

## POLICY SCRUTINY COMMITTEE

**Tuesday, 19 June 2018**

**6.00 pm**

**Committee Room 1, City Hall**

Membership:	Councillors Chris Burke (Chair), Bill Bilton (Vice-Chair), Andy Kerry, Ralph Toofany, Pat Vaughan, Christopher Reid and Bob Bushell
Substitute member(s):	Councillors Gary Hewson and Kathleen Brothwell
Officers attending:	Democratic Services, Legal Services, Steve Bird, Heather Grover, Claire Burroughs, Joanne Crookes, Yvonne Fox and Martin Walmsley

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### A G E N D A

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<b>SECTION A</b>	<b>Page(s)</b>
1. Confirmation of Minutes - 20 March 2018	<b>3 - 10</b>
2. Declarations of Interest	
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.	
3. Fair Trade Policy	<b>11 - 18</b>
4. Joint Municipal Waste Management Strategy for Lincolnshire	<b>19 - 110</b>
5. Review of Mutual Exchange Policy	<b>111 - 122</b>
6. Business Rates Growth Policy	<b>123 - 146</b>
7. Review of Fraud and Sanction Policy	<b>147 - 160</b>
8. People Strategy	<b>161 - 164</b>
9. Customer Experience Strategy Report	<b>165 - 170</b>
10. Policy Scrutiny Work Programme 2018-19 and Executive Work Programme Update	<b>171 - 180</b>
11. Health Scrutiny Update	<b>Verbal Report</b>



**Present:** Councillor Jackie Kirk (*in the Chair*),  
Councillor Jane Loffhagen, Councillor Andy Kerry,  
Councillor Liz Maxwell, Councillor Ralph Toofany,  
Councillor Pat Vaughan and Councillor Keith Weaver

**Apologies for Absence:** None.

**44. Confirmation of Minutes**

RESOLVED that the minutes from the meetings held on 16th January 2018 and 20 February 2018 be confirmed.

**45. Declarations of Interest**

Councillor Andrew Kerry declared a Disclosable Pecuniary Interest with regard to the agenda item titled 'Health Scrutiny Update'.

Reason: He worked for the East Midlands Ambulance Service. He left the room during the consideration of this item.

**46. Lincoln Community Lottery Update**

Graham Rose, Senior Policy Officer

- a. presented a report to provide an update on the progress with implementation plans for the Lincoln Community Lottery (LCL) and to provide the proposed criteria for the acceptance of good causes.
- b. advised that Gatherwell had been appointed as External Lottery Manager on a two year contract.
- c. referred to paragraph 3 of the report and gave an overview of the actions that had been completed and the next steps in the process.
- d. outlined the mechanics of how the lottery would work and advised that for every £1 spent, the purchaser could allocate 50% towards their chosen good cause and a further 10% would go into a central pot for the City of Lincoln Council to allocate, if the purchaser did not choose a good cause the central pot would get the full 60%.
- e. suggested other criteria for allowing a 'good cause' to join the lottery as detailed at Appendix A of the report.
- f. referred to Appendices B and C of the report which set out 3 boundary areas for consideration and advised that it was recommended that a 6 mile boundary be adopted.
- g. proposed that a panel of at least 2 members plus officers be formed to agree the good causes accepted onto the lottery and suggested that they also considered the appropriate distribution of funds from the central pot on a quarterly basis.

- h. referred to appendices D to L and advised that Gatherwell had provided 5 policies, 1 draft GDPR policy and 3 terms to cover all aspects of implementation.
- i. invited members' questions and comments.

Question: Would a national charity be eligible if they had a local branch but their funds were kept in a central pot of money not local to Lincoln?

Response: If the charity had a local branch and they could guarantee that the money was spent locally, then they would meet the eligibility criteria, and this would be included in the terms of reference of the members' panel.

Question: What would the Community Fund be spent on?

Response: Members could recommend how the funds from the central pot could be distributed, there were no specific causes identified at the moment.

Question: If 50% of the £1 spent would go to the chosen good cause and 10% go to the central pot, what would the remaining 40% be used for?

Response: It would be used to run the lottery, it would go towards prizes, VAT which could be claimed back and used to cover operating costs and to Gatherwell for running the lottery on behalf of the Council.

Question: Would there be any extra staffing costs?

Response: No there would be no additional staffing costs.

Question: How would players of the lottery purchase tickets?

Response: Gatherwell would run the lottery on behalf of the council and would take all payments either online or over the telephone.

Question: How much take up was expected?

Response: Based on comparisons of other lotteries that had been set up in similar areas to Lincoln, it could potentially have 100,000 participants in 5 years if the 6 mile radius was adopted.

Question: What would happen if the take up was lower than expected?

Response: There would be no cost to the Council, Gatherwell would be taking all of the risks.

Question: How would the lottery be promoted?

Response: There would be a press release, a launch event for good causes, an article in Your Lincoln, and a social media campaign. There would be bolt on prizes on the first draw and it was recommended by Gatherwell to have bolt on prizes for draws every 6 months. Also, the good causes will carry out a lot of the promotion themselves.

Question: Was there a limit to the number of good causes?

Response: No there was no limit.

Question: Could members be provided with details of the lottery so that they could recommend good causes.

Response: Once the lottery had been to Executive, full details would be circulated to all members.

RESOLVED that

1. The policies and terms at Appendices D to L of the report be noted and referred to Executive for approval.
2. The 6 mile boundary be supported and referred to Executive for approval.
3. The criteria for good causes be supported and referred to Executive for approval.
4. It be recommended that the Member Selection Panel be comprised of the Portfolio Holder for Social Inclusion and Community Cohesion and the Chair of Audit Committee.
5. A review of the Lincoln Community Lottery be brought back to Policy Scrutiny Committee 12 - 18 months from implementation.

#### **47. Private Housing Health Assistance Policy**

Simon Colburn, Assistant Director, Health and Environmental Services:

- a. presented the Private Housing Health Assistance Policy 2018-2022 for consultation and advised that it would supersede the Private Sector Housing Assistance Policy which had been suspended by Executive in 2015.
- b. referred to paragraph 5.2 of the Private Housing Health Assistance Policy 2018 - 2022 and gave an overview of the challenges that had been highlighted by the recent BRE Integrated Dwelling Level Housing Stock Modelling and Database for the City of Lincoln Council.
- c. referred to paragraph 2.2 of the report and advised on the changes that the Government had made to the funding mechanism for Disabled Facilities Grants.
- d. summarised the aim of the fund which was to provide a more joined up and customer based service to reduce hospital and care admissions and enable people to return home from hospital more quickly.
- e. advised on the aims of the proposed Private Housing Health Assistance policy as detailed at paragraph 4.2 of the report.
- f. referred to Appendix 1 of the report and gave an overview of the proposed schemes.
- g. advised that it was proposed that the formal means testing element be removed from the majority of the Discretionary Schemes which would

reduce the time taken to process applications and assist in early intervention to prevent hospital admission/reduce reliance on carers.

- h. referred to paragraph 4.42 of the report and highlighted the proposed introduction of several new forms of financial assistance which could be used to support wider social care outcomes.
- i. advised that consultation on the draft policy had taken place with Lincolnshire County Council Adult Care and Community Wellbeing.
- j. advised on the financial and legal implications to the council as detailed at paragraph 6 of the report.
- k. gave an overview of the options that had been explored and the key risks associated with the preferred approach as detailed at paragraph 7 of the report.
- l. invited members' questions and comments.

Question: Would the grants be advertised?

Response: The mandatory Disabled Facilities Grants (DFG's) were not advertised, however, some of the other grants would need to be promoted to make people aware of them.

Question: Would the changes to the welfare system affect the Disabled Facilities Grants and could there be changes made to the grants?

Response: There were no proposals from the Government at the moment to make any changes to the DFG's.

Question: Was there a cash limit on the DFG's?

Response: There was a fixed budget allocated from the County Council to the District Councils at the beginning of each financial year. Currently the district allocation was approximately £700,000.

Comment: Concern was expressed over the staffing levels and the need for the council to ensure that the staff could cope with the extra work that this would bring.

Response: It was difficult to recruit staff in higher level housing positions nationally. There had been a review of the structure within the team, which involved members of staff being upskilled. It was felt that there was currently sufficient staffing levels to cope with the workload.

Question: With reference to paragraph 1.2 of the policy, when the available budget had been committed for the year and the council did not keep a waiting list, would the applicant have to make a new application in the new financial year?

Response: It had been written in to the policy in the event that the budget ran out early in the year, if for example there was 2 weeks to the next financial year the applicant would not be asked to submit a new application.

Question: With reference to paragraph 5.2 of the policy, would the information be updated more often than 4 years as it would be quickly out of date?

Response: The Substantive Stock Survey which was a large piece of research work would be completed every 5 years, the information in the mean time would be updated as and when required.

Question: Was it appropriate that the policy be amended to clarify the meaning of Article 3 RRO.

Response: RRO stood for The Regulatory Reform (Housing Assistance) Order 2002 and it provided the legal framework.

Question: With reference to paragraph 8.2 of the policy, repayment of a grant with interest within 12 months was harsh for potentially vulnerable people.

Response: It had been written into the policy as a deterrent for people who may try and claim for works that they were not entitled to as they had funds to pay for work themselves.

Question: With reference to Appendix 1 of the report, what was the rationale for means testing some of the schemes and not others?

Response: A means test was required for mandatory grants such as the DFG's and in the case of large grants full checks needed to be done, however for emergency grants such as Hospital Discharge Assistance not completing a full means test would speed up the process.

The Chair further commented that more consistency and uniformity was needed throughout the individual scheme details in the policy in relation to the following:

- The eligibility of all ages including children needed to be clarified in all individual scheme details.
- It was stated in the Hospital Discharge Assistance Scheme conditions that if the property was disposed of within 10 years of completion of the works re-payment of the full amount would be required. This would be reduced by 10% for each complete year. Could this condition be included within all of the individual scheme details?

Response: The suggestions would be considered and the policy would be updated where appropriate.

RESOLVED that

1. The Private Housing Health Assistance Policy 2018-2022 be endorsed subject to the suggested changes listed above and referred to Executive for approval.
2. The Private Housing Health Assistance Policy be reviewed by Policy Scrutiny Committee in September 2019.

#### **48. Empty Homes Strategy**

Hannah Cann, Private Housing Team Leader

- a. presented the new Empty Homes Strategy for Lincoln 2017-2022 to deliver the Vision 2020 and Housing Strategy objectives.
- b. advised that as of 1<sup>st</sup> January 2018 there were 419 long term empty privately owned homes in the City, 104 of these properties had been empty for two or more years.
- c. advised that bringing empty homes back to use offered income opportunities to the council, both through receipt of New Homes Bonus, and the potential to acquire and develop properties for resale or letting.
- d. referred to paragraph 4.2 of the report and highlighted the 4 main aims of the Empty Homes Strategy.
- e. referred to Appendix 5 of the strategy which set out the terms and conditions of the Empty Homes Working Group and advised that the group would identify long term empty homes, in particular those causing a problem, and bring them back to use.
- f. advised that there were resource needs including a capital budget for the acquisition and renovation of empty homes which would be identified on a case by case basis.
- g. referred to the action plan at Appendix 1 of the report and advised that the actions centred around exploring and improving the options available to the Council, on its own or in partnership to encourage and enforce owners to bring their homes back into use, and to acquire, develop and manage or dispose of long term empty homes.
- h. referred to paragraph 6.2 of the report and explained the enforcement powers that would be used to improve the condition of the empty homes and bring them back into use.
- i. invited members' questions and comments.

Question: Had the Council tried to bring empty properties above shops back into use?

Response: Yes where it was viable, there were often fire safety issues for properties above shops as it was shared access.

Question: In cases where a property had been left empty due to someone going to prison would the Council liaise with the Victim Liaison Service before taking enforcement action?

Response: Yes, the process initially would be to engage with the owner and the approach would be adapted depending on the reasons why the property had been left empty.

Question: With reference to The Empty Dwelling Management Order (EDMO) where the Council would take control of the property for up to seven years, what would happen to the property after 7 years?

Response: The property would be let to someone on the housing waiting list with an immediate housing need, it would be made clear to them when they moved in



that it would not be a house for life. Part of the action plan at Appendix 1 of the policy was to write operational procedures for EDMOs.

Comment: It was suggested that the membership of the Empty Property Working Group be referenced earlier in the Policy.

Response: Paragraph 4.3 of the policy could be amended to include a list of areas involved in the Empty Property Working Group.

RESOLVED that

1. The Empty Homes Strategy be noted and referred to Executive for approval.
2. The additional financial resources, including a capital fund, needed for CPO and EDMO to be bought back to Executive on a case by case basis to seek authority for the expenditure be noted.

#### **49. General Data Protection Regulation (Data Protection) Policy**

Becky Scott, Legal and Democratic Services Manager:

- a. presented the EU General Data Protection Regulation and Data Protection Policy for consideration prior to Executive approval.
- b. advised that the Data Protection Act 1988 would be replaced by a new Data Protection Act 2018 which would implement the General Data Protection Regulation (GDPR) into UK law by 25 May 2018.
- c. advised that the Council needed to have a policy to enable the council to be compliant with the new legal framework and also to raise awareness of the GDPR to officers' and Councillors. Therefore members of the public could be confident that the organisation was aware of their responsibilities of the new legal framework.
- d. advised that the GDPR stated that anyone processing personal data must adhere to the 6 data principles.
- e. gave an overview of the following 6 data protection principles:
  1. Lawfulness, fairness and transparency principle: processed fairly, lawfully and in a transparent manner in relation to individuals.
  2. Purpose limitation principle: collected for specified, explicit and legitimate purpose and not further processed in a manner incompatible with those processes.
  3. Data minimisation principle: adequate, relevant and limited to what was necessary for the purposes for which they are processed.
  4. Accuracy principle: accurate and where necessary kept up to date.

