elected Members at LWP councils**

Between them, Councillors are the elected representatives of every member of the public in Lincolnshire. In order to ensure the JMWMS captures the views of the wider Membership of each Council, representatives of the LWP visited each of the eight LWP councils to give a face to face briefing, and to invite them to submit a formal consultation response. These responses are summarised later in this appendix.

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## **Questionnaire results**

The questionnaire consisted of 10 questions which, for clarity, are divided below into four sections. Several questions came as a pair with a selection list for the first part (to allow for statistical analysis) and a follow-up question asking for further information.

It was decided not to ask for any personal details so that answers could remain truly anonymous. This also avoids possible issues under Data Protection legislation as it would be difficult to justify that such information was necessary.

The following responses almost all were submitted online. The five paper copies received was typed into the online form by a member of council staff to allow them to be included in the statistical reporting.

## Responder details

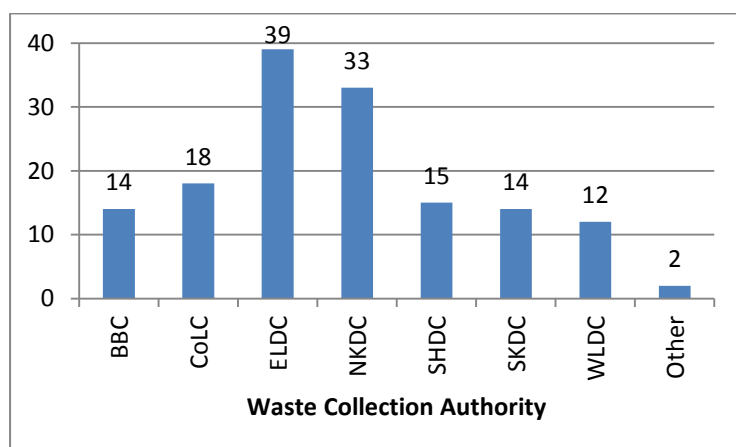
### **1. In what capacity are you responding to this survey?**

We have managed to obtain the views of a significant number of Lincolnshire residents. Unfortunately we have not heard much from other groups.

	Responses	Notes
Lincolnshire Resident	126	Also received seven responses via email
County Councillor	2	The County Council also responded via formal Council submission – see later in this appendix
District Councillor	6	All seven District Councils also responded via formal Council submission – see later in this appendix
Parish/Town Councillor	5	Also received two Parish Council responses via email
Waste business employee/owner	4	Also received two responses via email
Neighbouring authority representative	0	Details sent to all neighbouring authorities. None used the survey, but two responded directly by email.
Other	4	All were formal responses from LWP partner authorities. Also received three "other" responses via email
<b>TOTAL</b>	<b>147</b>	

### **2. In which area do you live or are you/your organisation based?**

Whilst some areas are better represented than others, we have managed to get multiple responses from every area within Lincolnshire. The two "other" responses were people who did not answer this question.

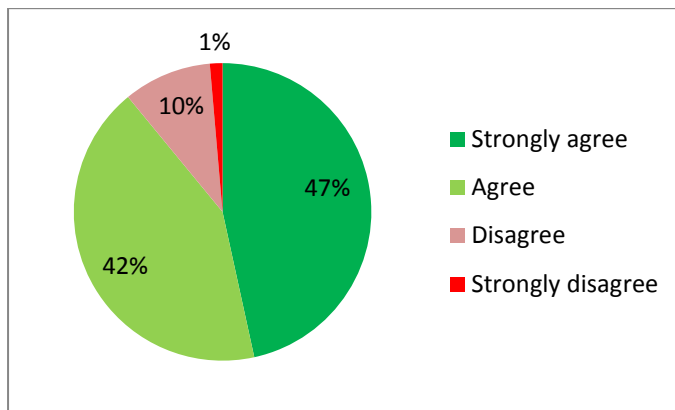


## Contents of draft JMWMS

### **3. Do you agree or disagree with the Lincolnshire Waste Partnership's vision for this Strategy?**

89% of responders agree or strongly agree with the vision as set out in the draft JMWMS:

"To seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire".



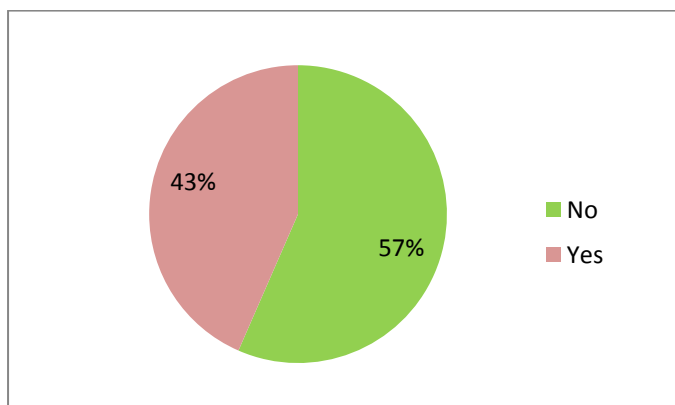
#### ***Why have you answered this way?***

Concern was expressed that the vision was too long, and that balancing the contrasting elements could be used as an excuse for poor performance – e.g. 'it was innovative but too expensive' or 'it was effective but not customer friendly'. It was also suggested that the vision should mention waste minimisation.

As with other questions, comments not directly related to this question will be included in the list of "comments received" given later in this Appendix.

### **4. Are there any key issues, other than those we have identified, which should be driving our Waste Strategy?**

43% of responders believed other issues should be considered.

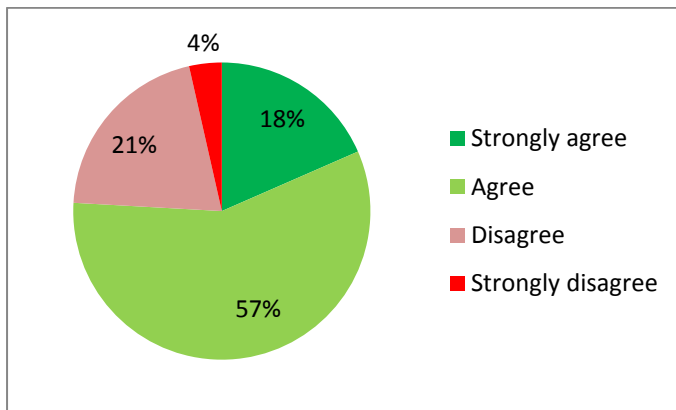


***If you answered "no", then what else should we include?***

Due to the wide range of suggestions, proposed additions are included in the list of "comments received" given later in this Appendix.

***5. Do you agree or disagree that the objectives we have set out will enable us to meet the challenges we face and therefore achieve our vision?***

75% of responders agree or strongly agree with this.



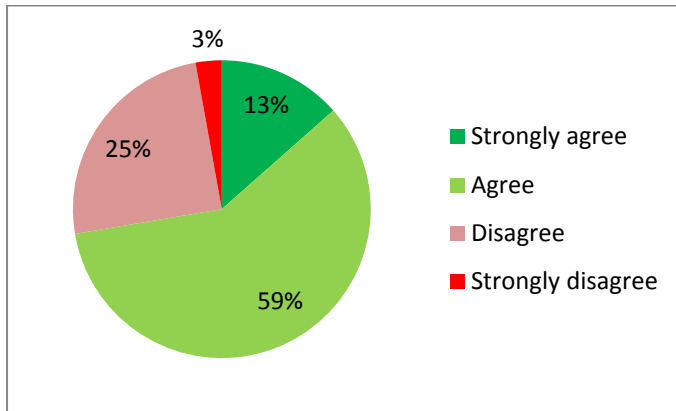
***Why have you answered this way?***

Those who disagreed expressed a variety of concerns and suggestions, including:

- Funding – Need to lobby central government for more funding
- Commit more – Should say what we'll do, not "consider" or "seek to"
- Food waste collections – Not convinced of the environmental or financial benefits
- Costs – Need to think long-term savings even if it means extra costs now
- Commercial waste – Need to consider this, not just household waste
- Education – Need better communications to educate the public

**6. Do you agree or disagree that our Forward Plan, as described in Chapter 7, contains all the actions we need to achieve our objectives?**

72% of responders agree or strongly agree with this.



**Why have you answered this way?**

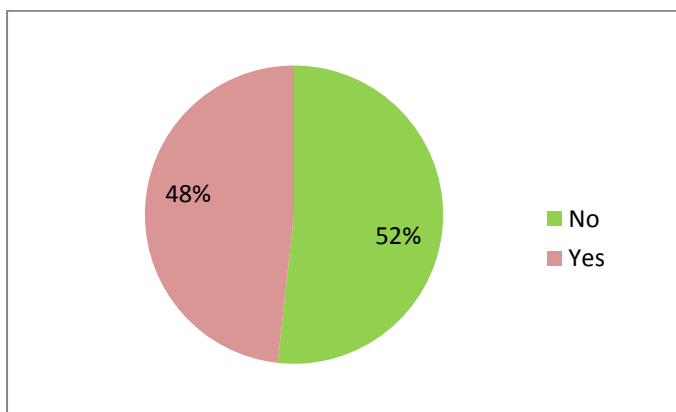
There were multiple responses along similar lines:

- We need to state a more specific list of actions
- We need to communicate better with the public

Other comments have been grouped together and included in the list of "comments received" given later in this Appendix.

**7. Do you have any specific concerns about the strategy?**

48% of responders have specific concerns.



**If you answered "yes", please tell us what concerns you have.**

Due to the wide range of concerns expressed, these are included in the list of "comments received" given later in this Appendix.

## **Equality issues**

The Equality Act 2010 places organisations under a duty to ascertain how people with 'protected characteristics' are impacted by an organisation's activity, and how steps may be taken to mitigate or eliminate adverse impact(s).

### ***8. Do you think the draft strategy could have a positive or negative impact on you (or someone you care for or support) due to any of the following?***

	<b>Positive Impact</b>	<b>No Impact</b>	<b>Negative Impact</b>	<b>Don't Know</b>
Age	14%	47%	19%	20%
Sex (male/female)	9%	69%	6%	16%
Disability	9%	43%	21%	27%
Sexual orientation	6%	73%	2%	19%
Pregnancy and maternity	9%	55%	13%	22%
Marriage and civil partnership	8%	72%	2%	18%
Race (ethnicity)	5%	72%	4%	19%
Religion or belief	6%	73%	2%	18%
Gender reassignment	5%	73%	2%	20%

There was a general feeling that, for most people groups and particularly for future generations, the impact would be positive. However, there were three categories for which more people identified a negative impact than a positive one:

- Age
- Disability
- Pregnancy and maternity

The opportunity was given to identify other specific groups who could be impacted. The only other group suggested was residents of terraced properties, and the impact suggested has been included in the table below.

Also, some respondents expressed concern that, until the Action Plan identifies specific service changes, it is not possible to identify possible impacts.

### ***If you have identified a potential impact, how would the proposed strategy impact you (or someone you care for or support) and how could any negative impacts be reduced?***

The comments made in this section have been added to the Equality Impact Analysis which is being undertaken to accompany the JMWMS. The below summarises the responses received, including suggestion mitigation for negative impacts. These impacts, and appropriate mitigation, will be considered in putting the JMWMS into action.

NB – The impacts listed are those identified in consultation responses and, in some cases, it is not clear what the perceived impact actually is.

Negative Impact	Groups affected				Mitigation
	Age	Disability	Pregnancy and maternity	Other	
Confused by service changes	Y	Y	Y	Race (language)	Focused communications through a variety of methods
Difficulty moving heavy wheelie bins	Y	Y	Y	Sex (did not specify which)	Assisted collections
Repeated emptying of kitchen caddy	Y	Y	Y		Small kitchen caddy with liner
Possible infection from decaying food	Y	Y	Y		Lidded kitchen caddy; exterior bin; weekly collections
HWRC / bring bank access	Y	Y	Y	Sex ("parents with children and single parent families being more likely to be female")	Proactive assistance from site staff
Access to plastic recycling if kerbside service removed due to Deposit Return Scheme		Y			Consideration of alternative service if this happens
Nappies & formula milk produce extra waste			Y		Response suggested: "Promote breast-feeding and reusable nappies"
Lack of space for storing multiple bins				Residents of terraced properties	Consideration of alternative service

In addition to the specific negative impacts which were identified, it has also been noted that a number of other respondents also expressed, in the text of their answers to other questions, the view that age could be an issue, and that the LWP need to ensure that services are accessible to everyone.

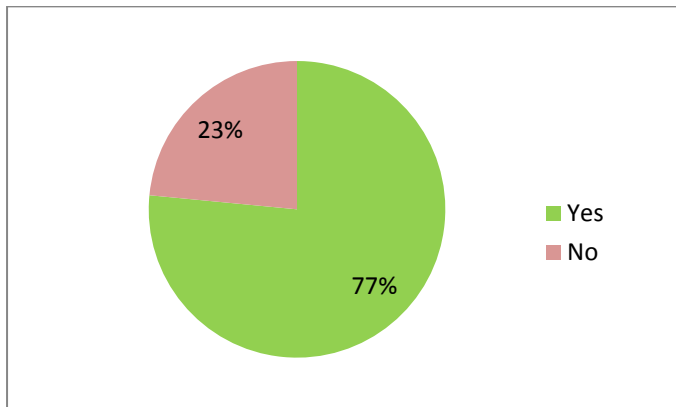


## **Strategic Environmental Assessment**

The remaining questions related to the Environmental Report which accompanies the JMWMS. This was prepared as part of the Strategic Environmental Assessment, a process which we are required to undertake alongside the development of the JMWMS itself.

### ***9. Does the Environmental Report correctly identify the likely significant effects of the draft Joint Municipal Waste Management Strategy?***

77% of responders said "yes".



#### ***If you answered "no", please tell us what else you think should be included.***

Most of those who answered "no" said that the Environmental Report was too long and too complicated to read. Unfortunately the SEA process is prescribed by legislation, and the contents of the Environmental Report reflect that process. We have endeavoured to take the SEA results into account in writing the JMWMS.

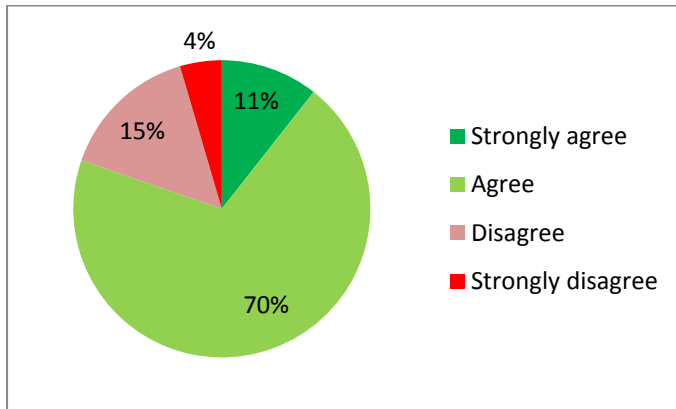
Others said that the SEA is difficult to assess without seeing the Action Plan which will accompany the JMWMS. Potential environmental impacts will indeed be considered in developing the initial and future Action Plans. This will include the location of potential new waste facilities, which was another topic raised.

One responder was concerned that there is not enough focus in the SEA on climate change and carbon emissions. This was raised in other responses with regard to the overall JMWMS, and is reflected in our objective "to seek to reduce our carbon footprint".

Other responses to this question raised concerns about the JMWMS in general, and these are included in the list of "comments received" given later in this Appendix.

**10. Do you agree or disagree that the draft JMWMS has sufficiently taken account of the information provided in the Environmental Report?**

81% of responders agree or strongly agree with this.



***If you disagree, please tell us what else you think should be taken into account.***

Those who "strongly disagree" all expressed concern over the length and complexity of the Environmental Report, as did several of those who "disagree". As already stated, this is necessary due to how the SEA process is prescribed by legislation.

Other responses to this question mirror concerns raised in response to earlier questions, and these are included in the list of "comments received" given later in this Appendix.

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## **Comments received**

### **Formal responses from LWP partners**

As previously stated, in order to ensure the JMWMS captures the views of the wider Elected Membership of each Council, representatives of the LWP visited each of the eight LWP councils to give a face to face briefing. Each council was invited to submit a formal consultation response.

The following provides a summary of those responses.

Five responses were submitted in the form of the same questionnaire as used by the public. These are included in the statistical results shown above, and are summarised below.

<b>3 – Do you agree or disagree with the Lincolnshire Waste Partnership's vision for this Strategy?</b>
3 x Strongly agree (1 further partner said "strongly agree" in their non-questionnaire response) 1 x Agree 1 x Disagree – "Not specific enough"
<b>4 – Are there any key issues, other than those we have identified, which should be driving our Waste Strategy?</b>
2 x No 3 x Yes – Include: <ul style="list-style-type: none"> <li>• Containing costs/maximising income</li> <li>• Education and regular information to the public</li> <li>• Wider national and global picture and circular economy</li> <li>• Managing expectations of increasing recycling rate whilst budgets are increasingly stretched</li> <li>• Waste minimisation and packaging reduction</li> </ul>
<b>5 – Do you agree or disagree that the objectives we have set out will enable us to meet the challenges we face and therefore achieve our vision?</b>
1 x Strongly agree 2 x Agree 2 x Disagree – Need specific actions & targets
<b>6 – Do you agree or disagree that our Forward Plan, as described in Chapter 7, contains all the actions we need to achieve our objectives?</b>
3 x Agree 2 x Disagree – Need specific action plan
<b>7 – Do you have any specific concerns about the strategy?</b>
5 x Yes – We need a specific action plan & targets
<b>8 – Do you think the draft strategy could have a positive or negative impact on you (or someone you care for or support) due to any of the following?</b>
No specific impacts identified
<b>9 – Does the Environmental Report correctly identify the likely significant effects of the draft Joint Municipal Waste Management Strategy?</b>
2 x Yes 3 x No – Need action plan and identification of specific infrastructure first
<b>10 – Do you agree or disagree that the draft JMWMS has sufficiently taken account of the information provided in the Environmental Report?</b>
5 x Agree – Although may need reassessing when Action Plan is developed

Comments made by each partner, including those provided in the form of the questionnaire, are grouped together by theme below.