5. Storage limitation principle: kept in a form which permits identification of the data subjects for no longer than necessary for the purposes for which the personal data was processed.
6. Integrity and confidentiality principle: processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

f. advised that an Equality Impact Assessment was not required.

Members considered the contents of the report.

RESOLVED that the General Data Protection Regulation (Data Protection) Policy be supported and referred to Executive for approval.

**50. Draft Policy Scrutiny Work Programme 2018-2019 and Executive Work Programme**

The Democratic Services Officer:

- a. presented the report 'Draft policy Scrutiny Work Programme 2018-2019 and Executive Work Programme'
- b. presented the Executive Work Programme March 2018 to February 2019.
- c. requested councillors to submit what items they wished to scrutinise from the Executive Work Programme and policies of interest.
- d. invited member's questions and comments.

Members made no further comments or suggestions regarding the Policy Scrutiny work programme.

RESOLVED that:

1. The Policy Scrutiny work programme be noted.
2. The Executive work programme be noted.

**51. Health Scrutiny Update**

The Chair of Policy Scrutiny Committee updated members of the business that had been discussed at the Health Scrutiny meeting held on 21 February 2018:

- Alternative Provisions to the Walk in Centre
- Non- Emergency Patient Transport Services for NHS Lincolnshire CCG's
- Lincolnshire Sustainability and Transformation Partnership: Mental Health Priority
- Joint Health and Wellbeing Strategy.

RESOLVED that the content of the verbal report be noted.

<b>SUBJECT:</b>	<b>CITY OF LINCOLN COUNCIL FAIRTRADE POLICY AND AUDIT</b>
<b>DIRECTORATE:</b>	<b>CHIEF EXECUTIVE AND TOWN CLERK</b>
<b>REPORT AUTHOR:</b>	<b>HEATHER GROVER – PRINCIPAL POLICY OFFICER</b>

**1. Purpose of Report**

1.1 To present Policy Scrutiny Committee with the City of Lincoln Council Fairtrade Policy and Fairtrade Audit.

**2. Executive Summary**

2.1 The city of Lincoln was first awarded Fairtrade City status in August 2013, with the most recent accreditation being achieved in July 2016.

2.2 In order to achieve and maintain this status, City of Lincoln Council was required to pass a resolution to support Fairtrade.

2.3 This resulted in the development and subsequent approval of the City of Lincoln Council's Fairtrade Policy, approved by Executive in July 2012.

2.4 In April 2017 a decision was taken to update the Fairtrade Policy. A further refresh of the policy was scheduled to take place in advance of the next Fairtrade City status renewal in July 2018.

2.5 A desktop review has been undertaken and the policy remains fit for purpose with no changes required. A Fairtrade audit was undertaken in May 2018.

**3. Background**

3.1 The Lincolnshire Trade Justice Group set up a Lincoln Fairtrade Steering Group in 2012, with the aim of achieving Fairtrade City accreditation for Lincoln, awarded by the Fairtrade Foundation.

3.2 Lincoln first achieved Fairtrade City status in August 2013 after meeting each of the following five goals;

- Goal 1 - The local council passes a resolution supporting Fairtrade
- Goal 2 - At least four Fairtrade product ranges are readily available in the area's shops and retail outlets, and two Fairtrade products are served in local cafes/catering establishments
- Goal 3 - Fairtrade products are used by an appropriate number of local work places and community organisations
- Goal 4 - Attract media coverage and popular support for the campaign
- Goal 5 - A local steering group is convened to ensure progress and continued support

- 3.3 These goals are designed to ensure as many people as possible are aware of Fairtrade products, and the impact buying Fairtrade can have on communities worldwide.
- 3.4 Lincoln's Fairtrade City accreditation was initially renewed after one year in August 2014, with subsequent renewals required every two years.
- 3.5 Lincoln's most recent renewal was in July 2016, with the next renewal due in July 2018.
- 3.6 In total there are 631 towns/cities accredited with the Fairtrade Foundation in the UK.
- 3.7 To ensure the City of Lincoln Council fulfilled its duties under Goal 1, the council introduced a Fairtrade Policy in July 2012.

#### **4. Main Body of Report**

- 4.1 Following the introduction of the City of Lincoln Council's Fairtrade Policy in 2012, the council has continued to support the Lincoln Fairtrade Steering Group to maintain Lincoln's Fairtrade City accreditation.
- 4.2 Following a refresh of the council's Fairtrade Policy in April 2017 a decision was taken to refresh the policy again in April 2018 in advance of Lincoln's next Fairtrade City renewal. Following the 2018 renewal the policy will then be refreshed every two years in line with future renewals.
- 4.3 During April 2018 officers completed a desktop review of the policy and concluded that this remains accurate and reflective of the Fairtrade activities the council is currently undertaking and plans to undertake during the next two years. As a result of this no amendments have been made to the policy during the 2018 review. The policy has been provided at Appendix A.
- 4.4 As part of the Fairtrade City status renewal, the council is required to undertake an internal audit of the Fairtrade products purchased and used by the City of Lincoln Council, and also those Fairtrade products used by tenants of City of Lincoln Council owned premises. This latest audit has been provided at Appendix B and shows the council and its tenants continue to use a range of Fairtrade products.
- 4.5 The next audit will be undertaken ahead of the next Fairtrade accreditation renewal and in line with the next refresh of the Fairtrade Policy in 2020.

#### **5. Strategic Priorities**

- 5.1 Let's reduce inequality  
The City of Lincoln Council aims to lead by example in promoting ethical procurement.

#### **6. Organisational Impacts**

- 6.1 Finance – There are no direct financial implications of the City of Lincoln Council Fairtrade Policy and audit.

- 6.2 Legal Implications including Procurement Rules – No impact.
- 6.3 Land, property and accommodation – No impact.
- 6.4 Human Resources – No impact.
- 6.5 Equality, Diversity & Human Rights – Not applicable – The original Equality & Diversity Impact Assessment remains relevant.
- 6.6 Significant Community Impact – Not applicable.
- 6.7 Corporate Health and Safety implications – Not applicable.

**7. Risk Implications**

- 7.1 (i) Options Explored – Not applicable.
- 7.2 (ii) Key risks associated with the preferred approach – Not applicable.

**8. Recommendation**

- 8.1 Policy Scrutiny Committee notes the updated Fairtrade Policy (Appendix A) and Audit (Appendix B) in advance of these being used to support Lincoln’s upcoming Fairtrade City status renewal in July 2018.

**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?** Two

**List of Background Papers:** None

**Lead Officer:** Heather Grover, Principal Policy Officer  
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**City of Lincoln Council**

**Fairtrade Policy**

**April 2018**

Together, let's deliver  
Lincoln's ambitious future 

## Document control

<b>Organisation</b>	City of Lincoln Council
<b>Title</b>	Fairtrade Policy
<b>Author - name and title</b>	Graham Rose, Senior Policy Officer
<b>Owner - name and title</b>	Daren Turner – Assistant Director of Strategic Development
<b>Date</b>	April 2018
<b>Approvals</b>	Executive – 17 <sup>th</sup> July 2017 Officers only as no changes made - April 2018
<b>Filename</b>	City of Lincoln Council Fairtrade Policy – April 2018
<b>Version</b>	V.02
<b>Next review date</b>	May 2020 (in line with Fairtrade Audit)

## Document Amendment history

<b>Revision</b>	<b>Originator of change</b>	<b>Date of change</b>	<b>Change description</b>
May 17	Graham Rose – Corporate Policy Officer	11 <sup>th</sup> May 2017	Original Fairtrade Policy approved April 2012. Policy has been reviewed to ensure this remains accurate. Fairtrade audit has been updated in line with Fairtrade City status renewal.
April 18	Graham Rose – Senior Policy Officer	4 <sup>th</sup> April 2018	Desktop review with no changes required.



## **City of Lincoln Council**

### **Fairtrade Policy**

#### **Fairtrade Policy Statement**

The council recognises the work of the Fairtrade Foundation<sup>1</sup> in improving the conditions of farmers and communities in developing countries, supports the principles promoted by Fairtrade, and will work to maintain Fairtrade City status. In doing so, we will work with the council's providers, contractors and within the community to raise awareness and encourage the promotion and procurement of Fairtrade products.

#### **Fairtrade Policy**

The council resolves to:

- Where ever possible serve Fairtrade options at council public and committee meetings
- Promote awareness of fair trade issues and make educational and publicity information available to council employees, other local authorities and their employees, businesses, voluntary organisations, schools and local people
- Promotion will be through the council's own communication channels/publications and through its various partnerships and links
- Continue to acknowledge fair trade as a part of the Sustainable Procurement Strategy
- Support initiatives that promote fair trade, such as 'Fairtrade Fortnight'
- Encourage local businesses and organisations (including the voluntary sector and charities) to apply for Fairtrade Friendly Accreditation by including advice on the council website
- Allocate responsibility to an elected member to lead on Fairtrade matters
- Make appropriate arrangements for managing the implementation and outcomes of this Policy

The City of Lincoln Council will undertake to review the Fairtrade Policy and audit the Fairtrade options it provides on a biennial basis in line with Lincoln's Fairtrade City status renewal.

<sup>1</sup> The Foundation was established in 1992 by CAFOD, Christian Aid, Oxfam, Traidcraft, Global Justice Now, and the National Federation of Women's Institutes. Member organisations now also include Banana Link, All We Can, National Campaigner Committee, Nicaragua Solidarity Campaign, People & Planet, Scottish Catholic International Aid Fund, Shared Interest Foundation, Soroptimist International, Tearfund and Commitment to Life/United Reformed Church. The Foundation is the UK member of Fairtrade International, which unites over 20 labelling initiatives across Europe, Japan, North America, Mexico and Australia/New Zealand as well as networks of producer organisations from Asia, Africa, Latin America and the Caribbean. The Fairtrade Foundation is a registered charity (no. 1043886). It is also a company limited by guarantee, registered in England and Wales (no. 2733136). <http://www.fairtrade.org.uk/en/what-is-fairtrade/who-we-are>

## APPENDIX B

### City of Lincoln Council

#### Fairtrade Audit

A review of Fairtrade products currently purchased and used by the City of Lincoln Council and its tenants was undertaken in May 2018, in line with Lincoln's Fairtrade City accreditation renewal.

Location	Fairtrade products provided?	Products available
Birchwood Leisure Centre Café	Yes	- Fairtrade tea - Fairtrade coffee
Café 44 (Bus station)	Yes	- Fairtrade tea - Fairtrade coffee
City Hall Committee Rooms 1-3 drinks machines	Yes	- Fairtrade sugar  <i>All other products are from sustainable sources and follow sustainable schemes, such as the Rainforest Alliance*.</i>
City Hall Committee Room 4 drinks machine	Yes	- Fairtrade Cadbury's Hot Chocolate - Fairtrade sugar
Departmental meetings	Yes	- Fairtrade tea - Fairtrade coffee - Fairtrade sugar
Hamilton House	Yes	- Fairtrade tea
The Terrace	Yes	- Fairtrade tea - Fairtrade coffee - Fairtrade sugar  <i>All Fairtrade products at The Terrace are supplied by Café Portico.</i>
Yarborough Leisure Centre Café	Yes	- Fairtrade tea - Fairtrade coffee

The next Fairtrade Audit is due to take place in May 2020.

\*Rainforest Alliance certification differs from Fairtrade in the focus and strategy of their missions. Fairtrade standards are designed to tackle poverty and empower producers in the world's poorest countries, giving them a guaranteed price for their products. Rainforest Alliance certification focuses on how farms are managed, with certification being awarded to farms that meet the comprehensive standards of the Sustainable Agriculture Network (SAN), a coalition of local, grassroots organisations. The SAN standard encompasses all three pillars of sustainability—social, economic, and environmental and empowers farmers with the knowledge and skills to negotiate for themselves in the global marketplace. Rainforest Alliance certification and training are teaching farmers, farm workers, and their families to farm efficiently and responsibly, growing their bottom lines today and conserving the fertile soils and natural resources on which they and their children will depend in the future. <http://www.rainforest-alliance.org/faqs/difference-rainforest-alliance-certified-fair-trade-utz>

**SUBJECT: JOINT MUNICIPAL WASTE MANAGEMENT STRATEGY FOR LINCOLNSHIRE – PUBLIC CONSULTATION DRAFT**

**DIRECTORATE: COMMUNITIES AND ENVIRONMENT**

**REPORT AUTHOR: STEVE BIRD, ASSISTANT DIRECTOR COMMUNITIES AND STREET SCENE**

## **1. Purpose of Report**

- 1.1 To introduce and provide background to the new draft Joint Municipal Waste Strategy document currently being consulted upon by the County Council.
- 1.2 To provide members an opportunity to comment, so that the Portfolio Holder can take account of committee's view in the drafting of her response on behalf of the City Council.

## **2. Executive Summary**

- 2.1 The draft 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 JMWMS was approved for public consultation, which was launched on 4th April and closes on 2nd July.
- 2.3 It is the Public Consultation Draft version of the strategy which is before members for consideration. The response of the Committee is required to be submitted, if possible, in a standard format, although additional supporting information can also be submitted.
- 2.4 Attached to this report is a copy of a draft response pre-prepared by the City Council's Portfolio Holder for these services in the standard format. This is provided as draft, so as to inform and stimulate debate supporting the drafting of a final version. The Portfolio Holder will be pleased to make adjustments based on the committee's feedback, ensuring that the City Council's views are clear, focused and consolidated.
- 2.5 As members will see, it is anticipated that the JMWMS will be subject to revision following the consultation, and that the 'final' document will be submitted to the Council's Executive for consideration as a signatory.

## **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 Consultation Draft

4.1 This draft version of the strategy for consultation has been prepared, revised, and approved by the LWP.

4.2 Whilst this remains a draft document, open to change in response to public consultation, it is presented to Members in its full form, so that it is possible to understand both what the LWP are seeking to achieve. A summary document has also been released with the public consultation pack for those that are less concerned with the detail in the full strategy document.