<b>Overall strategy</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Strategy and actions need to be agile to react to changes</li> <li>• Be customer-friendly / customer satisfaction</li> <li>• Ensure we consider the future, not just the present</li> <li>• Programme in a JMWMS review</li> <li>• Need "circular economy" thinking</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Seek innovative ideas by looking for new ideas and technologies</li> <li>• Include section on "lessons learned" from previous JMWMS and action plan</li> <li>• Need more detailed review of previous (2008) JMWMS and lessons learned</li> <li>• Include more national and global context</li> <li>• Need to reflect rising costs due to waste growth</li> </ul>

<b>Specific sections</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Need a specific action plan with timelines</li> <li>• Objectives to be more committed – "we <b>will</b>" rather than "consider"</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Vision to say "Lincolnshire people"</li> <li>• Vision not specific enough</li> <li>• Add an objective on waste minimisation</li> <li>• Change Objective 8 from "residual waste" to "all waste"</li> </ul>
<b>Recycling collections</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Need harmonising (nationally?)</li> <li>• Simpler collection system/mix</li> <li>• Kerbside collections of batteries and WEEE</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Collect glass separately</li> <li>• More enforcement against contamination</li> <li>• Consider how to handle textiles</li> </ul>
<b>Lobbying</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Manufacturers/government to reduce packaging</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Use fewer types of plastic</li> <li>• Deposit Return Schemes for plastics are a good thing, so support them</li> </ul>
<b>Food waste</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Food waste collections a good thing</li> <li>• Trial data important</li> <li>• Food waste collections need to be backed by education campaign</li> <li>• Needs proper consideration of funding of separate collections</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Encourage food waste minimisation</li> </ul>
<b>Education</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Need better engagement with the public</li> <li>• Promote waste hierarchy, including reduction and reuse</li> <li>• Need simple and consistent messages</li> <li>• Education through schools</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• How to reach "Houses in Multiple Occupation"?</li> <li>• Locally-targeted campaigns</li> <li>• Incentivise residents to recycle more</li> <li>• Add an objective on education</li> <li>• Change public perception of "landfill bin" with a better word than "residual"</li> </ul>
<b>Disposal &amp; processing</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Consider using out-of-county facilities</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Use anaerobic digestion for food waste and garden waste</li> <li>• Use/develop local sites</li> <li>• Consider disposal options to handle population/waste growth</li> <li>• Maximise energy use from new and existing EfW facilities</li> </ul>
<b>Funding</b>	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Make clearer that Council funding is reducing and services need to contain costs</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Ensure value for money to the public</li> <li>• Decide on the balance between costs and "doing the right thing environmentally"</li> </ul>

Other	
Multiple similar responses	<ul style="list-style-type: none"> <li>• Better partnership working (including with neighbours?)</li> <li>• Review of HWRC provision (including cross-border arrangements?)</li> <li>• Review LWP governance model</li> <li>• Regular monitoring and reporting of performance</li> </ul>
Other responses	<ul style="list-style-type: none"> <li>• Specific data needs reviewing or updating</li> <li>• On-street recycling bins</li> <li>• Healthcare waste should be NHS responsibility</li> <li>• Need to better understand why recycling rates are falling</li> <li>• Need to review equality impacts and SEA when action plan has been developed</li> <li>• Support commercial waste collections</li> <li>• Move away from a specific recycling target</li> </ul>

## Statutory Consultees

As part of the Strategic Environmental Assessment process, we are required to consult with the Environment Agency, Natural England and Historic England. None of them raised any specific concerns regarding either the draft Environmental Report or the draft JMWMS.

## From others

The following summarises the comments which were submitted to the consultation. **Every** comment has been read individually but, due to the varied nature and sometimes personal nature of the individual responses, they are here summarised into themes.

Themes mentioned by 10 or more people included:

Theme	Type(s) of response
Care for the environment	<ul style="list-style-type: none"> <li>• An important thing to include</li> <li>• Not enough mention of climate change and carbon reduction</li> <li>• Seek to recycle more</li> </ul>
Value for money	<ul style="list-style-type: none"> <li>• An important thing to include</li> <li>• Councils need to think and act more commercially</li> <li>• Lobby government for more funding rather than raise Council Tax</li> </ul>
Balancing environment and cost	Opinion was divided between: <ul style="list-style-type: none"> <li>• Take the cheapest option rather than put up Council Tax</li> <li>• Do the right thing environmentally regardless of cost</li> </ul>
Include more direct and ambitious actions	<ul style="list-style-type: none"> <li>• Draft JMWMS doesn't identify enough specific actions</li> <li>• Whole JMWMS needs to be more ambitious</li> <li>• Set clear targets</li> </ul>
Improve communications/education	<ul style="list-style-type: none"> <li>• What to put in which collection</li> <li>• Especially important if services change</li> </ul>
Waste reduction/packaging	<ul style="list-style-type: none"> <li>• Not enough mention of waste reduction</li> <li>• Lobby national government for new legislation</li> <li>• Take action locally</li> </ul>

Theme	Type(s) of response
Food waste collections	Opinion was divided between: <ul style="list-style-type: none"> <li>• They are a good thing – e.g. Better environmentally</li> <li>• They are a bad thing – e.g. Smell; costly to run; inconvenient</li> </ul>
Customer friendly services	<ul style="list-style-type: none"> <li>• Simpler recycling system</li> <li>• Need consistent services across the county</li> <li>• Ensure services are accessible to all, especially the elderly and disabled</li> </ul>
HWRC improvements	<ul style="list-style-type: none"> <li>• More reuse, especially by "people in need"</li> <li>• Improve site layout</li> <li>• Open more sites and for longer hours to combat flytipping</li> <li>• Accept extra materials – e.g. tyres; asbestos</li> <li>• Allow/arrange use of sites outside of county</li> </ul>

## Conclusion

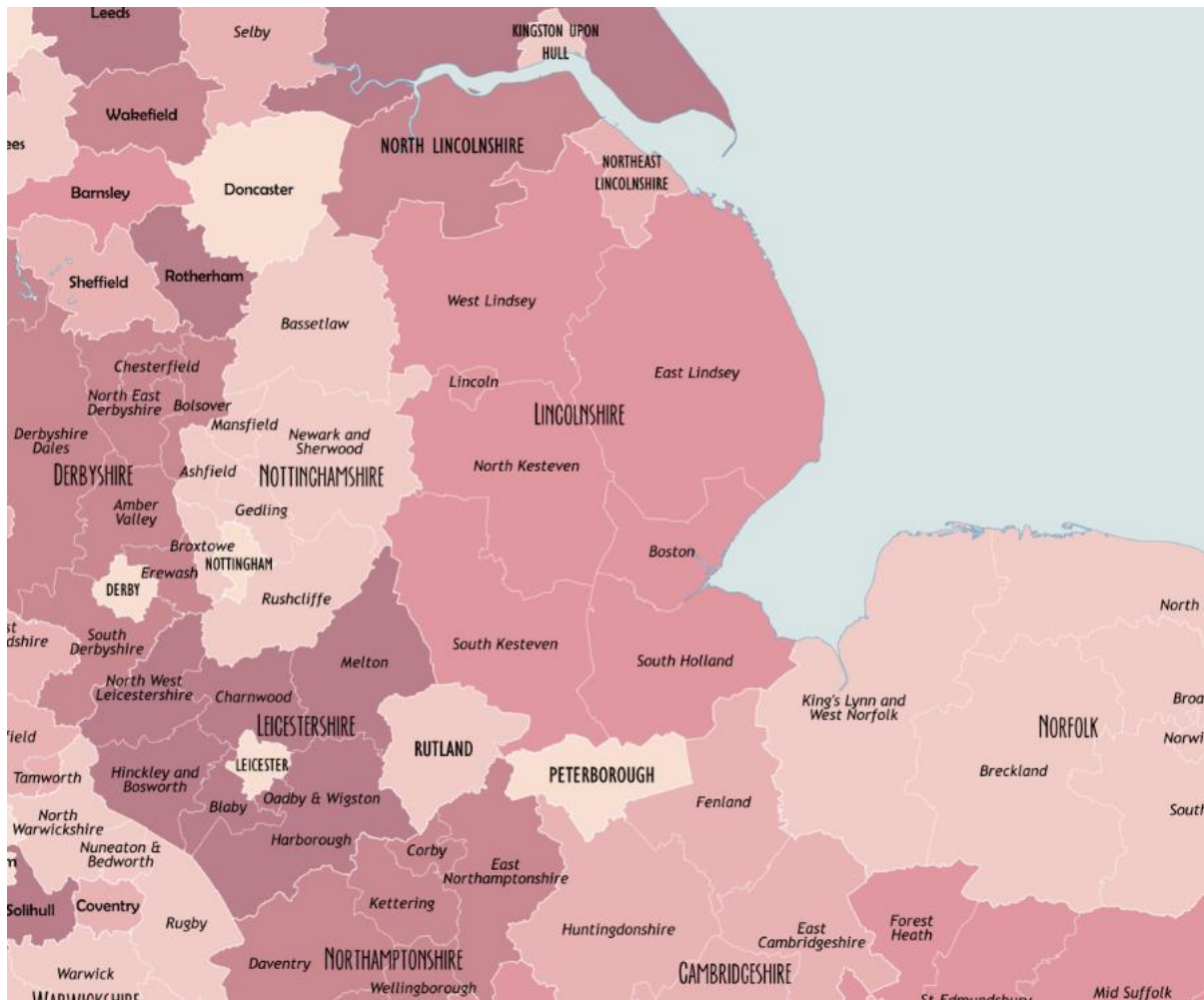
The JMWMS has been reviewed and, where necessary, updated in line with the comments received through the consultation process. The majority of this list matches the above summary of public responses, as these are also broadly in line with responses from LWP partners. Where partners raised additional items, these are added at the foot of this table.

Theme	How revised JMWMS reflects this
Care for the environment	<ul style="list-style-type: none"> <li>• Text added to back up the objective on carbon reduction</li> <li>• Action Plan to include assessment of carbon footprint</li> </ul>
Value for money	<ul style="list-style-type: none"> <li>• Already a strong focus of the draft JMWMS so no change</li> </ul>
Balancing environment and cost	<ul style="list-style-type: none"> <li>• Given the mixed views expressed as to which should take priority, the revised JMWMS clarifies the LWP's intention to choose the best environmental option that we can afford. Any service changes will thus need to reflect this.</li> </ul>
Include more direct and ambitious actions	<ul style="list-style-type: none"> <li>• Action Plan produced to accompany JMWMS</li> </ul>
Improve communications/education	<ul style="list-style-type: none"> <li>• Included in Action Plan</li> </ul>
Waste reduction/packaging	<ul style="list-style-type: none"> <li>• Text added to make more reference to this</li> </ul>
Food waste collections	<ul style="list-style-type: none"> <li>• Action Plan includes a trial to get better information for an informed decision</li> </ul>
Customer friendly services	<ul style="list-style-type: none"> <li>• Collections under review through Action Plan</li> <li>• Any proposed service changes will consider accessibility to all</li> </ul>
HWRC improvements	<ul style="list-style-type: none"> <li>• HWRC services to be reviewed</li> </ul>
<b>Additional items raised by LWP partners</b>	
Reporting and review	<ul style="list-style-type: none"> <li>• Chapter 8 has been revised to be more specific on this</li> </ul>
Disposal and processing	<ul style="list-style-type: none"> <li>• More information added on future options to be considered</li> </ul>

## Appendix C – Neighbouring Authorities

As referred to in Section 3.4 of this JMWMS, the implementation of this strategy, particularly in the enactment of the accompanying Action Plan, will need to take into account the waste management actions and strategies of our neighbouring authorities.

In view of this, we specifically wrote to each neighbouring Council and/or Waste Partnership as part of the Public Consultation process, asking them for any information which they think it would be helpful for us to take into account.



We received two consultation responses from neighbours.

### North Lincolnshire Council

North Lincolnshire Council submitted a comprehensive response to each of the 10 proposed JMWMS Objectives. These are shown below.

<b>Objective</b>	<b>Lincolnshire County Council (LCC) position</b>	<b>North Lincolnshire Council (NLC) response</b>
Objective 1.	To improve the quality and therefore commercial value of our recycling stream.	NLC agrees that in light of current external pressures from world markets on the quality and value of recyclable materials greater emphasis has to be placed on the whole value chain starting with collections from residents. Consideration needs to be given to the local public sector reliance on third party processors and whether municipal ownership of such facilities is more in the public interest to derive the highest benefit for our residents.
Objective 2.	To consider moving towards a common set of recycling materials.	NLC agrees that a common set of recycling materials will make communications with residents easier, could derive economies of scale for collections and enable standardised reprocessing facilities which will help reduce costs and contamination.
Objective 3.	To consider the introduction of separate food waste collections.	The separate collection of food waste has different financial models for different councils due to their particular mix of urban and rural areas. NLC notes that the requirement for separate biowaste collections by 2023 in the EU Circular Economy Package will be included within the transposition into UK law by each devolved administration and awaits the detail of the legislation and any government guidance.
Objective 4.	To explore new opportunities of using all waste as a resource in accordance with the waste hierarchy.	The transposition of the EU Circular Economy Package should provide a legislative impetus to this and NLC awaits the detail of the legislation and any government guidance.
Objective 5.	To contribute to the UK recycling target of 50% by 2020.	NLC notes the higher targets included within the EU Circular Economy Package of 55% by 2025 which is included within the operational lifetime for this revised strategy. Our own strategy for achieving and increased target will be considered once the legislation transposing the EU Circular Economy Package is published.
Objective 6.	To find the most appropriate ways to measure our environmental performance, and set appropriate targets.	NLC agrees that the current methodology of measuring by weight (tonnage) does promote the collection of some recyclable materials (garden waste) over others that have a greater impact on the environment and resource sustainability (plastics) due to their respective weights. As all comparative measures of performance have to be consistent across the UK and EU it will be informative to see how this debate resolves itself particularly with regard to the higher recycling targets proposed within the EU Circular Economy Package.



Objective 7.	To seek to reduce our carbon footprint.	It is unfortunate that efforts by local councils to reduce the production of greenhouse gases by moving to alternative disposal technologies to replace landfilling were not recognised and accounted for in UK carbon measurement and performance assessment. As such our ability to positively influence our carbon footprint from a waste management perspective is limited to the transport impact of our operations which is not the greatest contributory factor. NLC recognises the difficulty that LCC will face given these issues.
Objective 8.	To make an objective assessment of whether further residual waste recovery/disposal capacity is required and, if necessary, seek to secure appropriate capacity.	NLC recognises the difficulty of making long term waste and recycling tonnage predictions given the impact of sudden events such as the credit crunch, volatile changes on world recycling markets and significant changes in the English legislative position (LATS). Business cases and assumptions that were sound and evidenced in the 2000's have been abandoned in recent years. NLC remains committed to working with LCC in considering and developing joint infrastructure assets where there is mutual benefit and to provide resilience against such events in the future.
Objective 9.	To regularly review the LWP governance model in order to provide the best opportunity to bring closer integration and the implementation of the objectives set by the strategy.	NLC recognises the challenges faced by LCC in a two tier local government structure. NLC remains committed to working with LWP in considering and developing joint infrastructure assets where there is mutual benefit and to provide resilience against such events in the future.
Objective 10.	To consider appropriate innovative solutions in the delivery of our waste management services.	NLC notes the strategic actions identified by LCC in Table 7.1 of the draft strategy and agrees that these are the best choices to underpin this objective.

The LWP notes NLC's general support for this JMWMS and will take into account the points made, particularly:

- Their support for the consideration of municipal ownership of waste facilities, along with their interest in developing joint infrastructure assets;
- Their interest in the concepts of a harmonised recycling mix and alternative measures for environmental performance; and
- The references to the updated contents of the EU Circular Economy Package, which are reflected in this revised JMWMS.

## **Nottinghamshire County Council**

*"Nottinghamshire County Council welcomes the vision and aspirations set out within the draft strategy and future opportunities to share best practice and experience amongst local authorities.*

*The County Council does not have any formal comments to make at this stage but would be grateful to be kept informed of progress with the strategy and the development of specific action plans in support of the strategy."*

The LWP notes NCC's general support for this JMWMS. We will indeed continue to liaise with them regarding progress both with our own strategic developments and with theirs.

## **Appendix D – Initial Action Plan**

As described throughout this JMWMS, and as requested in numerous responses to the Public Consultation, this Action Plan sets out the actions which the LWP will undertake to work towards the Objectives which have been set.

This appendix contains the initial Action Plan, including the dates by which each task will be completed. It should be noted that some of the dates listed are before the adoption of the final version of this JMWMS. That is because work is already underway on workstreams which are unlikely to change in the closing stages of the development of the Strategy.

The Action Plan will be reviewed regularly in order to ensure it remains up to date in response to:

- Whether the actions being undertaken are helping us to achieve our Objectives; and
- Any changes in legislation or other strategic drivers.

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
1	Strategic Review of Kerbside Mixed Dry Recycling Collection and Disposal	1,2,4,5,7,8 and 10	<p>12<sup>th</sup> July 2018 – Initial Feedback to Lincolnshire Waste Partnership.</p> <p>End September 2018 – Initial review completed and reported to Lincolnshire Waste Partnership</p>	<p>Satisfaction with waste/recycling services by council - targets to be continuous improvement on base line performance.</p> <p>Recycling and composting rate by council- target to be agreed, but to reach a minimum of 50% by 2020.</p> <p>Reduction in baseline Mixed Dry Recycling contamination rate (27%).</p> <p>Reduction in carbon footprint from 2017/18.</p>	<p>To have a clear way forward on what is being collected and new contract in place for 2020.</p> <p>A consistent harmonised Mixed Dry Recycling mix across all Waste Collection Authorities.</p> <p>A common message on Mixed Dry Recycling that can be used by all partners and a clear communications campaign.</p> <p>A Mixed Dry Recycling contract in place flexible enough to reward commercial value of reducing contamination rates and non-target materials.</p> <p>Improved recycling rate over current baseline.</p>
1.01	Evaluation of the current volumes/weights of waste going to the Energy from Waste facility and to Materials Recovery Facilities and assessing the impact or difference on the factors above should kerbside collection waste streams be adjusted and/or harmonised.		Complete	<p>Produce a table and analysis for the factors impacting the waste streams.</p> <p>Officer Working Group to recommend to the Lincolnshire Waste Partnership what the mix should be and what is achievable.</p>	Findings to be presented to the Officer Working Group on the 8 <sup>th</sup> August 2018 with recommendations.