4.3 Feedback on the consultation is welcomed from anyone with an interest in Lincolnshire's waste services, including the public, and will be considered when developing the document and finalising the strategy, before being presented at each LWP authority for adoption in the autumn of this year.

4.4 The full strategy document is attached at Appendix A to this report, whilst the summary strategy document is attached at **Appendix B**.

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

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?

4.5 Chapter five sets out information, including:

- An analysis of the nature and performance of existing services;
- The impacts of any service changes
- 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.

4.6 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 we receive in our recycling collections is not recyclable, whilst a quarter of what we receive in our general waste collections is actually recyclable.

4.7 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.”***

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.”***

4.8 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 consider moving towards a common set of recycling materials.
<b>Objective 3.</b>	To consider the introduction of separate food waste collections.
<b>Objective 4.</b>	To explore new opportunities of using all waste as a resource in accordance with the waste hierarchy.
<b>Objective 5.</b>	To contribute to the UK recycling target of 50% by 2020.
<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 whether further residual waste recovery/disposal capacity is required and, if necessary, seeks to 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.

In order to achieve these objectives, this strategy will be accompanied by a separate action plan 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. The action plan will be developed by the LWP once the strategy has completed public consultation and has been adopted by all LWP members.

4.9 Chapter 7 sets out some of the themes that need to be reflected in the action plan, if and when the objectives are adopted:

- 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

4.10

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.

4.11

Once the consultation has concluded on the 2<sup>nd</sup> July 2018, the LWP will consider what final changes need to be made to the strategy to reflect the feedback obtained. Each LWP member authority will then consider the County's final draft with the intent of adopting the final version. This is likely to be during the autumn of 2018.

4.12

**Appendix C** is a copy of the Portfolio Holder's current draft response. This is provided to stimulate debate and discussion on the key points and to assist in the development of a full and formal response. It is not intended to pre-empt committee's views, and the Portfolio Holder is prepared to make comprehensive changes to this draft should that be the will of the committee.

## 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

There are no financial implications arising 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 details of the action plan have been developed will we be able to see how residents will be affected. 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, can be slower.

**8. Recommendation**

8.1 To consider the draft JMWMS and to make comment so as to inform a single



consolidated view that can be submitted on behalf of the Council by the Portfolio Holder.

**Is this a key decision?**

Yes

All key decisions require 28 days' public notice. If in doubt, please check with Democratic Services.

**Do the exempt information categories apply?**

No

28 days' public notice must be given to Democratic Services before any Executive meeting held in private. If in doubt, please check with Democratic Services. Please also see the exempt paragraph provisions detailed at the end of this template

**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:**

Steve Bird  
Telephone (01522) 873421

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# Joint Municipal Waste Management Strategy for Lincolnshire



**This draft document sets out how the organisations which form the Lincolnshire Waste Partnership (LWP) will work together to deliver waste management services which protect the environment and provide value for money.**

**Feedback is invited from anyone with an interest in our waste services, and will be considered in finalising the Strategy before it is adopted by each LWP authority at the end of the process.**



## **Table of contents**

**1 Summary**

**2 Introduction**

**3 What are the key legislative drivers?**

**4 How has the strategy been developed?**

**5 Where are we today?**

**6 What are we aiming for?**

**7 How will we get there?**

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

## **Appendices**

**Appendix A – Neighbouring Authorities**

**Appendix B – Input from across the LWP**

**Appendix C – Public Consultation Results**

**Appendix D – Glossary of Terms & Abbreviations**

# 1 Summary

This Joint Municipal Waste Management Strategy (JMWMS) for Lincolnshire sets out how the eight local authorities of Lincolnshire and the Environment Agency will work in partnership to protect the environment by delivering sustainable waste management services and to establish best value waste management practices.

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## 1.1 This version of the Strategy

This draft version of the Strategy has been prepared and revised in discussion with the members of the Lincolnshire Waste Partnership (LWP).

Whilst this remains a draft document, open to change in response to further feedback, it is presented in this full form (rather than simply a summary or introduction) so that it is possible to understand both what the LWP are seeking to achieve and how we propose to go about doing so. This may mean that, in places, the text refers to things in the past tense to things which we are anticipating to have happened by the time the final Strategy is published.

Feedback is welcomed from anyone with an interest in our waste services, including the public, and will be considered in finalising the Strategy before it is adopted by each LWP authority at the end of the process.

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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.

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### 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;
- 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.

---

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

The Lincolnshire Waste Partnership 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.”***

In order to work towards this vision, the Partnership has also 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 consider moving towards a common set of recycling materials.
<b>Objective 3.</b>	To consider the introduction of separate food waste collections.
<b>Objective 4.</b>	To explore new opportunities of using all waste as a resource in accordance with the waste hierarchy.
<b>Objective 5.</b>	To contribute to the UK recycling target of 50% by 2020.
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<b>Objective 7.</b>	To seek to reduce our carbon footprint.
<b>Objective 8.</b>	To make an objective assessment of whether further residual waste recovery/disposal capacity is required and, if necessary, seek to 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 will be accompanied by a separate Action Plan 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 need to be 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

We will also (as detailed in Chapter 8) need to 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** – 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.

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## 1.6 What happens now?

At this stage, it is important to us that we understand what others think about what we are proposing in this Strategy. In view of that, we are now asking for views from:

- Lincolnshire residents;
- Councillors at Parish/Town, District and County level;
- Waste management businesses;
- Neighbouring local authorities; and
- Anyone else with an interest in waste management in Lincolnshire.

This consultation process will last from April to June 2018. During that time, we will be doing our best to make sure we publicise it as widely as possible but, if you know someone who might be interested, please let them know.

In line with our vision for this JMWMS, to choose the "best environmental option" and "give value for money", we believe that it would not be appropriate to print thousands of pages of paper when many people will prefer to read and respond online. Please be assured, however, that we are happy to provide paper copies for anyone who wants them.

### 1.6.1 Reading and Responding Online

For most people, the easiest way to view and to comment on the Strategy is via our dedicated page at the Recycle for Lincolnshire website:

<https://www.lincolnshire.gov.uk/recycle-for-lincolnshire/waste-strategy-for-lincolnshire/>In addition to the main Strategy document itself, you will also find there further information about the JMWMS

process, and a number of related documents including the draft Environmental Report for the accompanying Strategic Environmental Assessment (SEA).

Your comments are welcomed via the online survey which is also available at the same web address.

### 1.6.2 Reading and Responding In Other Ways

If you would prefer to read a paper copy of the documents, you can view them:

- By visiting the main office of any of the eight LWP Councils; or
- At your local library.

If you would like your own paper copy of any or all of the documents, you can get hold of them:

- By printing them off from our website – Although please be aware that the full set of documents is quite large; or
- By post, email or telephone – Please either contact any LWP Council using their usual details, or contact the County Council as follows.

<b>Post:</b>	Waste Strategy Lincolnshire County Council Lancaster House 36 Orchard Street Lincoln LN1 1XX
<b>Email:</b>	<a href="mailto:wastestrategy@lincolnshire.gov.uk">wastestrategy@lincolnshire.gov.uk</a>
<b>Telephone:</b>	01522 782070

### 1.6.3 Reviewing Your Comments

Once all comments have been received and the consultation process has finished, from July we will consider what final changes need to be made to the Strategy, and each LWP member authority will then adopt it through its own formal processes.

Of course, that is only the first part of the story, as we'll then need to move ahead with working to achieve our objectives.

## 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 will produce:

- 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 produce an updated Action Plan annually for the lifetime of this Strategy.

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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.

#### 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.

**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 some of 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 continues 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.
-------------	---

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 "Brexit".
- 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) – Particularly as this can result in 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.

### 3.1 European waste policy and legislation

The European Union is currently the major source of environmental legislation and guidance in relation to the management of waste. Whilst, in the longer term, Brexit is likely to see the UK diverge from EU waste policy and legislation, the UK Government have indicated a desire to continue to comply 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 fuller list can be found in Appendix A, but the main EU drivers for the LWP's strategic thinking are:

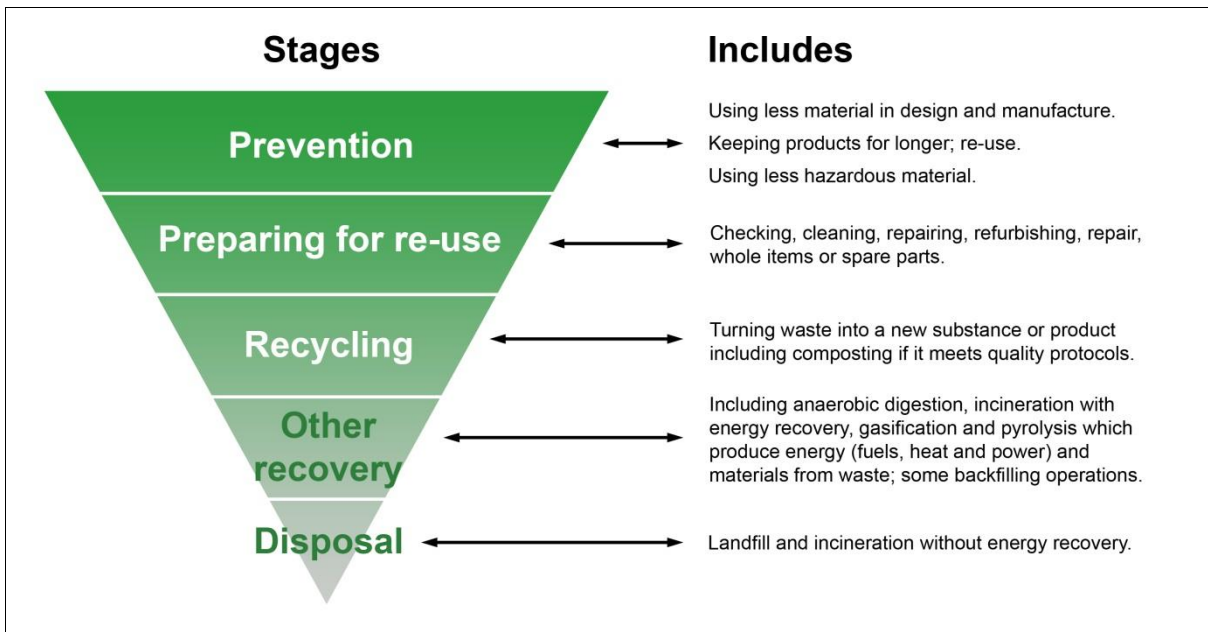
- Revised Waste Framework Directive (2008/98/EC)
- Landfill Directive (1999/31/EC)
- Circular Economy Package (upcoming)

#### 3.1.1 Waste Framework Directive

The main area of European legislation that this waste strategy has to consider is the revised Waste Framework Directive. This Directive establishes the fundamental principles for waste management in Europe, which must be reflected in National, Regional and Local Strategies. The key principles include:

- **50% recycling by 2020** – The UK government is committed to meeting this target for the recycling of "waste from households". However, it should be noted that the definition of this differs from that of the former headline 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. Further information regarding this can be found in section 5.5 of this Strategy.
- **Separate collections of recyclables** – Authorities are required to have 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 Waste Hierarchy** – This provides a framework of how sustainability in waste management can be increased progressively. The aim is to move up the waste hierarchy by significantly reducing reliance on landfill, ideally through waste reduction, but also through increased recycling, reuse, composting and recovery.

**Figure 3-1 The Waste Hierarchy**



### 3.1.2 Landfill Directive

The Landfill Directive aims to prevent, or minimise, the negative effects on both the environment and human health caused by landfilling of wastes. It set targets for reductions in the tonnage of Biodegradable Municipal Waste sent to landfill.

The UK Government responded 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. Whilst the LWP's development, under its previous Waste Strategy, of an energy from waste facility brought us well within our LATS targets, the reduction of our Landfill Tax bill through minimised landfilling remains a key driver.

### 3.1.3 Circular Economy Package

As stated on the European Commission website<sup>1</sup>:

*The European Commission has adopted an ambitious new Circular Economy Package to help European businesses and consumers to make the transition to a stronger and more circular economy where resources are used in a more sustainable way.*

*The proposed actions will contribute to "closing the loop" of product lifecycles through greater recycling and re-use, and bring benefits for both the environment and the economy. The plans will extract the maximum value and use from all raw materials, products and waste, fostering energy savings and reducing Green House Gas emissions.*

Whilst the CEP has yet to be passed into EU law, and Brexit makes it uncertain whether it will be enforced in the UK, the current proposal is for a number of challenging targets including recycling of

<sup>1</sup> [https://ec.europa.eu/commission/priorities/jobs-growth-and-investment/towards-circular-economy\\_en](https://ec.europa.eu/commission/priorities/jobs-growth-and-investment/towards-circular-economy_en)

55% of municipal waste by 2025, 60% by 2030 and 65% by 2035. In developing our future strategy it is important to consider the implications should the UK government decide to adopt such targets.

Information on the other relevant EU legislation that the Strategy has to consider can be found in Appendix A.

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## 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 have 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 after the adoption of this Lincolnshire Strategy.

### 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>2</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:*

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<sup>2</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)



- *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 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, sets out the Government's overarching 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".

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### 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 including 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 commercial, industrial, construction and demolition 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**

The implementation of this strategy, particularly in the development 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 will be specifically writing to each of those authorities 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. Their responses will be listed in Appendix A of our finalised JMWMS.

## 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 recent government 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.

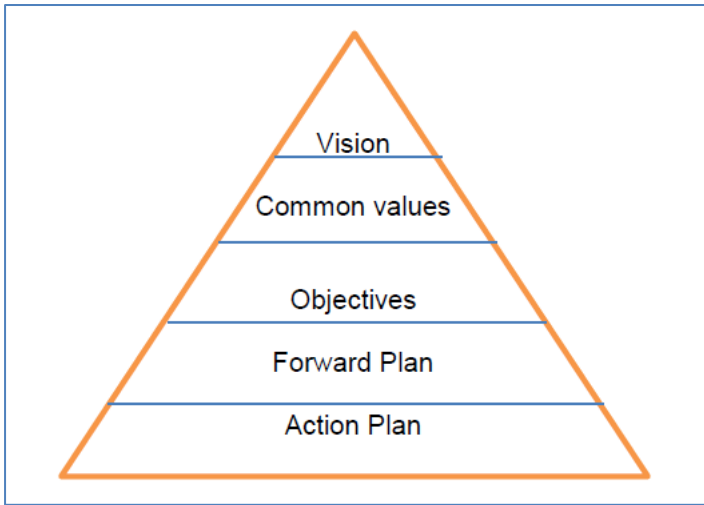
#### 4.4.1 LWP Authorities

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 B.

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 will continue throughout the Strategy process, including with the formal scrutiny and adoption of the documents at the end.

#### **4.4.2 Public Consultation**

This version of the Strategy has been prepared as a "consultation draft" to be shared with the public and other stakeholders. This allows them to comment upon the draft versions of the Strategy and its accompanying Strategic Environmental Assessment (SEA) and Action Plan. The final version of each of those documents will reflect the feedback received from this consultation process.

Further details of the results of the consultation process will be added as Appendix C in the final 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:

- 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>3</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, however, estimates indicate that Lincolnshire's population only grew by a further 4.3% between 2011 and 2016, just below the national rate for England. Most of our WCA's saw growth between 4.6% and 5.1% (i.e. above the national average) during that same period, but it should be noted that population growth in East Lindsey was significantly lower.

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<sup>3</sup> <http://www.research-lincs.org.uk/Population.aspx>

**Table 5-1 Population estimates**

Area	2011 Census	2016 Mid Year Estimate	Growth
Boston BC	64,637	67,600	4.6%
City of Lincoln	93,541	97,800	4.6%
East Lindsey DC	136,401	138,400	1.5%
North Kesteven DC	107,766	113,300	5.1%
South Holland DC	88,270	92,400	4.7%
South Kesteven DC	133,788	140,200	4.8%
West Lindsey DC	89,250	93,700	5.0%
<b>Lincolnshire</b>	<b>713,653</b>	<b>743,400</b>	<b>4.2%</b>
<b>England</b>	<b>53,012,456</b>	<b>55,268,100</b>	<b>4.3%</b>

Forecasts are that population growth for Lincolnshire going forwards (12% higher in 2039 than in 2016) 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.

## 5.2 Waste arisings

### 5.2.1 UK arisings summary

Defra's report "UK Statistics on Waste"<sup>4</sup> (published December 2016) included the following key points regarding the national situation:

- UK generation of commercial and industrial (C&I) waste was 27.7 million tonnes. This has fallen from 32.8 million tonnes in 2012.
- The UK generated 202.8 million tonnes of total waste in 2014. Over half of this (59.4 per cent) was generated by construction, demolition and excavation, with households responsible for a further 13.7 per cent.

Clearly, household waste is only a relatively small proportion of overall waste, and needs to be considered 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>4</sup> <https://www.gov.uk/government/statistics/uk-waste-data>



Waste Local Plan (Site Locations Document)<sup>5</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>6</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.

Thus, in being prepared by the local authorities of the Lincolnshire Waste Partnership this Strategy, by definition, focuses on Local Authority Collected Waste (LACW), which can include waste from the following sources (as defined in the Controlled Waste Regulations):

- 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 355,849 tonnes arising in 2016/17 of which around 97% is household waste.

**Table 5-2 Summary of Local Authority Collected Waste (LACW) in Lincolnshire 2016/17**

Sources: Collection (purple) = County Council Waste Data Management System; Disposal (orange) = Wastedataflow<sup>7</sup>

Waste Stream	2016/17 (Tonnes)	% of Total Waste Stream
Local Authority Collected Waste	368,777	
Waste collected at kerbside by WCA's	281,456	76.3% of LACW
Other waste collected by WCA's <sup>i</sup>	17,158	4.7% of LACW
Waste collected at HWRC's	69,511	18.8% of LACW
Other LACW <sup>ii</sup>	652	0.2% of LACW
Total Household Waste collected <sup>iii</sup>	355,191	96.3% of LACW
Total Household Waste disposed of <sup>iii</sup>	355,403	
Household Waste reused, recycled or composted	165,228	46.5% <sup>iv</sup> of Household Waste Disposal
Household Waste sent for energy recovery	175,350	49.3% of Household Waste Disposal
Household Waste landfilled	14,825	4.2% of Household Waste 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.*

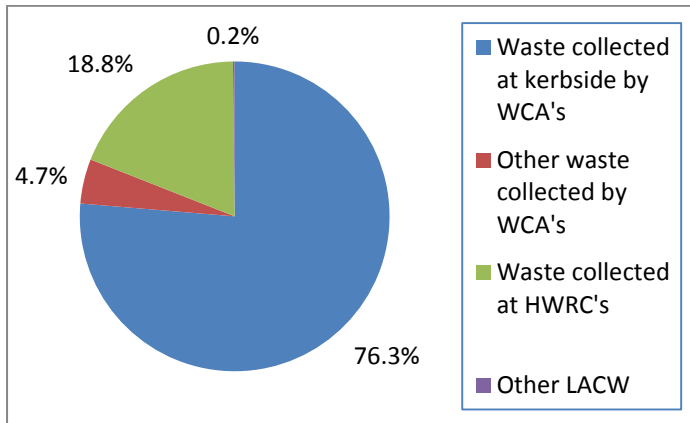
*iv – Differs slightly from our official recycling rate of 46.7% due to a small difference in calculation method.*

<sup>5</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)

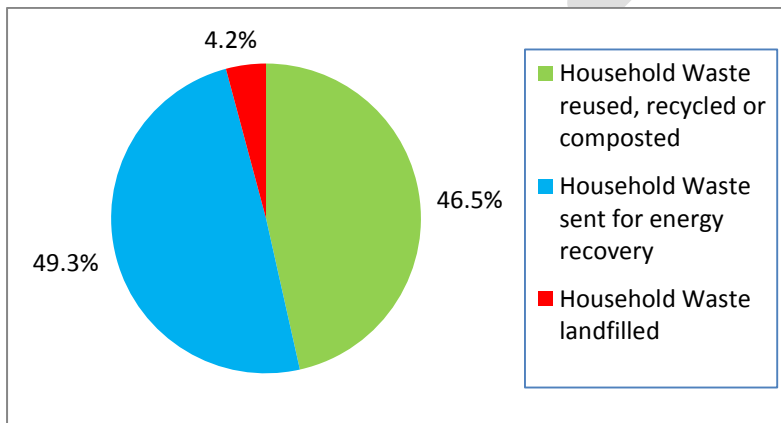
<sup>6</sup> <http://www.legislation.gov.uk/ukpga/2003/33/contents>

<sup>7</sup> <http://www.wastedataflow.org/>

**Figure 5-1 Sources of LACW in 2016/17**



**Figure 5-2 Destinations of Household Waste in 2016/17**



### 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 from 322,715 to 365,537, an increase of over 13%. Table 5-3 below, however, shows that between 2007/08 and 2015/16 there was little overall change in either total LACW or in Household Waste, although there appears to have been a significant rise in 2016/17. It should also be noted that there can be significant variation between successive years.

**Table 5-3 Waste growth trends in Lincolnshire between 2007 and 2017**

Source: Wastedataflow<sup>8</sup>

Year	Municipal Waste (Tonnes)	% Change	Household Waste	% Change
2007/08	352,123		338,676	
2008/09	359,798	2.18%	348,280	2.84%
2009/10	349,784	-2.78%	336,893	-3.27%

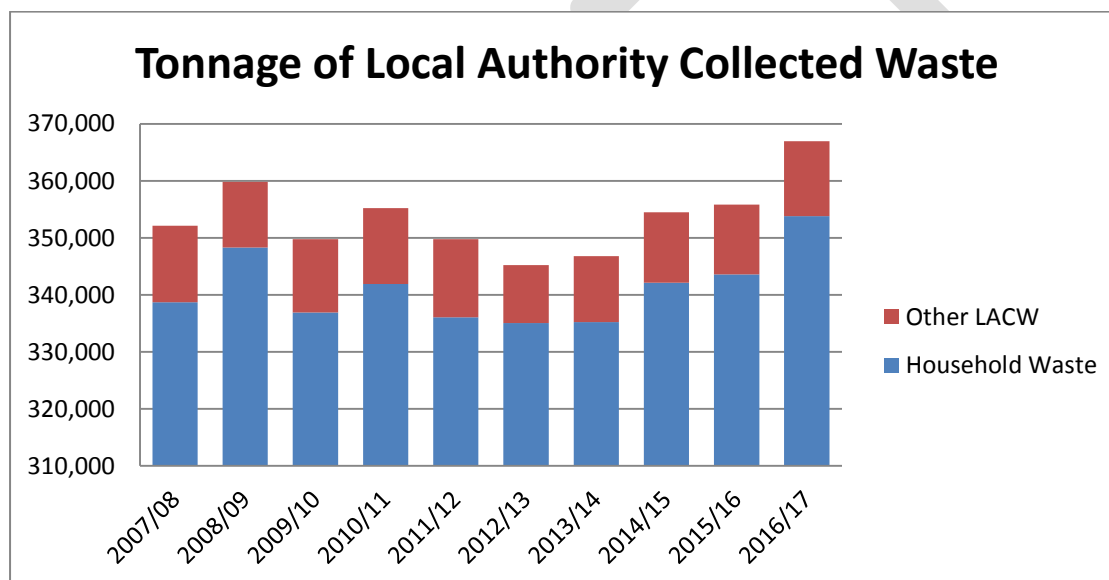
<sup>8</sup> <http://www.wastedataflow.org/>

Year	Municipal Waste (Tonnes)	% Change	Household Waste	% Change
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%
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 <sup>i</sup>	3.12%	353,819 <sup>ii</sup>	2.98%
Overall Change (since 07/08)		4.21%		4.47%

*i – The definition of Municipal Waste differs slightly from LACW, so this total is different to that in Table 5-2.*

*ii – This is the official total, but it is unclear why this differs from the total in Table 5-2 which is the sum of the weights sent to each disposal method.*

**Figure 5-3 Annual Tonnage of LACW in Lincolnshire**



Whilst, as has already been said, the total tonnage has been very erratic from year to year, there are some conclusions which can be drawn:

- Total tonnage fell for several years 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 considered prudent to 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>9</sup> which suggests that LACW tonnages will grow as shown in Table 5-4.

<sup>9</sup> <http://uk.sitestat.com/lincolnshire/lincolnshire/s?Home.residents.environment-and-planning.planning-and-development.minerals-and-waste.site-locations->

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, in 2016/17 the average Lincolnshire household did indeed produce 0.5% more household waste than in the previous year.

**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%, or around 50,000 tonnes of extra household waste **each year** by 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 follows.

**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

[examination.131110.articleDownload.106584&ns\\_type=pdf&ns\\_url=https://www.lincolnshire.gov.uk/Download/106584](https://www.lincolnshire.gov.uk/Download/106584)

### 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 5-4 Composition of MDR in 2016/17**

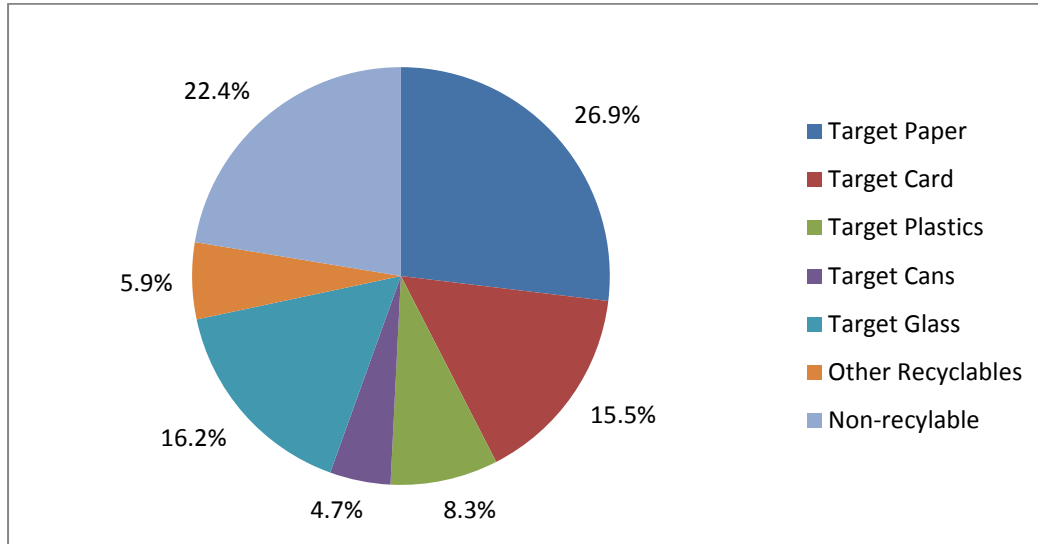


Figure 5-4 summarises the sampling data for 2016/17 and shows that of the total tonnage collected:

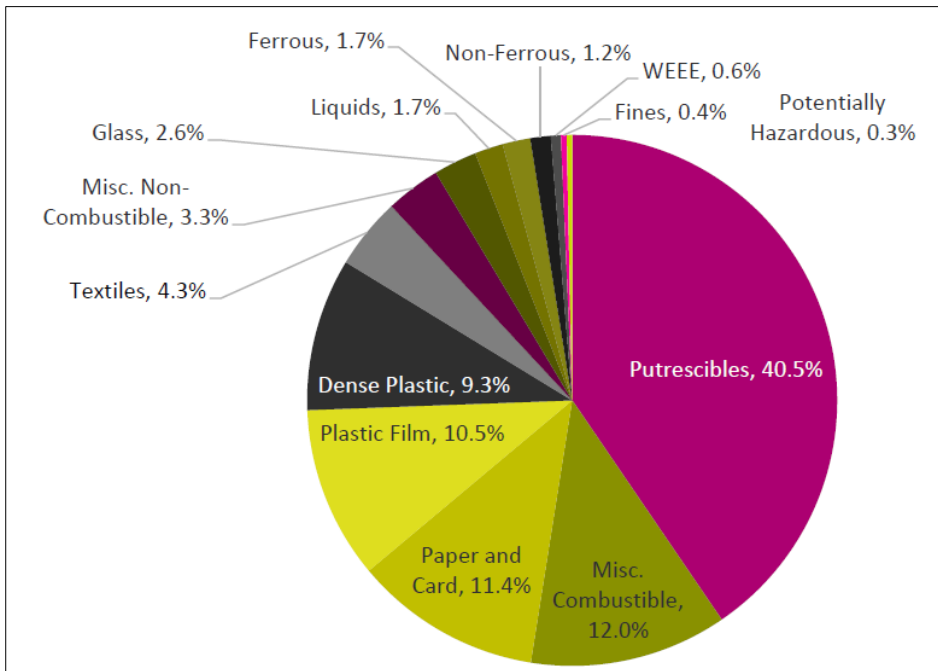
- Around 72% was "target" recyclables – This is what the LWP has asked the public to put into the kerbside recycling collections.
- Around 6% was other recyclables – Whilst not on the specified list, our current MRF contractor is able to recycle these as well. However, this may not be recyclable at all MRF's.
- Over 22% was not recyclable – This should not be in these collections, and needs addressing through 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 5-5 shows the 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 5-5 Composition of Residual Waste in 2016/17**



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 2016/17. Table 5-6 also shows the overall composition of all LACW in 2016/17, 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 2016/17**

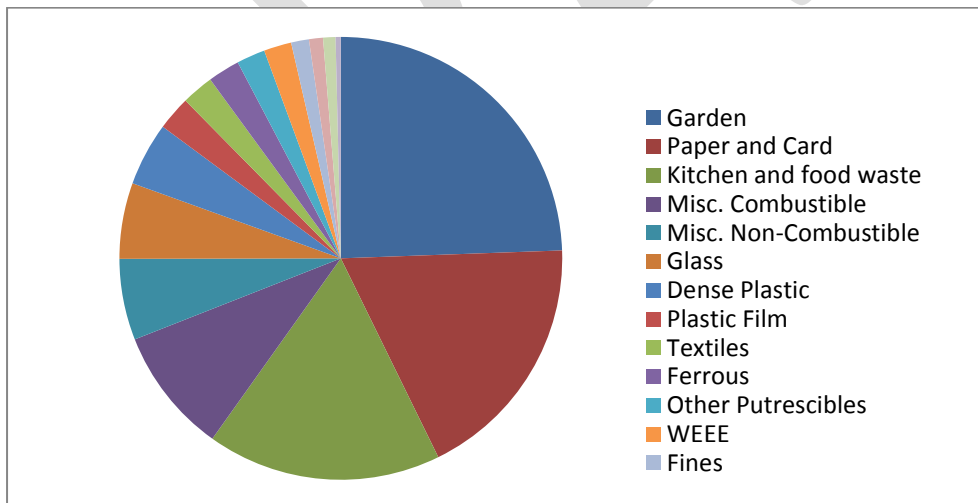
	Kerbside Collections <sup>i</sup>	Household Waste Recycling Centres	Other Local Authority Collected Waste	TOTAL Local Authority Collected Waste	% of Local Authority Collected Waste
Card	17,214	2,025	616	19,855	5.4%
Paper	34,022	1,105	899	36,026	9.8%
Plastic Film	17,911	642	335	18,889	5.1%
Dense Plastic	22,174	3,339	476	25,990	7.0%
Textiles	7,202	1,774	619	9,595	2.6%

	Kerbside Collections <sup>i</sup>	Household Waste Recycling Centres	Other Local Authority Collected Waste	TOTAL Local Authority Collected Waste	% of Local Authority Collected Waste
Glass	16,003	803	3,227	20,033	5.4%
Ferrous	5,323	2,603	177	8,102	2.2%
Non-Ferrous	3,583	1,074	139	4,796	1.3%
Misc. Combustible	19,730	17,847	785	38,362	10.4%
WEEE	1,025	5,084	115	6,223	1.7%
Potentially Hazardous	521	1,520	118	2,159	0.6%
Misc. Non-Combustible	5,556	12,850	4,999	23,404	6.3%
Kitchen and Food Waste	46,489	506	1,039	48,035	13.0%
Garden Waste	67,356	17,812	1,954	87,123	23.6%
Other Putrescibles	13,913	319	155	14,386	3.9%
Fines	591	195	2,018	2,804	0.8%
Liquids	2,859	0	731	3,590	1.0%
TOTALS	281,472	69,498	18,402	369,372	

*i – Includes collections of residual, recyclables and garden waste.*

Figure 5-6 shows the overall composition of LACW from 2016/17 with the waste types ordered from highest to lowest percentage.

**Figure 5-6 Overall composition of LACW in 2016/17**



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 what proportion of each waste type (including what is collected mixed in with general waste) is currently recycled or composted is shown in section 5.5.

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## 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 WCAs) 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>10</sup>. In view of this, any consideration of a more standardised approach for Lincolnshire should take account of the feedback from that work.

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<sup>10</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 Two year pilot for 2016/17 & 17/18
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 (240 litre for larger families)	AWC in 240 litre bins	AWC in 240 litre bins No charge 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 mixed dry recyclables.*

*iii – Black wheelie bin with green lid*

**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 2016/17**

	Boston	East Lindsey	Lincoln	North Kesteven	South Holland	South Kesteven	West Lindsey
Dwelling Stock	29,050	67,660	44,710	49,660	39,760	62,460	42,350
Number of HH – dry recyclables	29,050	67,150	44,710	49,660	39,760	62,460	42,350
Number of HH – green waste <sup>i</sup>	11,634	33,000	16,661	30,894	3,155	28,565	39,350

*i – Green waste collection numbers are lower because they tend to be 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 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, needs to 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 and are dealt by each district within its area.

### **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.

### **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.*

In some cases, the County Council arranges for both the collection and disposal of this waste. In other cases, the WCA's collect clinical waste and sharps.

### **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).*

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>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>Boston HWRC</b> Slippery Gowt Lane PE21 7AA	FCC Environment	FCC Environment	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 2017

HWRC Site	Residual waste	Green	Wood	Rigid plastics	Plastic Bottles	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 Cylinders	Scrap Metal	Re-use
Bourne	x	x	x	x	<i>i</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Boston	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Gainsborough	x	x	x	x	<i>i</i>	x	x	x	x	x	x	x	x	x	x	<i>ii</i>	x	x	x	x	x	x	x
Grantham	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	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	x	x	x
Lincoln	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Louth	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Rasens	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Skegness	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Sleaford	x	x	x	x	<i>i</i>	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Spalding	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

An "x" indicates that the stated waste stream is collected separately at the stated HWRC. Where there is no "x", the below applies:

- i) Plastic Bottles are still accepted at this HWRC, but must be placed in the residual waste bin.
- 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

LCC directly operates a network of five WTSs around the County. Table 5-12 shows the location of these WTSs, as well as the 2016/17 tonnage of each type of waste received at each site.

LCC lets contracts for the transportation of waste from each WTS to the appropriate destinations.

**Table 5-12 Location and 2016/17 tonnage throughput for LCC 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	42,219	7,630	1,279		51,129
<b>Gainsborough WTS</b> Marshall Lane DN21 1GD	15,537	8,060	1,926		25,524
<b>Grantham WTS</b> Occupation Road NG32 2BP	28,029	13,052	1,147		42,229
<b>Louth WTS</b> Bolingbroke Road LN11 0WA	31,828	11,708	2,048	Glass = 628Te Mattresses = 1Te	46,213
<b>Sleaford WTS</b> Pride Parkway NG34 8GL	14,406	5,851	910	Mattresses = 40Te	21,208

#### 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 2016/17 tonnage throughput for third party WTSs**

Location	Operator	Arranged by	Mixed Dry Recyclables (Tonnes)	Green Waste (Tonnes)
<b>Hykeham</b>	Mid UK	Lincs CC	14,000	
<b>Market Deeping</b>	MidUK	Lincs CC	13,000	
<b>Boston</b>	Mick George	Boston BC		5,000

### 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 2016/17 77,768 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
MEC Recycling	Lincoln
Material Change	Crowland
Mid UK Recycling	Caythorpe
Mid UK Recycling	Honey Pot Lane
Land Network (Sturgate)	Gainsborough
Land Network (South Elkington)	Louth
Land Network (Strubby)	Strubby

#### 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, in the 2008 Waste Strategy, the Partnership 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.

In November 2016 the LWP agreed to publicise a consistent mix, and Figure 5-7 shows that mix. Such publicity will need to be undertaken as part of a wider communications campaign to ensure that the public are aware of the part they can play in improving the LWP's waste management performance and benefitting the environment.

Figure 5-7 Publicity for consistent mix agreed in November 2016



The County Council has a contract for the processing of this MDR at MidUK Recycling's 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 MidUK.

#### 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	158,999 <sup>i</sup>	Ends 2039
Landfill	Colsterworth	FCC Environment	6,452	Closing early 2019?
Landfill	Kirkby on Bain	FCC Environment	6,990 <sup>ii</sup>	Closing 2021?
Landfill	Leadenham	FCC Environment	0	Site mothballed Reopening until 2023?
Landfill	Whisby	FCC Environment	0	Site mothballed Reopening from 2023?

*i – Includes 1,000 tonnes which would normally have gone to Hykeham EfW but was diverted to Greatmoor EfW.*

*ii – Includes around 1,500 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, have come together in one of our key objectives:

<b>Objective 8.</b>	To make an objective assessment of whether further residual waste recovery/disposal capacity is required and, if 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.

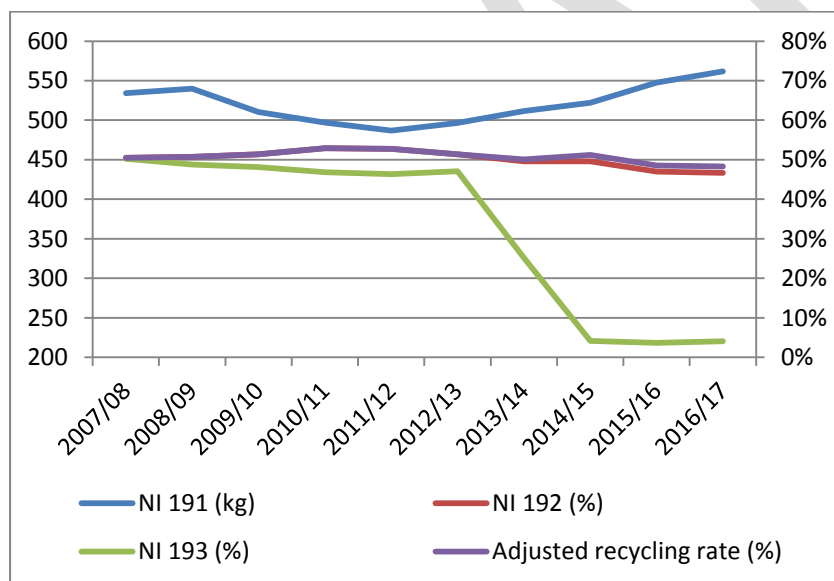
Table 5-16, and the accompanying Figure 5-8, show the County Council's (and thus the LWP's) overall performance against all three of the waste-related former National Indicators:

- 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
NI191: Residual Household Waste kg per Household	534.13		496.83	486.70	496.70	511.43	522.04	547.64	561.87
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%
NI193: Percentage of Municipal Waste Sent To Landfill	50.2%		46.8%	46.4%	47.1%	25.2%	4.1%	3.6%	4.0%

**Figure 5-8 National Indicator (NI) performance since 2007/08**



In addition to the three National Indicators, Figure 5-8 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
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%
Adjusted recycling rate (including metals from EfW ash)	50.5%		52.9%	52.8%	51.3%	50.0%	51.2%	48.5%	48.3%

### 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. 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 2016/17**

	<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	415kg	37.6%
City of Lincoln	525kg	379kg	36.2%
East Lindsey DC	462kg	415kg	45.4%
North Kesteven DC	511kg	421kg	46.1%
South Holland DC	561kg	341kg	28.3%
South Kesteven DC	495kg	392kg	43.2%
West Lindsey DC	497kg	443kg	48.9%
LWP Total (WCA's + HWRC's) <sup>i</sup>	562kg	478kg	46.7%

*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.

### 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 2016/17.

**Table 5-19 Recycling and composting performance in 2016/17**

	Household waste reused, recycled or composted (NI192)	Household waste recycled (BV82a)	Household waste composted (BV82b)
Boston BC	37.6%	19.7%	17.9%
City of Lincoln	36.2%	19.3%	16.8%
East Lindsey DC	45.4%	21.2%	24.2%
North Kesteven DC	46.1%	20.6%	25.5%
South Holland DC	28.3%	24.4%	4.0%
South Kesteven DC	43.2%	24.2%	19.1%
West Lindsey DC	48.9%	20.1%	28.8%
LWP Total (WCA's + HWRC's) <sup>i</sup>	46.7%	24.4%	22.3%

*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.*

Whilst the Government no longer sets targets for individual authorities, it should be noted that the UK is currently committed to meeting the EU target of 50% recycling by 2020. However, there are uncertainties over this as:

- The impact of Brexit is as yet unclear, 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.