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
1.02	Outline infrastructure and capital costs of implementing these adjustments to the Waste Collection Authorities and Waste Disposal Authority.		Complete	Full costings to be reported to Lincolnshire Waste Partnership with recommendations on the way forward.	
1.03	Assessment of the Materials Recovery Facility/Recycling market for Mixed Dry Recycling through soft market testing and direct market engagement, to identify potential suppliers to handle the Mixed Dry Recycling mix proposed and if so at what cost compared to current arrangements.		Results of soft market testing July 2018.  Procurement timeline key for understanding the mix from April 2020.	What the Mixed Dry Recycling mix is going to be needs to be agreed as soon as possible before new contract to commence in 2020.	Officer Working Group to agree the mix and report to the Lincolnshire Chief Executives meeting in September 2018 and Lincolnshire Waste Partnership with the recommendations.

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
1.04	Assessment of the public information and education campaign required to support effective implementation of a revised/harmonised Mixed Dry Recycling mix.		End September/ early Oct 2018 for sticker campaign to go on all bins across Lincolnshire to address the main contaminants.	<p>Satisfaction with waste/recycling services by council - targets to be continuous improvement on base line performance.</p> <p>Recycling and composting rate by council- target to be agreed, but to reach a minimum of 50% by 2020. To be revised periodically to meet national targets.</p> <p>To aid the recycling rate this is key marketing if the Mixed Dry Recycling mix changes.</p> <p>Improved recycling rate, satisfaction levels across the County remain high with residents and the message is clear.</p>	<p>Improved awareness of what can/cannot be recycled, so as to align with the strategy document and agreement on a new Mixed Dry Recycling mix.</p> <p>Greater participation in recycling/composting schemes.</p> <p>Improving satisfaction with Council services.</p> <p>Lincolnshire Waste Partnership agreed short term that stickers should be produced for across the County saying NO to the main contaminants.</p> <p>A communications campaign to go alongside the sticker end Sept to tie in with National Recycling week.</p>
1.05	Feasibility of building a Materials Recovery Facility outline cost estimates.		To be confirmed by Lincolnshire Waste Partnership.	Business case to be completed before being considered by the Lincolnshire Waste Partnership in November 2018.	Decision to be made by Partnership after the business case discussed.
1.06	Feasibility of having a dirty Materials Recovery Facility or more.		20th July 2018.	Business case to be completed before being considered by the Lincolnshire Waste Partnership.	Findings to be presented to the Officer Working Group initially on the 8 <sup>th</sup> August 2018.
1.07	Proposals for dealing with other recyclables at the kerbside such as textiles, batteries, household electrical items, batteries etc		To be confirmed	To be agreed.	To be agreed.

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
1.08	To tackle contamination in our current recycling stream, between now and when the Mixed Dry Recycling contract is re-let in 2020, develop an effective, simple public communication campaign.		End Sept 2018 all bins in the County to have a sticker on the recycling bin to try and reduce contamination.	<p>To aid the recycling rate by targeting the contamination.</p> <p>The levels of contamination to be monitored monthly to see if there is a decrease following the sticker campaign.</p> <p>Communications plan required around this as also need to join up the message that is being delivered locally and Nationally.</p>	<p>Improved recycling rate, satisfaction levels across the County remain high with residents and the message is clear through communications campaign.</p> <p>Reduction to the 27% contamination rate.</p>

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
1.09	Secure expert input from: <ul style="list-style-type: none"> <li>Waste and Resources Action Programme (WRAP)</li> <li>Communications teams</li> </ul>		Procurement underway, consultants appointed end of August 2018. Inception meeting 5th September 2018.  Project timeline amended to final report late 2018.	Further develop the Baseline to include predicted waste growth over 5 and 10 years.	<p>An assessment of the impact of the two stream collection methodology (separate paper/separate food) against the baseline and in 5 and 10 years could this be three stream i.e. Food, Paper / card and Cardboard and others (plastic bottles, glass containers etc).</p> <p>An assessment of the impacts of alternative 'two-tier' cost sharing options on the member authorities of the Lincolnshire Waste Partnership.</p> <p>A high-level assessment of the options available to the Waste Disposal Authority for the provision of residual treatment / disposal facilities over and above those provided by the North Hykeham Energy from Waste facility.</p> <p>A high-level assessment of the service delivery options available to the Waste Disposal Authority with a view to maximising the financial benefit that can be accrued from alternative disposal technologies (e.g anaerobic digestion of separately collected food waste) for an agreed range of household waste streams.</p>
1.10	Research what has worked elsewhere: <ul style="list-style-type: none"> <li>Positive – i.e. What to put in?</li> <li>Negative – i.e. What to leave out?</li> </ul>		Some of this information will come from the soft market testing.		<p>Clearer understanding gained to support the Mixed Dry Recycling mix.</p> <p>Follow-up meetings being held with report to Officer Working Group in Sept 2018.</p>



Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
1.11	Review of the Household Waste Recycling Centres		November 2018	Review the existing arrangements across the County and look at the feasibility of more Centres if required.	From the consultation it was a theme that the public want opening hours extended at current Centres and the possibility of more across the County.
2	<b>Food Waste Trial</b>	<b>1,2,3,4,5,7,8 and 10</b>	<b>12<sup>th</sup> Jul 18 – Initial Feedback to Lincolnshire Waste Partnership.</b>  <b>22<sup>nd</sup> Nov 18 – Detailed Feedback to Lincolnshire Waste Partnership</b>	<b>Measure number of residents in the trial.</b>  <b>Measure the amount of waste collected and reduction in recycling contamination.</b>  <b>Access the Mixed Dry Recycling contamination.</b>	<b>Inform decision making about future collection and disposal options by assessing the available options during the trial to ensure momentum is maintained, including the recent Waste and Resources Action Programme (WRAP) work.</b>  <b>Determine the service’s impact on households’ waste and recycling habits, especially volumes of food in other waste streams.</b>  <b>Assess the impacts of cleaning up the Mixed Dry Recycling contamination.</b>
2.01	Trial commences in South Kesteven area.		4 <sup>th</sup> June 18	Maximise participation and understand households’ motivations for the trial.  Measure the amount of food waste collected and determining if there is any reduction in the recycling contamination or quantity of residual waste presented.  Determine the most effective messages and communications channels.	Clearer understanding of food waste on recyclables and weights of residual. Weekly tonnages and composition analyses being undertaken.
2.02	Initial results reported to Lincolnshire Waste Partnership.		12 <sup>th</sup> July 18	Give an update on the 1st month’s figures from the trial.	Report presented to Lincolnshire Waste Partnership. on the 12 July 2018. Completed task.

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
2.03	Detailed report to Lincolnshire Waste Partnership.		22 <sup>nd</sup> November 18	Report with all of the measurements for how/if the scheme has been successful including costs and savings.	The Lincolnshire Waste Partnership to receive information regarding the success or not of the trial. If successful, defining the extent of the food waste roll-out.
2.04	Investigate expanding the trial to other areas in South Kesteven or discuss with other Districts a trial and costs for this piece of work.		Early 2019	Fully costed options to look at expanding the food waste trial either into South Kesteven or other Districts.	Meeting to be arranged in September 2018 with Lincolnshire County Council and South Kesteven.
<b>3</b>	<b>Strategic Review of Options for Continuous Improvement for Waste Collection and Disposal Arrangements in Lincolnshire</b>	<b>7,8,9 and 10</b>	<b>Early 2019 – Feedback to Lincolnshire Waste Partnership &amp; Lincolnshire Chief Executives Group</b>	<b>What are the benefits for this theoretically to identify an ideal solution without current restraints.</b>	<b>To show the most effective and financially viable way of collecting and disposal of waste throughout the County.</b>
3.01	Initial analysis by Lincolnshire Waste Partnership and the Officer Working Group using Design Council methodology.		May 18		
3.02	Further analysis by Lincolnshire Waste Partnership and the Officer Working Group using Design Council methodology		21 <sup>st</sup> September 2018		
3.03	Interim update reported to Lincolnshire Waste Partnership & to Chief Executives Group		October 2018		

Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
3.04	Further update reported to Lincolnshire Waste Partnership & to Chief Executives Group		Early 2019		
4	<b>Location of additional processing/disposal sites</b>	<b>7,8 and 10</b>	<b>November 2018 – Feedback to Lincolnshire Waste Partnership &amp; Chief Executives Group</b>	<p><b>Initial assessment of users within Lincolnshire</b></p> <p><b>Provide a map and short report on the main areas</b></p> <p><b>Report outputs to Lincolnshire Waste Partnership and obtain direction on what this information will be used for</b></p>	<b>To support the feasibility of another Energy from Waste plant if required.</b>
4.01	A review of the previous report by Element Energy on the data gathered in the consideration of energy mapping within the Greater Lincoln area.			Draft short brief for Element to look at the wider area and obtain a quote and timeline for this piece of work.	Locations to be ranked for suitable areas for a new Energy from Waste plant.
4.02	Evaluating the Lincolnshire Enterprise Partnership work around utility infrastructure with our expected waste infrastructure work.		Delivery of findings by November 2018	<p>Energy mapping work for Greater Lincolnshire Enterprise Partnership completed.</p> <p>Energy Strategy for the Greater Lincolnshire Enterprise Partnership out for consultation.</p>	Energy Strategy and Local Industrial Strategy Energy Components out for consultation.

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Ref	Action	Objectives Supported	Key Dates	KPI/ Targets	Expected Outcome/Update
5	Choosing performance indicators appropriate to measure environmental performance.	7 and 6	Sept 2018	Carbon footprint baseline review.  Review of existing Performance Indicators.	The need for this came through in the consultation as a need to understand the Carbon footprint baseline so that it can be monitored effectively.  To produce a suite of Performance Indicators that can then be effectively produced and reported to the Lincolnshire Waste Partnership.
5.01	Evaluate the current information around carbon footprint		Sept 2018	Once the baseline has been established this the Officer Working Group can then look at targeting reduction and a communication plan.	Outcomes of the consultation was that this needs to be a priority of the Strategy therefore an understanding of the baseline and targeting reducing this is key.
5.02	Review the existing Key Performance Indicators to ensure fit for monitoring the Strategy outcomes		Sept 2018	Looking at what was previously measured and aligning new targets to the outputs of the Strategy.	Have new Key Performance Indicators that are Specific, Measurable, Attainable, Relevant and Timely.

## Appendix E – Glossary of Terms & Abbreviations

Term	Abbrev.	Description
Alternate Weekly Collections	AWC	Typically, the collection of household residual wastes every other week, whilst during the intervening weeks recyclables and/or green wastes are collected.
Anaerobic Digestion	AD	A process by which microorganisms break down biodegradable material in the absence of oxygen.
Biodegradable Municipal Waste	BMW	Those elements of the municipal waste streams that will rot or degrade biologically.
Controlled Waste Regulations	CWR	UK legislation categorising waste by contents and/or source.
Department for Environment, Food & Rural Affairs	Defra	UK government department responsible for waste management (amongst other things).
Energy from Waste	EfW	Any renewable energy technology that recovers energy from waste.
Household Waste	HW	Waste from domestic properties including waste from residual refuse collections, material collected for recycling and composting, plus waste from educational establishments, nursing and residential homes and street cleansing waste.
Household Waste Recycling Centre	HWRC	A place at which the public may deposit their household waste
(Joint) Municipal Waste Management Strategy	(J)MWMS	Also referred to in this document simply as "the Strategy". It is a statutory duty for local authorities in two-tier areas to have a Joint MWMS.
Landfill Allowance Trading Scheme	LATS	An initiative by the UK government to help reduce the amount of BMW sent to landfill. Abolished in 2013.
Lincolnshire Waste Partnership	LWP	Also referred to in this document simply as "the Partnership". Brings together the public bodies within Lincolnshire responsible for collection and disposal of waste.
Local Authority Collected Waste	LACW	Any waste collected by a local authority. Formerly known as "Municipal Waste".
Minerals and Waste Local Plan	MWLP	Sets out: <ul style="list-style-type: none"> <li>the key principles to guide the future winning and working of minerals and the form of waste management in the county; and</li> <li>the criteria against which planning applications for minerals and waste development will be considered.</li> </ul>
Municipal Solid Waste	MSW	A waste type consisting of everyday items that are discarded by the public.
National Indicator	NI	One of a list of indicators used to measure local authority performance. Stopped being statutory from April 2011.

<b>Term</b>	<b>Abbrev.</b>	<b>Description</b>
National Planning Policy Framework	NPPF	Introduced in March 2012, sets out the Government's overarching planning policies for England
National Planning Policy for Waste	NPPW	Introduced in December 2013, sets out the national framework for planning for waste management
Office of the Deputy Prime Minister	ODPM	Former UK government department with responsibility for some aspects of waste management (amongst other things).
Putrescible waste		The component of the waste stream liable to become putrid. For example: organic matter that has the potential to decompose with the formation of malodorous substances, usually refers to vegetative, food and animal products.
Recycling Credits		Statutory payments made by the WDA to a WCA which makes its own arrangements for the recycling of waste which it has collected.
Strategic Environmental Assessment	SEA	A formal assessment of the environmental effects of a strategic document.
Technically, environmentally and economically practicable	TEEP	A formal assessment of whether an individual option can reasonably be achieved. Found in several pieces of waste legislation.
Waste Collection Authority	WCA	A local authority with the duty to collect specified wastes (including household waste). There are seven WCA's covering the LWP area: Boston Borough Council, City of Lincoln Council, East Lindsey District Council, North Kesteven District Council, South Holland District Council, South Kesteven District Council and West Lindsey District Council
Waste Disposal Authority	WDA	A local authority with the duty to operate HWRC's and to dispose of waste collected by WCA's in its area. There is one WDA covering the LWP area: Lincolnshire County Council.
Waste Planning Authority	WPA	A local authority with the duty to collect specified wastes (including household waste). There are seven WCA's covering the LWP area.
Waste Regulatory Authority	WRA	Has responsibility for ensuring compliance with waste legislation. In England this is the Environment Agency.
Waste and Resources Action Programme	WRAP	A government-sponsored organisation promoting recycling and other waste issues.

<b>SUBJECT:</b>	<b>UPDATE ON UNAUTHORISED ENCAMPMENTS IN LINCOLNSHIRE</b>
<b>DIRECTORATE:</b>	<b>COMMUNITIES AND ENVIRONMENT/CHIEF EXECUTIVE AND TOWN CLERK</b>
<b>REPORT AUTHOR:</b>	<b>SIMON WALTERS, DIRECTOR COMMUNITIES AND ENVIRONMENT</b> <b>BECKY SCOTT, LEGAL &amp; DEMOCRATIC SERVICES MANAGER</b>

## **1. Purpose of Report**

- 1.1 To update members on recent unauthorised encampments in the city, a proposal as to how to deal with these in the future, and to seek authority to delegate the signing of the revised Joint Protocol for dealing with Unauthorised Encampments in Lincolnshire to the Chief Executive and the Leader.

## **2. Update on unauthorised encampments**

- 2.1 The City Council has had numerous unauthorised encampments since the Joint Protocol was originally approved in 2014. These have included at Birchwood and Yarborough Leisure Centres, Hartsholme Country Park, King George V playing fields and the West Common. More recently at the LN7 site and South Common.
- 2.2 Attached at Appendix 1 is a breakdown of the encampments in the city in the last 3 years, including clean-up costs.
- 2.3 Each encampment takes up substantial officer time and resources to deal with it, often necessitating an application to the court and extensive interaction with third parties. Engagements can be both protracted and confrontational. The protocol has been a very useful document on which to base the response of the Council to any encampments, and in particular has led to improved relationships between Lincolnshire County Council ("LCC"), the police and the city council, and as a result improved consistency of approach.
- 2.4 In respect of the encampment with the most impact, the travellers at Hartsholme Country Park campsite proved the most difficult to manage, with extensive ASB, abuse to officers, and it resulted in campers leaving the site so had a financial and reputational impact on the council. At Yarborough Leisure Centre there has relatively recently been two occasions where the travellers have arrived just before the 10k. During such times, the Council seeks support from the police to invoke their discretionary powers. In order to do this, the police have needed to justify it through their own decision making processes, and therefore CLC is attempting to make this process as clear as possible in the revised document. More recently the encampment in August proved to be the longest we have had for some time, with them being moved on from Yarborough Leisure Centre by the police, and then

going onto the South Common. This necessitated the council instructing bailiffs and involved the police to finally remove them just before the fair arrived.

- 2.5 It should be noted that after each encampment a review of the security of the site is made and as a result numerous changes have been made to deter returns, such as a rising barrier at Hartsholme Country Park and height barriers have been fitted for both leisure centre sites. It should be noted that it is almost impossible to totally prevent access to any site by those who are determined, it is only possible to make it more difficult.
- 2.6 It was felt that due to the number of encampments both for the city and across the county in recent times, it would be appropriate to review the council's approach, which would also include considering the Protocol to ensure it is meeting its objectives and to make changes to strengthen the partnership working during these incidents.

### **3. Joint Protocol for Dealing with Unauthorised Encampments in Lincolnshire**

- 3.1 LCC have previously attempted to achieve a consensus between all districts, the police and themselves on a document to regularise the way in which Councils and the police deal with unauthorised encampments in accordance with the law and best practice. Historically the City Council dealt with encampments on a case by case basis and therefore it was a welcome step to try to agree a protocol countywide. There has been limited support from other districts, however despite this the City Council has benefitted from the protocol being approved and signed in May 2014
- 3.2 The Joint Protocol for dealing with Unauthorised Encampments has been reviewed with the assistance of the Lincolnshire County Council's (LCC's) Traveller Liaison Officer, Lincolnshire Police's Acting Chief Superintendent, the Assistant Director for Communities and Street Scene, and the Legal and Democratic Services Manager, which has resulted in some proposed amendments. The revised document is with Lincolnshire County Council for approval through the relevant senior manager and the portfolio holder and recently we've been advised that there have been some further changes suggested and we are awaiting hearing back about these.

- 3.3 During the course of discussions about the protocol it was clear that both the County Council's officer representative and the Police would prefer the City Council to earmark a site, or sites, which may be considered suitable to move travellers onto temporarily if they arrive on land which is both operational and where there is a substantial impact on the local community or a business, as identified through a Community Impact Assessment. This option needs further exploration due to the limited amount of land available within the city for such a purpose.