### 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 well under 5% in 2016/17. 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 170,00 tonnes per annum.
- 2) The introduction of a contract for 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**

	TOTAL Local Authority Collected Waste	Tonnage Reused, Recycled or Composted	Percentage Reused, Recycled or Composted
Card	19,855	14,388	72.5%
Paper	36,026	20,263	56.2%
Plastic Film	18,889	612	3.2%
Dense Plastic	25,990	7,840	30.2%
Textiles	9,595	1,073	11.2%
Glass	20,033	14,779	73.8%
Ferrous	8,102	4,884	60.3%
Non-Ferrous	4,796	2,501	52.1%
Misc. Combustible	38,362	11,821	30.8%
WEEE	6,223	4,836	77.7%
Potentially Hazardous	2,159	1,080	50.0%
Misc. Non-Combustible	23,404	15,850	67.7%
Food	48,035	3	<0.1%
Garden	87,123	78,153	89.7%
Other Putrescibles	14,386	0	<0.1%
Fines	2,804	0	<0.1%
Liquids	3,590	0	<0.1%
TOTALS	369,372	178,084	

The capture rate for WEEE (electricals), card, glass and garden waste exceeds 70%. A further two streams exceed 60% recycling: ferrous metals and "misc. 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 2015/16 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 2015/16**

	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
2015/16	332,903	£14,786,293	£44.42	355,849	£19,286,000	£54.20

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 £80 in 2015/16.

## 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 B.

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.”***

In order to work towards this vision, the Partnership also 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 are as follows:

<b>Objective 1.</b>	To improve the quality and therefore commercial value of our recycling stream.
<b>Objective 2.</b>	To consider moving towards a common set of recycling materials.
<b>Objective 3.</b>	To consider the introduction of separate food waste collections.
<b>Objective 4.</b>	To explore new opportunities of using all waste as a resource in accordance with the waste hierarchy.
<b>Objective 5.</b>	To contribute to the UK recycling target of 50% by 2020.
<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 whether further residual waste recovery/disposal capacity is required and, if necessary, seek to 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.

## 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 strategy and 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 46.7% in 2016/17.

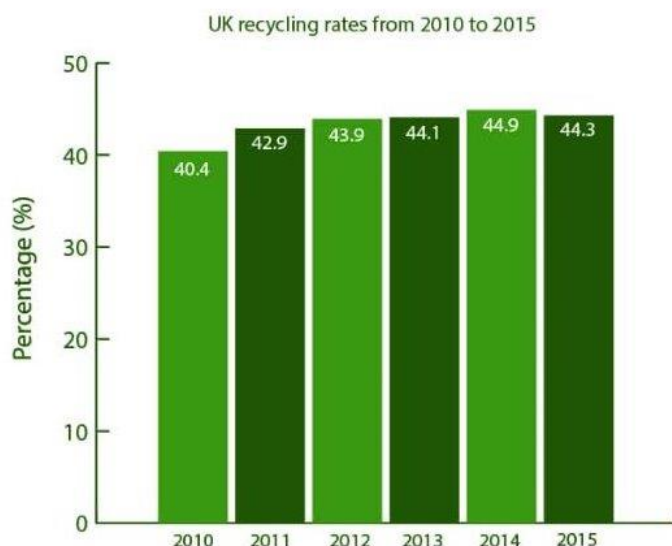
Whilst the overall tonnage collected from kerbside recycling bins has remained relatively stable, we have seen a rise in the percentage of that material which is **not** recyclable. In 2016/17 nearly a quarter couldn't be recycled, including some recyclables which had been damaged by those non-recyclable wastes – e.g. Paper made wet and dirty by food waste.

### 6.2.2 The national and international picture

In December 2016, Defra announced<sup>11</sup> that recycling of waste from UK households had fallen. The combined recycling and composting rate for waste from households stood at 44.3% in 2015 – falling down from the 44.9% rate recorded in 2014.

As shown in Figure 6-1, this fall followed a number of years of growth.

**Figure 6-1 Defra data on recycling from UK households**



<sup>11</sup> <https://www.letsrecycle.com/news/latest-news/defra-reports-falling-uk-recycling-rate/>



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 recycling target for 2030 will be set in their Circular Economy Package, but the debate is still ongoing as to whether this will be 65% or 70%.

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 2030 target, at whatever percentage, will apply to the UK. Furthermore, a UK-wide target is not currently binding on individual local authorities.

### **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 4% between 2011 and 2016. 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 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?

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 will be summarised in an Action Plan which has been under development alongside the preparation of this main Strategy document. This Strategy summarises the Partnership's shared vision, meaning that the initial Action Plan can be finalised. Once adopted, the Action Plan will then need to be reviewed on a regular basis (see Chapter 8) to ensure that it remains up to date for the lifetime of the Strategy.

In the meantime, this chapter summarises the key themes which will shape our work together over the next few years. In order to ensure that we are focussing our efforts in the right direction, this chapter concludes with a table showing the links identified between each theme and each of our strategic objectives.

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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 which we could use 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 we believe that there is 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

---

## 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 UK 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

### **7.3 Reviewing what we collect and how**

A key element of the implementation of this Strategy will be how we respond 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
  - Considering the disposal both of the new collections and of other streams affected by the removal of some material
- 

### **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 we will get our message 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
-

**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

## 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.

---

### 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 things such as our combined carbon footprint. The development of a new suite of measures will be included in the Action Plan to accompany this Strategy, and will help us to pursue our Vision of finding "the best possible environmental option".

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.

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### 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 authorities of Lincolnshire continue to improve services and develop efficiencies it is essential that they 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 is being prepared by the Partnership which will break down the actions and tasks required to meet Lincolnshire's 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 will establish 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 facility and additional recycling infrastructures.

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## **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 an initial review will happen by 2023 at the latest.

This will be particularly important in the light of any changes to the landscape in which we find ourselves, 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.





## Appendix B – Input from across the LWP

As a joint Strategy, shared by all LWP partner authorities, an important part of the process has been to capture everyone's views at various stages. Partner input has been sought and received throughout the process, but the main specific opportunities provided have included:

- Vision and Objectives – These were agreed at a pair of workshops held in July 2017. Full details are shown in the attached report.
- Action Plan – This is being developed through the regular LWP meetings and in particular by the LWP's Officer Working Group.
- Final draft – Partner comments will be welcomed as part of the main public consultation process.
- Sign-off – Each LWP authority will put the documents through their own scrutiny arrangements, culminating in the official adoption of the Strategy.

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# Lincolnshire Waste Partnership Joint Municipal Waste Management Strategy Workshops

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Report for Lincolnshire Waste Partnership  
Lincolnshire Waste Partnership JMWMS

**Customer:**

**Lincolnshire Waste Partnership**

**Customer reference:**

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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.

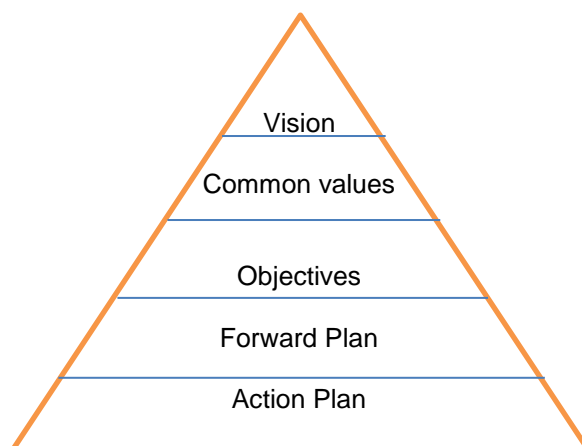
To facilitate discussion, a Scoping Paper had been prepared, setting out the broad Objectives as identified by the County Council. Additionally, information had been compiled to summarise the aims of the current (2008) Strategy, and performance indicators demonstrating performance across the original 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.





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## **Appendix C – Public Consultation Results**

This appendix will contain the results of the public consultation process, and details of any changes made to the Consultation Draft of the JMWMS in producing the final version for adoption by each LWP authority.

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## Appendix D – 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.
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.

# Joint Municipal Waste Management Strategy for Lincolnshire



## **CONSULTATION – SUMMARY STRATEGY DOCUMENT**

**This document is a summary of the draft Joint Municipal Waste Management Strategy (JMWMS) for Lincolnshire. The summary forms Chapter 1 of a much longer overall document, but is here presented separately. If you would like to see the full document, please see section 1.6 for how to do so.**

**The full draft JMWMS sets out how the organisations which form the Lincolnshire Waste Partnership (LWP) will work together to deliver waste management services which protect the environment and provide value for money.**

**Feedback is invited from anyone with an interest in our waste services, and will be considered in finalising the Strategy before it is adopted by each LWP authority at the end of the process.**

## **Table of contents (Full document)**

**1 Summary**

**2 Introduction**

**3 What are the key legislative drivers?**

**4 How has the strategy been developed?**

**5 Where are we today?**

**6 What are we aiming for?**

**7 How will we get there?**

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

## **Appendices**

**Appendix A – Neighbouring Authorities**

**Appendix B – Input from across the LWP**

**Appendix C – Public Consultation Results**

**Appendix D – Glossary of Terms & Abbreviations**

# 1 Summary

This Joint Municipal Waste Management Strategy (JMWMS) for Lincolnshire sets out how the eight local authorities of Lincolnshire and the Environment Agency will work in partnership to protect the environment by delivering sustainable waste management services and to establish best value waste management practices.

---

## 1.1 This version of the Strategy

This draft version of the Strategy has been prepared and revised in discussion with the members of the Lincolnshire Waste Partnership (LWP).

Whilst this remains a draft document, open to change in response to further feedback, it is presented in this full form (rather than simply a summary or introduction) so that it is possible to understand both what the LWP are seeking to achieve and how we propose to go about doing so. This may mean that, in places, the text refers to things in the past tense to things which we are anticipating to have happened by the time the final Strategy is published.

Feedback is welcomed from anyone with an interest in our waste services, including the public, and will be considered in finalising the Strategy before it is adopted by each LWP authority at the end of the process.

---

## 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.

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### **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;
  - 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.
- 

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

The Lincolnshire Waste Partnership 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.”***

In order to work towards this vision, the Partnership has also 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 consider moving towards a common set of recycling materials.
<b>Objective 3.</b>	To consider the introduction of separate food waste collections.
<b>Objective 4.</b>	To explore new opportunities of using all waste as a resource in accordance with the waste hierarchy.
<b>Objective 5.</b>	To contribute to the UK recycling target of 50% by 2020.
<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 whether further residual waste recovery/disposal capacity is required and, if necessary, seek to 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.

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

In order to achieve these objectives, this Strategy will be accompanied by a separate Action Plan 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 need to be 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

We will also (as detailed in Chapter 8) need to 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** – 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.

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## 1.6 What happens now?

At this stage, it is important to us that we understand what others think about what we are proposing in this Strategy. In view of that, we are now asking for views from:

- Lincolnshire residents;
- Councillors at Parish/Town, District and County level;
- Waste management businesses;
- Neighbouring local authorities; and
- Anyone else with an interest in waste management in Lincolnshire.

This consultation process will last from April to June 2018. During that time, we will be doing our best to make sure we publicise it as widely as possible but, if you know someone who might be interested, please let them know.

In line with our vision for this JMWMS, to choose the "best environmental option" and "give value for money", we believe that it would not be appropriate to print thousands of pages of paper when many people will prefer to read and respond online. Please be assured, however, that we are happy to provide paper copies for anyone who wants them.

### 1.6.1 Reading and Responding Online

For most people, the easiest way to view and to comment on the Strategy is via our dedicated page at the Recycle for Lincolnshire website:

<https://www.lincolnshire.gov.uk/recycle-for-lincolnshire/waste-strategy-for-lincolnshire/>In addition to the main Strategy document itself, you will also find there further information about the JMWMS

process, and a number of related documents including the draft Environmental Report for the accompanying Strategic Environmental Assessment (SEA).

Your comments are welcomed via the online survey which is also available at the same web address.

### 1.6.2 Reading and Responding In Other Ways

If you would prefer to read a paper copy of the documents, you can view them:

- By visiting the main office of any of the eight LWP Councils; or
- At your local library.

If you would like your own paper copy of any or all of the documents, you can get hold of them:

- By printing them off from our website – Although please be aware that the full set of documents is quite large; or
- By post, email or telephone – Please either contact any LWP Council using their usual details, or contact the County Council as follows.

<b>Post:</b>	Waste Strategy Lincolnshire County Council Lancaster House 36 Orchard Street Lincoln LN1 1XX
<b>Email:</b>	<a href="mailto:wastestrategy@lincolnshire.gov.uk">wastestrategy@lincolnshire.gov.uk</a>
<b>Telephone:</b>	01522 782070

### 1.6.3 Reviewing Your Comments

Once all comments have been received and the consultation process has finished, from July we will consider what final changes need to be made to the Strategy, and each LWP member authority will then adopt it through its own formal processes.

Of course, that is only the first part of the story, as we'll then need to move ahead with working to achieve our objectives.

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## **Waste Strategy Public Consultation - Closes 2<sup>nd</sup> July 2018**

The Joint Municipal Waste Management Strategy (JMWMS) sets out how the organisations which form the Lincolnshire Waste Partnership (LWP) will work together to deliver waste management services which protect the environment and provide value for money.

The aim of this survey is to invite feedback from anyone with an interest in our waste services, and will be considered in finalising the JMWMS before it is adopted by each LWP council.

In completing this survey, please note that the JMWMS provides a strategic overview rather than making proposals for specific changes to services. Any comments you wish to make regarding specific services, such as bin collections, should be made directly to your local council through their normal means of communication.

Please read the strategy before completing the survey or look at the summary document, which will help you to answer the questions. You can find this online at:

[www.lincolnshire.gov.uk/recycle-for-lincolnshire/waste-strategy-for-lincolnshire/](http://www.lincolnshire.gov.uk/recycle-for-lincolnshire/waste-strategy-for-lincolnshire/)

Alternatively, you can request a paper copy:

- Email: [wastestrategy@lincolnshire.gov.uk](mailto:wastestrategy@lincolnshire.gov.uk)
- Phone: 01522 782070

Some of the questions refer to the Environmental Report which has been prepared to accompany the Strategy. You can access this document in any of the same ways as the JMWMS itself.

**If you are completing this form by hand rather than online, please feel free to use a separate piece of paper if your comments won't fit in the space provided. Indicate clearly to which question you are referring.**

**1. In what capacity are you responding to this survey?**

- Lincolnshire Resident
- County Councillor
- District Councillor
- Parish/Town Councillor
- Waste business employee/owner
- Neighbouring authority representative
- Other

If "other", please state:

Portfolio Holder City of Lincoln Council, representing the views of City of Lincoln Council, Policy Scrutiny Committee

**2. In which area do you live or are you/your organisation based?**

- Boston
- City of Lincoln
- East Lindsey
- North Kesteven
- South Holland
- South Kesteven
- West Lindsey
- Don't know/prefer not to say
- Outside Lincolnshire

If "Outside Lincolnshire ", please state where:

**3. Do you agree or disagree with the Lincolnshire Waste Partnership's vision for this Strategy?**

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

<input checked="" type="checkbox"/> Strongly agree	<input type="checkbox"/> Disagree
<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly disagree

Why have you answered this way?

It is vital that waste and recycling management services work closely together to ensure maximising recycling and composting percentages, using modern techniques to ensure that the overall environmental impact of each disposal/treatment method is fully considered.

However, whatever methods are employed the public must be able to have confidence that the disposal/treatment methods chosen for their ‘waste’ give the best possible value for money.

It is noted that there are likely to be conflicts between costs of disposal and amounts recycled/reused. Against a background of changing markets for materials it is critical that the disposal/treatment methods chosen are flexible so they can respond to environmental and market demands.

**4. Are there any key issues, other than those we have identified, which should be driving our Waste Strategy?**

You can find information about this here:

- Summary – Section 1.3
- Full Document – Chapters 3 and 5

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
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If you answered "no", then what else should we include?

Given the increasing complexity of the recycling market, the anticipation of

increasing bureaucracy around target setting, and the prolonged period of austerity being encountered, containing costs (or potentially maximising income?) must feature. There are references in various places in the full document but it isn't listed in 1.3 of the summary document, suggesting it is not a leading concern.



Our vision is "to seek the best environmental option to provide innovative, customer-friendly waste management solutions that give value for money to Lincolnshire".

**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?**

You can find information about this here:

- Summary – Section 1.4
- Full Document – Chapter 6

<input type="checkbox"/> Strongly agree	<input type="checkbox"/> Disagree
<input checked="" type="checkbox"/> Agree	<input type="checkbox"/> Strongly disagree

Why have you answered this way?

It is not possible to Strongly Agree as the objectives are not always agreements to actually change anything. Many are action to “consider”, “review” or “explore”.

Although the objectives are a list of the right areas to look at, and are acceptable as guidance/steer in a consultation document, subject to the findings of the consultation they need to be firmed up into actions within a new Joint Municipal Waste Management Strategy that sets out a clear plan of actions that is resourced and has a clear timetable to measure success against. It is noted that the intent to develop an action plan is referenced on page 6.

It is also noted that key issues for authorities to meet their responsibilities may be different from key issues for our service users, which is something that must always be kept at the forefront of any system changes. The emphasis on ‘customer friendly is therefore welcome. Central to the final outcomes must be simplicity of use, ease of understanding, and transparency of operations for the full waste stream, end to end.

**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?**

You can find information about this here:

- Summary – Section 1.5
- Full Document – Chapter 7

<input type="checkbox"/> Strongly agree	<input checked="" type="checkbox"/> Disagree
<input type="checkbox"/> Agree	<input type="checkbox"/> Strongly disagree

Why have you answered this way?

It is suggested that the omission in this section is any reference to the future. Perhaps *“seeing the wider picture”* be changed to *“seeing the wider picture so as to forecast the future”*. Understanding what others have done, and are doing, is important, but only if you are going to use that knowledge to make decisions about our own services in the future. This may be implicit, but it isn’t stated, and strategies should include clear statements.

*“Balancing the economic and environmental benefits”* is given two lines, stating the two key issues. It doesn’t however go as far as to say which has priority. It is understood that there will be a sliding scale of costs vs benefits usually, and it is felt that at any one time in the strategies life all signatories will need to be clear which has priority. The alternative will be to build on this statement to include an express clause on affordability. For example the signatories to the strategy will *“always make decisions that aim to minimise environmental impact, subject to these being realistically affordable”*.

Finally, this question asks if the draft contains all the actions necessary to achieve the objectives. It is not possible to know if all the actions required have been made clear until a copy of the action plan has been developed. See below.

**7. Do you have any specific concerns about the strategy?**

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
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If you answered "yes", please tell us what concerns you have.

As it stands this is not a finished strategy, but an outline on which to consult so as to develop a strategy.  
The City Council supports the premise of consultation before decision making, and so understands that it is only possible to develop a meaningful strategy once the outcomes of the consultation are known. The City Council could not be a signatory to this document as it stands, as it does not constitute a clear strategy that will deliver, but it is happy with the issues this document highlights for consideration in a strategy.  
In light of the above it is happy to engage fully with the development of the strategy.  
The City Council hopes to be remain an active and supportive member of the

Lincolnshire Waste Partnership, subject to a strategy being developed that is supported by all partners, that will address the key issues of increasing recycling and composting rates while addressing the need for appropriate disposal capacity. It expects the new strategy to have clear actions that can be resourced on a reasonable timescale.

**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? Tick all that apply**

	Positive impact	Negative impact	No impact	Don't know
Age				X
Sex (male/female)				X
Disability				X
Sexual orientation				X
Pregnancy and maternity				X
Marriage and civil partnership				X
Race (ethnicity)				X
Religion or belief				X
Gender reassignment				X

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?

As the strategy, as it stands, contains few actions that impact the public in Lincoln directly due to system changes it is not possible at this stage to be clear as to the impacts. Once the detailed action plan is developed, then assessment can be made for each change in respect of each of the categories above. Clearly any changes to waste/recycling collection services have huge potential to impact individuals lives, so the fact that this question seems to recognise this is most welcome.

The remaining questions relate to the Environmental Report which accompanies the JMWMS. This has been 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?**

<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
------------------------------	--

If you answered "no", please tell us what else you think should be included.

See previous answers. The SEA cannot fully assess impacts until an action plan has been developed. It represents a good start, but it will need to be reviewed alongside any revision of the strategy.

**10. Do you agree or disagree that the draft JMWMS has sufficiently taken account of the information provided in the Environmental Report?**

<input type="checkbox"/> Strongly agree	<input type="checkbox"/> Disagree
<input checked="" type="checkbox"/> Agree	<input type="checkbox"/> Strongly disagree

If you disagree, please tell us what else you think should be taken into account.

See previous answers. In so far as it is able, the report and draft strategy do correlate. However, both need to be developed and updated in parallel once an action plan, and stands of an action plan, are developed.

**Thank you for completing this survey.**

**Once the consultation period has ended, on 2<sup>nd</sup> July 2018, the Lincolnshire Waste Partnership will review the Joint Municipal Waste Management Strategy and Environmental Report in light of all responses received.**

<b>SUBJECT:</b>	<b>REVIEW OF MUTUAL EXCHANGE POLICY</b>
<b>DIRECTORATE:</b>	<b>HOUSING AND REGENERATION</b>
<b>REPORT AUTHOR:</b>	<b>YVONNE FOX – ASSISTANT DIRECTOR OF HOUSING</b>

**1. Purpose of Report**

1.1 To provide Policy Scrutiny Committee with information relating to mutual exchange applications during 2017/18

**2. Executive Summary**

2.1 The Council's Mutual Exchange Policy was approved by Executive on 26 October 2015 and amendments made to clarify the wording of the Policy in 2017 and complies with the provisions of the Housing Act 1985.

2.2 Council tenants who are secure tenants have the right to exchange tenancies with tenants of other social housing landlords. For secure tenants an application to refuse can only be refused on one of the grounds specified in the Housing Act 1985 Schedule 3 as detailed below.

**3. Grounds for refusal of a mutual exchange request**

3.1 Secure tenants have a legal right to exchange their home with other social housing tenants with the consent of their landlord. Grounds for withholding this consent are prescribed in law within schedule 3 of the Housing Act 1985 (and its subsequent amendments).

3.2 These grounds are as follows:

Ground 1 – the tenant or proposed assignee is subject to an order of the court for the possession of their home.

Ground 2 (and 2ZA) – proceedings for possession have begun but an order has not yet been granted.

Ground 2A – an order for anti-social behaviour, such as an injunction or demotion order has been applied for or is in force.

Ground 2B – the property is subject to a closure notice or order.

Ground 3 – the property is substantially larger than they need.

Ground 4 – the property isn't large enough to accommodate the household.

Ground 5 - refers specifically to excluding properties that were let as part of someone's employment or are part of a larger building that is used predominantly for none housing purposes.

Ground 6 - applies restrictions to tenants wanting to exchange with tenants of properties owned by a charity.

Ground 7 – the property has been substantially adapted to meet the needs of an occupant who has physical disabilities and these adaptations would not be required by the proposed incoming tenant.

Ground 8 - refers to housing associations and housing trusts only.

Ground 9 - the property is part of a group of properties let to people with specific needs, ie our sheltered housing stock, and for which the proposed incoming tenant does not have these needs.

Ground 10 - refers specifically to housing associations only.

#### **4. Requirements before an exchange**

4.1 the following conditions must be met before an exchange can proceed:

- Rent must be fully paid by the date of the proposed exchange
- Any other obligation under the tenancy that has not been met or a breach of the tenancy must be resolved by the date of the proposed exchange.

4.2 the exchange is completed by way of a Deed of Assignment signed by the incoming and outgoing tenant and agreed by both landlords

#### **5. Mutual Exchange applications received in in 2017/18**

5.1 Throughout the last financial year we received 61 applications for a mutual exchange. 5 of these were later withdrawn by one or both parties. 6 are currently being processed.

5.2 Of the remaining applications, 3 were refused;

- 1 refused under Ground 1 because they were in rent arrears for which the court had granted orders
- 1 refused under Ground 2 because Notice of Intention to Seek Possession had been served.
- 1 refused under Ground 7 because the property had adaptations that were not required by the proposed incoming tenant

#### **6.0 Strategic Priorities – lets deliver quality housing**

6.1 Promotion of mutual exchange as a housing option can provide a quicker solution to a household to address their housing need or enable them to move to another location if they are already adequately housed. Promoting mutual exchanges encourages tenant mobility and creates sustainable communities through best use of housing stock.



**7. Organisational Impacts**

7.1 Finance - none

7.2 Legal Implications - the policy and procedures ensure correct application of the grounds to approve or withhold consent for a mutual exchange.

7.3 Equality, Diversity & Human Rights – effective management of the Council’s housing stock ensures that the most vulnerable and those in housing need are prioritised for housing.

**8. Risk Implications**

-not applicable.

**9. Recommendation**

9.1 To note the outcomes of the Mutual Exchange Policy in 2017/18.

**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?** One

**List of Background Papers:** None

**Lead Officer:** Yvonne Fox - Assistant Director of Housing  
Telephone (01522) 873716

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CITY OF  
*Lincoln*  
COUNCIL

# Mutual Exchange Policy

## Document control

<b>Organisation</b>	<b>City of Lincoln Council</b>
<b>Title</b>	<b>Mutual Exchange Policy</b>
<b>Author - name and title</b>	Andrew Staton – former Tenancy Services Manager
<b>Owner - name and title</b>	Yvonne Fox - Tenancy Services Manager
<b>Date</b>	July 2017
<b>Approvals</b>	
<b>Filename</b>	
<b>Version</b>	<b>V 2.0</b>
<b>Next review date</b>	2020

## Document Amendment history

<b>Revision</b>	<b>Originator of change</b>	<b>Date of change</b>	<b>Change description</b>
<b>V2</b>	<b>Karen Talbot - ADH</b>	<b>June 2017</b>	<b>Amendments at 4.2 requested by Policy Scrutiny Committee</b>
<b>V1</b>		<b>October 2015</b>	Implementation

## Distribution and training history

<b>Details</b>	<b>Date</b>
<b>Available on shared drive</b>	<b>October 2015</b>

## **1.0 Introduction**

- 1.1 The City of Lincoln Council (CoLC) is a stock retained local authority, committed to providing the best services possible for our tenants, who occupy approximately 7,800 properties throughout the city. Our homes are a mix of houses, bungalows, maisonettes and flats, some of which are in our three high rise blocks.
- 1.2 This policy applies to all our secure tenants. Introductory tenants do not have the right to carry out a mutual exchange. It also applies to all tenants of other providers who carry out a mutual exchange with our tenants at the point when they become the legal tenant of our property through the assignment of that tenancy.

## **2.0 Aims and objectives of policy**

- 2.1 The objectives of this policy are:
- to ensure that all enquiries and applications for a mutual exchange are dealt with according to legal requirements as stated in the Housing Act 1985 (as amended);
  - to apply the policy fairly and consistently in respect of our legal requirements as above;
  - to set out those circumstances where discretion may be exercised to make the best use of our stock, protecting our income stream and help encourage tenants who wish to move to more appropriate accommodation for their needs to do so;
  - to provide a framework that will support clear operational procedures for the application of this policy so that staff and tenants are clear about the rules and processes that must be followed when considering an application for a mutual exchange.

## **3.0 Diversity and inclusion**

- 3.1 The CoLC will make sure that the principles of equality, diversity and inclusion are integral in the business planning of the Housing Service.
- 3.2 This will be achieved by treating people fairly and taking the nine protected characteristics of the Equality Act 2010 into consideration within all aspects of the service, including access to the service.