### **4. Proposed Changes to the Protocol**

- 4.1 The proposed revised Protocol being considered by LCC includes the following main changes:-
- To include a precedent Community Impact Assessment to be completed in the initial visit to capture information in a consistent manner and enable a full assessment of the impact to inform decisions about actions to be taken



- To include a standard report to be completed by a local authority to present to the police, with relevant documents attached, to cover all actions taken regarding the encampment and suggested justifications for the police to exercise their discretionary powers to evict trespassers in an unauthorised encampment
  - To include powers of the LCC in respect of taking action against encampments on highways
  - To firm up definitions, expand on general requirements
- 4.2 The suggestions have been discussed at length with the Acting Chief Superintendent and the County Council's Travellers Liaison Officer and we await the outcome from the LCC on the draft protocol.
- 4.3 Given that we have been assured that the changes will be minor, it is proposed that delegated authority be granted by the Executive to the Chief Executive and the Leader of the Council to sign the document on it's behalf. The officers who deal with encampments would prefer there be as little delay as possible in the signing of the document to ensure the council gets the benefit as soon as possible.

## **5. The Wider Approach to Unauthorised Encampments**

- 5.1 Whilst not all those who chose to establish unauthorised encampments on public land have any special protection in law, the Council needs to bear in mind its role in respect of such people and in particular its duties under the Equality Act 2010. In order to ensure that informed decisions are reached concerning the appropriate responses to unauthorised encampments, not only on the City's own land but also on private land.
- 5.2 The terms "Gypsies" and "Travellers" describe different and distinct groups, including Roma Gypsies, Scottish Travellers, Irish Travellers, New Age Travellers and Occupational Travellers. Gypsies and Travellers can be nomadic, partly nomadic or settled. Whether settled or nomadic, Gypsies and Travellers can often be isolated from settled communities and from mainstream service provision, and viewed with suspicion wherever they live.
- 5.3 Romany and Scottish Gypsies and Irish and Scottish Travellers are recognised ethnic groups under the Equality Act 2010 under the protected characteristic of race.

- The Equality Act 2010 makes it unlawful for any public authority or a person carrying out a public function of that body to discriminate against anyone with a protected characteristic and has a duty to eliminate unlawful discrimination, harassment or victimisation.
- 5.4

- Therefore officers must not treat members of the Gypsy or Traveller communities in a way that differs from action taken against members of the settled community or it will be unlawful.
- 5.5

5.6 The Equality Act also places a general duty on public bodies to:

- advance equality of opportunity, between racial groups;
- foster good relations between racial groups.

## **6. Gypsy and Traveller accommodation needs assessment**

6.1 The 2013 Central Lincolnshire Gypsy and Traveller accommodation needs assessment identifies the need for 11 pitches in Lincoln, however a surplus of 4 pitches has been identified in years 0 to 5 (2013-2018) meaning that there is a need for 7 pitches in the city.

6.2 The assessment also highlighted the need for a number of temporary stopping places across central Lincolnshire which should assist in alleviating unauthorised encampments from gypsies and travellers. It should however be noted that not all unauthorised encampments are as a result of Gypsies and Travellers and therefore additional pitches and temporary stopping places will not solve the problem completely. Undertaking this assessment and making the necessary provision is a County Council function.

6.3 There is currently just one site in the city designated as a site for 'travellers', which is owned by Lincolnshire County Council and is partially occupied. A site directly adjacent to this site has been identified in the Central Lincolnshire Local Plan for possible expansion, should it be required. A recent assessment highlighted an element of dissatisfaction with the existing facilities and current condition of the site. This is being looked at by the County Council.

## **7. Availability of alternative sites**

7.1 During the course of discussions the police representative and the County Council's Travellers Liaison Officer both raised the possibility of the City Council reviewing its options regarding offering travellers alternative sites where encampment might be tolerated short term while the legal process is undertaken.

7.2 Pursuit of this idea would mean a review of each encampment on a case by case basis and if an alternative site were to be identified then liaise with all relevant parties, including members, as to whether it would be appropriate to offer that site.

7.3 Enforcement action for the alternative site would be commenced regardless, as if they had encamped unauthorised, to ensure that any such site did not become a regular or permanent site.

7.4 Liaison with neighbouring authorities would also be required to consider sites on Lincoln's immediate boundary.

## **8. Consideration of alternative legal powers**

8.1 There has been a review of available powers and other authority's approaches to their encampments. In particular we have been linking with the Lincolnshire Shared Services legal team and their involvement in obtaining a city wide injunction in Boston from the High Court. This has included various areas of land which have been targeted by unauthorised encampments and it was granted in 2014. Since

that time, whenever a group of travellers who meet the requirements of the Order arrive, the police serve upon them the Injunction Order. So far, it appears to have had the desired effect and the group have moved on relatively quickly and without the need for further legal action.

- 8.2 The advantage of such an injunction is that an unauthorised encampment can be served with the Order immediately to advise them of the fact that they are trespassing on the land, and that will start the legal process to enable the council to obtain authority from the court to remove them without the need for substantial evidence to be gathered as they are breaching the Order just by being on the land. The relevant welfare checks will still need to be made, however an application to the court will be made quickly and if found to be in breach of the Order, enforcement action can commence. Anyone illegally occupying the protected sites could be arrested and imprisoned, fined or have their assets seized. It is also proving to be a deterrent factor in other areas, and it appears that encampments are less likely to be set up in areas where an injunction is in place.
- 8.3 This approach is also being taken by the City of Wolverhampton Council who have now obtained an Injunction Order covering 60 sites in their area

## **9 Requirements for a city wide Injunction Order**

- 9.1 The council will need to present evidence of unauthorised encampments across the city and in the areas which it is seeking to get covered by the Order. This needs to show the impact on the residents/visitors to the area as well as the financial and reputational impact on the council itself. There needs to be a site set aside in the boundary to offer to the travellers as well which there is, however over the past few years, no members of any of the encampments have chosen to move to the Washingborough Road site as it is occupied mainly by one family whom the traveller community would not want to share a site with.
- 9.2 Support for the Injunction Order has been given by the police, through Chief Inspector Stewart Brinn and also the LCC's traveller's Liaison Officer as well.
- 9.3 The Council is also working in partnership with the LCC and hoping to be able to include any areas of their land in the application within the city boundary which they have encampments on, such as the land at Yarborough Leisure Centre
- 9.4 Members views on taking this approach are sought as these proceedings are serious and have been considered as a last resort given the rising numbers of encampments which are unauthorised, and the escalating associated costs. It is recognised that the implementation of the Order would need to be mindful of the rights of the individuals involved.

## **10. Policy Scrutiny Committee**

- 10.1 This committee considered this report on 9 October 2018 and the minutes of that meeting are attached at Appendix 2.

## **11. Organisational impacts**

### 11.1 Land, property and accommodation

The Property Services Manager has considered whether there is any land which could be used as an alternative site over and above the Washingborough one. It has been concluded that, particularly in view of the current new build programme, there are no non-operational sites which could be earmarked as a permanent alternative site. However, during the course of any review of an unauthorised encampment, a view taken as to whether there are any sites available at that time which could be used. This will continue to take place as part of the process and will be kept in mind in the future

### 11.2 Finance

The cost of dealing with unlawful encampments has risen over the years and are outlined on the attached. These costs include for the direct court/legal costs, cleaning up, reparations and installation of deterrents to deter further encampments. The signing of a revised protocol does not itself add to costs, and arguably reduces costs by ensuring effective use of resources. However, should the council agree to designate a site for temporary use, then there would be a cost to setting this up (which is currently unfunded) and it would not necessarily mean any reduction in operational costs.

The above takes no account of the significant impact on staff time and disruption to other services and projects. As a relatively small authority, undertaking the necessary operational and legal duties required to deal with unlawful encampments means disruption to a wide range of programmed work across several departments.

### 11.3 Equality, Diversity & Human Rights

As outlined in the attached Equality Assessment at Appendix 3. This is very similar to the one completed during the course of introduction of the Protocol. There are no negative impacts on individuals which cannot be mitigated and on balance the potential harm to individuals far outweighs the risk of not implementing this Protocol. The Policy supports the promotion of the welfare of Travellers and Gypsies and will increase tolerance by the settled communities and understanding of these groups if a change of policy is able to reduce confrontation

## **12. Risk Implications**

### 12.1 (i) Options Explored

If the Council did not take action to resolve this issue, costs and resources will be taken up by each encampment which unlawfully arrives on city council land, and to not sign up to the revised Protocol risks there being an ad hoc reaction to unauthorised encampments countywide. The potential benefits of partnership working would not be maximised

## 12.2 (ii) Key risks associated with the preferred approach

There is a risk that the council are not successful with its application to the High Court. Every attempt will be made to ensure that all the evidence required will be included in the application. There are no key risks with the approach above to the changes in the Protocol. There may be a community impact if a site is identified to be a short term alternative, which would be managed during each incident of an unauthorised encampment.

## 13. Recommendation

13.1 To approve the proposal to apply for a city-wide Injunction Order, and the delegation of authority for the changes to the Joint Protocol dealing with Unauthorised Encampments in Lincolnshire being signed off by the Chief Executive and the Leader.

**Is this a key decision?** No

**Do the exempt information categories apply?** No

**Does Rule 15 of the Scrutiny Procedure Rules (call-in and urgency) apply?** No

**How many appendices does the report contain?** 3

**List of Background Papers:** None

**Lead Officer:** Becky Scott, Legal & Democratic Services Manager  
Telephone (01522) 873441

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	2015	2016	2017	2018
South Common / Malandry Close			£ 968.14	
Maxwell Ave				£ 5,940.38
Yarborough Leisure			£ 263.80	£ 4,500.00
West Common	£ 205.91	£ 130.83		
HCP		25,898.95		
King George Playing Field	£ 425.60			
Searby Road	£ 47.99			£ 2,417.87
Skellingthorpe Road playing field		3,361.00		
<b>Total</b>	<b>£ 679.50</b>	<b>£ 29,390.78</b>	<b>£ 1,231.94</b>	<b>£ 12,858.25</b>

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## 20. Joint Protocol on Unauthorised Encampments in Lincolnshire

Becky Scott, Legal and Democratic Services Manager

- a. updated members on recent unauthorised encampments in the city and advised that there were proposed amendments to the Joint Protocol for Unauthorised Encampments in Lincolnshire.
- b. referred to Appendix A of the report and gave an overview of the encampments in the city in the last 3 years including the cleaning up costs.
- c. explained the current process for dealing with encampments and advised that each encampment would take up a substantial amount of Officer time and resources to deal with it.
- d. referred to paragraph 4 of the report and outlined the main changes to the Protocol that were being considered by Lincolnshire County Council.
- e. advised that Lincolnshire County Council had some minor amendments that had not been received yet, and suggested that delegated authority be granted by the Executive to the Chief Executive and the Leader of the Council to sign the document once the amendments had been received.
- f. invited members questions and comments

**Question:** Referred to paragraph 7 of the report and asked if there was any land outside of the city boundaries that could be used to offer as alternative sites for travellers?

**Response:** It was difficult to identify land for alternative sites across the County however, officers were working with other authorities to try and achieve this.

RESOLVED that

1. the proposal to seek a city-wide Injunction Order be supported
2. the delegation of authority to the Leader and Chief Executive for the signing off of the Joint Protocol dealing with Unauthorised Encampments in Lincolnshire be supported.

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SECTION A

<p>Name of policy / project / service</p>	<p><b>Joint Protocol Document – Dealing with unauthorised encampments within Lincolnshire</b></p>
<p>Background and aims of policy / project / service at outset</p>	<p><b>The overall aim of the Joint Protocol Document is to ensure that unauthorised campers are dealt with in a fair, open, consistent and transparent manner when deciding whether to tolerate or evict them from land owned or the responsibility of the Council. It also provides guidance as to how to deal with encampments on private land.</b></p> <p><b>The specific objectives of this policy are:</b></p> <ul style="list-style-type: none"> <li>• <b>To provide a public statement on our approach to dealing with unauthorised camping;</b></li> <li>• <b>To monitor and regulate unauthorised encampments within our boundaries;</b></li> <li>• <b>To ensure that any action undertaken is done so in a balanced and lawful way to prevent successful legal challenges;</b></li> <li>• <b>To protect the legitimate interests of lawful users of the site concerned and neighbours to the site;</b></li> <li>• <b>To ensure that the policy does not discriminate against persons on the grounds of race, gender, sexual orientation, religion and belief, disability or age;</b></li> <li>• <b>Through monitoring and feedback to continuously improve our services to all our residents and persons subject to our actions who may not be residents.</b></li> </ul> <p><b>The Protocol takes account of relevant legislation and best practice.</b></p>
<p>Person(s) responsible for policy or decision, or advising on decision, and also responsible for equality analysis</p>	
<p>Key people involved <i>i.e. decision-makers, staff implementing it</i></p>	

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## SECTION B

This is to be completed and reviewed as policy / project / service development progresses

	Is the likely effect positive or negative? (please tick all that apply)			Please describe the effect and evidence that supports this?*	Is action possible to mitigate adverse impacts?	Details of action planned including dates, or why action is not possible
	Positive	Negative	None			
Age	✓			<b>As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. This includes an assessment of health which could assist those of all ages. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.</b>	NA	
Disability (see Glossary of Terms)	✓			<b>As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. This includes an assessment of health which could assist all individuals who are have a disability. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.</b>	NA	
Gender re-assignment			✓	<b>As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.</b>	Yes/No/NA	
Pregnancy and maternity	✓			<b>As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment.</b>	Yes/No/NA	

			<p>This includes an assessment of health which could assist women in this category. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.</p>		
Race		✓	<p>Whilst the protocol is not specifically aimed at Gypsies and Travellers, it is recognised that the majority of unauthorised encampments will be occupied by Gypsies and Travellers due to their transient lifestyle.</p> <p>Literacy levels amongst the Travelling community are statistically low compared to other groups. Some Travellers may therefore have difficulty understanding the written documentation that forms part of the process connected to this protocol.</p> <p>It is well documented that there are significant shortages of authorised long term Traveller sites and transit Traveller sites throughout the country. Section 225 of the Housing Act 2004 places a duty on local authorities with housing responsibilities to take account of the accommodation needs for Gypsies/Travellers. The recent Lincolnshire Gypsy and Traveller Accommodation Assessment and the South Holland GTAA have identified shortages of Traveller accommodation throughout the county. Whilst there remains a shortage of pitch provision for these groups they will have little alternative other to continue stopping on unauthorised locations. Persons who have nowhere else to stop other than on unauthorised sites are recognised in law as being homeless.</p> <p>Various independent studies have shown that literacy levels amongst the Traveller community to be lower than other ethnic groups.</p>	Yes	<p>As previously mentioned, there is a shortage of authorised pitch provision across the county. The Council recognises the findings of the GTAA's and will support and engage with the Lincolnshire district councils on the identification of land and/or additional pitches. By increasing authorised pitch provision this should curtail the number of incidents of unauthorised encampments throughout the county.</p> <p>The documentation is read out to the travellers by officers when they attend on the site. Officers are aware that they need to do this to ensure that they understand it fully given its importance.</p>

Religion or belief	✓			As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed. In addition, there is specifically reference to funerals being a reason to hold off taking action which is a positive element in respect of this protected characteristic	NA	
Sex 238			✓	As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.	NA	
Sexual orientation			✓	As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.	NA	
Marriage / civil partnership			✓	As part of the decision making process the Council offers all unauthorised campers the opportunity to request a needs assessment. The findings of the assessment can determine whether there is a need to tolerate an encampment for a given period of time or whether formal proceedings to remove the encampment can proceed.	NA	
Human Rights (see page 8)	✓			The following articles: Article 2 (right to life), Article 3 (prohibition of torture, inhuman and	Yes	These will be taken into consideration at the time a

				degrading treatment), Article 8 (right to respect for private and family life), Article 9(freedom of expression of belief) and Article 14 (prohibition on discrimination) when taking action.		decision is made as to what action is to be pursued.
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- Evidence could include information from consultations; voluntary group feedback; satisfaction and usage data (i.e. complaints, surveys, and service data); and reviews of previous strategies

Did any information gaps exist?	Y/N/NA	If so what were they and what will you do to fill these?
NO		

**SECTION C**  
**Decision Point - Outcome of Assessment so far:**

Based on the information in section B, what is the decision of the responsible officer (please select one option below):

- |   | <b>Tick here</b> |
|---|------------------|
| • <b>No equality or human right Impact</b> (your analysis shows there is no impact) - sign assessment below                         | [ ]              |
| • <b>No major change required</b> (your analysis shows no potential for unlawful discrimination, harassment)- sign assessment below | [ ]              |
| • <b>Adverse Impact but continue</b> (record objective justification for continuing despite the impact)-complete sections below     | [✓]              |
| • <b>Adjust the policy</b> (Change the proposal to mitigate potential effect) -progress below only AFTER changes made               | [ ]              |
| • <b>Put Policy on hold</b> (seek advice from the E&D officer as adverse effects can't be justified or mitigated) -STOP progress    | [ ]              |

Conclusion of Equality Analysis (describe objective justification for continuing)	No negative impact on individuals which cannot be mitigated and on balance the potential harm to individuals far out weighs the risk of not implementing this Protocol.
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When and how will you review and measure the impact after implementation?*	When an encampment is dealt with, there is a de-brief to consider how it was managed and therefore there will be consideration of any impact considered in this assessment accordingly.
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Checked and approved by responsible officer(s) (Sign and Print Name)	BECKY SCOTT	Date	280918
Checked and approved by Director (Sign and Print Name)	SIMON WALTERS	Date	280918

When completed, please send to [info.equality@lincoln.gov.uk](mailto:info.equality@lincoln.gov.uk) and include in Committee Reports which are to be sent to the relevant officer in Democratic Services

The Equality and Human Rights Commission guidance to the Public Sector Equality Duty is available via: [www.equalityhumanrights.com/new-public-sector-equality-duty-guidance/](http://www.equalityhumanrights.com/new-public-sector-equality-duty-guidance/)



<b>SUBJECT:</b>	<b>EXCLUSION OF THE PRESS &amp; PUBLIC</b>
<b>DIRECTORATE:</b>	<b>CHIEF EXECUTIVE &amp; TOWN CLERK</b>
<b>REPORT AUTHOR:</b>	<b>CAROLYN WHEATER, MONITORING OFFICER</b>

**1. Purpose of Report**

- 1.1 To advise members that any agenda items following this report are considered to contain exempt or confidential information for the reasons specified on the front page of the agenda for this meeting.

**2. Recommendation**

- 2.1 It is recommended that the press and public be excluded from the meeting at this point as it is likely that if members of the press or public were present there would be disclosure to them of exempt or confidential information.

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