## **4.0 Legal Framework**

- 4.1 The process of applying for and carrying out a mutual exchange is governed by the Housing Act 1985 (as amended), property law and the common law. In brief, the law states the following:
- Mutual exchanges can only be carried out between secure or flexible tenants of local authorities and ALMOs and assured tenants of housing associations;

- Mutual exchanges are carried out by assignment of existing tenancies, not by the creation of new tenancies. The exception to this is if one of the exchanging tenants is a flexible tenant (as defined under the Localism Act 2011). In those cases, the exchange will be carried out by granting new tenancies to each party and preserving their original tenancy status; In accordance with the law of property in respect of positive and restrictive obligations under the tenancy agreement, obligations that require the tenant to do something, for example, paying the rent, remain with the person whereas restrictive obligations such as not damaging the property, remain with the property. Therefore, an exchanging tenant does not acquire any rent arrears that the previous tenant had but does assume responsibility for any damage that the previous tenant caused to the property;
- Introductory tenants of local authorities/ALMOs and starter tenants of housing associations do not have the right to carry out a mutual exchange;
- Mutual exchanges, although carried out by assignment, do not count as successions;
- If, however, the exchanging tenant is a successor themselves, their status as a successor still stands and a further succession cannot, therefore, take place;
- As landlord, we are required to confirm or not someone's request to carry out a mutual exchange within 42 days of the application being submitted;

4.2 There are grounds on which we can legally refuse to allow a mutual exchange within schedule three of the Housing Act 1985 (and its subsequent amendments);

- Ground 1 – the tenant or proposed assignee is subject to an order of the court for the possession of their home
- Ground 2 (and 2ZA) – Proceedings for possession have begun but an order has not yet been granted
- Ground 2A – an order for anti-social behaviour, such as an injunction or demotion order has been applied for or is in force
- Ground 2B – the property is subject to a closure notice or order.
- Ground 3 – the property is substantially larger than they need (the incoming tenant would have more than one additional bedroom) Incoming tenants who will under occupy by one bedroom will be advised that they could be subject to a reduction in Housing Benefit.
- Ground 4 – the property isn't large enough to accommodate the household
- Ground 5 refers specifically to excluding properties that were let as part of someone's employment or are part of a larger building that is used predominantly for none housing purposes
- Ground 6 applies restrictions to tenants wanting to exchange with tenants of properties owned by a charity

- Ground 7 – the property has been substantially adapted to meet the needs of an occupant who has physical disabilities and these adaptations would not be required by the proposed incoming tenant.
- Ground 9 – the property is part of a group of properties let to people with specific needs, i.e. our sheltered housing stock, and for which the proposed incoming tenant does not have these needs

### **Policy statement**

- 5.1 We will at all times comply with our legal requirements as set out above and in law.
- 5.2 We will exercise our right to take possession action for breach of tenancy against a tenant who asks for or offers money in connection with a mutual exchange.
- 5.3 We will make it a condition of a mutual exchange taking place (as opposed to our refusing outright the mutual exchange as in section 4 above) that our tenant's/tenants' rent account(s) is/are clear at the point at which the assignment takes place.
- 5.4 We will also make it a condition of a mutual exchange taking place that other tenancy breaches are rectified before the exchange takes place, for example unauthorised, illegal, faulty or dangerous alterations or improvements to the property.
- 5.5 We will use our discretion if the arrears on the rent account have arisen solely because of a deduction to the tenant's housing benefit through the imposition of the spare room subsidy (or 'bedroom tax'); and
  - the property to which they wish to move would result in the removal of this deduction;
  - they have made strenuous efforts to pay the deduction themselves;
  - they have made efforts to obtain discretionary housing payments.
- 5.6 We will exercise our discretion in allowing an exchange to take place where there are rent arrears not accumulated because of paragraph 5.5 above but who have been making regular payments to clear their debt for a minimum of six months prior to the exchange taking place and whose arrears do not exceed more than four weeks' rent at the time of exchange.
- 5.7 We will exercise our discretion in allowing a mutual exchange to take place where there are rent arrears or other unrectified breaches of tenancy but where the mutual exchange would enable the tenant to flee domestic abuse and where their situation is supported by the police and other relevant agencies.

- 
- 5.8 We will carry out any routine repairs for which we are responsible under the tenancy agreement that are identified before or after the exchange but will be limited to what we would have carried out had the exchange not taken place.

### **Our role as a landlord**

- 6.1 As landlord we acknowledge our role in creating conditions where tenants wishing to mutual exchange can do as easily as possible and at minimum cost. To that end we will:
- continue to be members of 'Homeswapper' or its successors and provide facilities at our offices where tenants can seek potential exchanging tenants and properties and get advice from us on all aspects of their desired exchange;
  - actively promote the benefits of tenants carrying out a mutual exchange, especially where the financial consequences of exchanging (such as avoiding the housing benefit spare room deduction') will be of benefit to the tenant and to the council in terms of its income management;
  - enable tenants to apply for an exchange online at our offices or from their home;
  - provide comprehensive and accurate information and publicity in print or online;
  - be clear with exchanging tenants on the mutual exchange process and their obligations and offer all practicable support in helping them achieve their desired exchange;
- 6.2 We will visit all our tenants wishing to carry out a mutual exchange, carry out as comprehensive property inspection as possible and explain to them what they must do before the mutual exchange takes place. We will make it clear to the tenant in what ways a mutual exchange differs from a transfer, for example, their taking on the condition of the property 'as seen' (not including, of course, repairs for which we as landlord would be responsible for carrying out in accordance with the Repairs Policy). We will ensure that these visits take place within 15 days of receiving a mutual exchange application.
- 6.3 If we approve the exchange and set a date for it to take place, both parties must sign a deed of assignment; and we must give our permission for the exchange to take place in writing, too.
- 6.4 We may begin an action for possession of the property if an exchange is agreed as a result of a tenant giving false information or if any payment has been made to persuade someone to exchange or if tenants move before our written consent is given. This will involve serving a notice of seeking possession and will therefore provide a ground for refusing the exchange.



## **7.0 Training**

7.1 We will provide suitable training to all staff involved in the mutual exchange process so that we can fulfil both our legal obligations in respect of mutual exchanges and those set out in this policy.

## **8.0 Consultation**

8.1 The CoLC will work with tenants to continually improve services in a range of ways including, focus groups, service review groups and tenant inspections, in line with published regulatory standards.

8.2 Further information on how tenants can become involved in shaping the way we deliver services is available at [www.lincoln.gov.uk/housing/council-tenants/resident-involvement/](http://www.lincoln.gov.uk/housing/council-tenants/resident-involvement/)

## **9.0 Performance management**

9.1 There are a number of key performance indicators recorded and presented to Housing Services Team, Lincoln Tenants Panel, Performance Scrutiny Committee and Housing Scrutiny Sub Committee.

9.2 Whilst the timescale noted within this policy are not key performance indicators, they are regularly monitored and reviewed by the Tenancy Services Manager.

## **10.0 Complaints**

10.1 The only appeal to a decision to withhold consent for a mutual exchange is by way of judicial review through the courts on a point of law.

10.2 However if a tenant is dissatisfied with the conduct of an officer or the manner in which their application was dealt with the tenant can make a formal complaint using the following methods;

- Online at [www.lincoln.gov.uk/complaints](http://www.lincoln.gov.uk/complaints)
- By email to [complaints@lincoln.gov.uk](mailto:complaints@lincoln.gov.uk)
- By telephoning 01522 881188
- By letter to Housing Services  
City of Lincoln Council,  
City Hall,  
Beaumont Fee,  
Lincoln,  
LN1 1DD

10.3 Complaints will be acknowledged and responded to within 10 working days. Further information is available at [www.lincoln.gov.uk/complaints](http://www.lincoln.gov.uk/complaints)

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## **11.0 Monitoring and review**

11.1 This policy will be reviewed every three years unless required earlier through legislative or regulatory changes.

## **12.0 Other external and internal influences on this policy**

12.1 This policy has been created and should be implemented in conjunction with the following internal documents:

- Allocations policy
- Equality and diversity strategy
- Tenancy agreement
- Domestic violence and anti-social behaviour policies.

12.2 Similarly, this policy has been created and should be implemented in conjunction with the following external documents:

- Housing Act 1985 (as amended)
- Housing Act 1996
- Equality Act 2010
- Localism Act 2011

**SUBJECT: BUSINESS RATES GROWTH POLICY**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**REPORT AUTHOR: CLAIRE MOSES, REVENUES AND BENEFITS MANAGER**

## **1. Purpose of Report**

- 1.1 To seek Policy Scrutiny Committee's views on a draft City of Lincoln Business Rates Growth Policy which aims to provide a time limited rate relief discount to new and extended business premises within the City, in the interest of building the Business Rates base, supporting economic growth and job creation.

## **2. Executive Summary**

- 2.1 Provisions under Section 69 of the Localism Act 2011 (amendment to Section 47 of the Local Government Finance Act 1988) allow all authorities to grant discretionary relief in any circumstances where the Council feels fit having regards to the effect on the Council Tax payers of its area. It is proposed that in line with the Act, the Council adopts a Policy for the discounting of business rates where economic benefit to the District can be evidenced.
- 2.2 A draft Business Rates Growth policy, outlining further details of the proposed relief, including eligibility criteria, is included in the appendices to this report.
- 2.3 The draft City of Lincoln Council's Business Rates Growth Policy aims to provide a time-limited rate relief discount to new and extended business premises within the City, in the interest of building the Business Rates base, supporting economic growth and job creation. This policy supports the Council's open and partnership focussed approach to delivering growth as set out in the Vision 2020 Strategic Plan, particularly the objectives and ambitions relating to economic growth and reducing inequality.
- 2.4 Eligibility for this proposed scheme will be dependent on the extent of the business premises creation or extension, location and the impact of the new business or expansions plans has on the local economy. Further details on the eligibility criteria and application process in Section 4 of this report, and in the appendices.
- 2.5 Any award made as a Local Growth Discount will fall as a loss on the Council's Business Rates Collection Fund. Normally 40% of the loss is allocated to the Council, however for 2018/19 because Lincoln is in a pilot for 100% Business Rates retention, the loss will be 60%. In addition, due to the announcements regarding the Government's intention to make significant reforms to the way in which local government is funded, the 40% figure could change in future years.
- 2.6 A factor open to the Council to ensure financial control, is to place a cap on the total amount that can be awarded in any given year. To this end, the proposed cap is £150,000 per annum – as the Council will be effected to the extent of 40% (£60,000) (60% (£90,000) in 2018/19) for any loss in Business Rates, if the scheme is approved.

2.7 The proposed timeline with this policy to be considered/approved, is:

- Policy Scrutiny Committee – 19 June 2018
- Executive – 23 July 2018
- Policy effective – August 2018.

### **3. Background**

3.1 The Central Lincolnshire Local Plan sets out a spatial strategy for supporting strong and sustainable economic growth, where entrepreneurship, innovation and inward investment are actively encouraged and identifies growth targets for housing and job creation. The City Council's support for these growth objectives are set out in Vision 2020, particularly with regard to the economic growth and inequality reduction priorities and aspirations.

3.2 Supporting new or expanding businesses through the provision of time-limited Business Rate relief supports the Central Lincolnshire Local Plan and City of Lincoln Vision 2020 objectives. The net result of such intervention aims to result in positive impacts in creating and safeguarding jobs, as well as securing medium term revenue increases for the Council by supporting Business development and expansion.

3.3 This draft Policy has been developed between the Revenues, Finance and Major Developments teams of the City of Lincoln Council. The opportunity to use the discretionary growth policy as a mechanism to support new and expanding businesses for the city has been identified. Similar financial incentives are being successfully used within other local authorities to support growth objectives.

3.4 Business investments or the location or relocation of any business are decisions taken after balancing a wide range of factors, including availability of land and premises, skills, access to markets, transport, infrastructure and broadband as well as operational cost and scale economies. The City Council is working closely with neighbouring districts to accommodate businesses needs within the wider area. The Central Lincolnshire Local Plan has identified a jobs led growth target.

3.5 In 2017, the Central Lincolnshire Local Plan was adopted, which sets out the objectives for economic growth, prosperity and jobs for the area, and provides details of Strategic Employment sites within the Central Lincolnshire area. For Lincoln this includes the identification of Strategic Employment Sites (for example, Lincoln Science and Innovation Park) and employment provision within Sustainable Extension employment sites (North East Quadrant and Western Growth Corridor).

3.6 City of Lincoln Council recognises the importance of visitor footfall to the City. By providing relief to incentivise new and expanding visitor attractions, it is anticipated the net result of this intervention will be a positive impact in terms of supporting growth of a visitor centre in the Bailgate Quarter, as well as consideration given to projects in and around the Cathedral that improve visitor footfall.

3.7 There are two neighbouring authorities who have also approved a Business

Rates Growth Policy; North Kesteven District Council and West Lindsey District Council.

North Kesteven's policy was approved in February 2015 with a start date of 1 April 2015. The policy provides for a maximum relief of £300,000 (£100,000 over 3 years).

West Lindsey's policy was approved on 10 May 2018 with a start date of 1 May 2018 provides for a maximum of £300,000 in reliefs to be awarded with a maximum award of 100% over a 3 year period.

Both policies identify key growth sectors identified within the Great Lincolnshire Local Enterprise Partnership (GLLEP) as well as in each of the Local Plans, with West Lindsey identifying a number of Strategic Employment Sites which meet the need for large-scale investment.

#### **4. How the policy works**

- 4.1 The Business Rates Growth Policy aims to support businesses by providing time-limited rate relief to enable or advance the development of new or extended premises, and where existing rate relief is not available. Eligibility and aspects of the scheme are summarised as follows;
- a. The ratepayer must be able to evidence that new employment floor space will be provided, and by association additional Rateable Value, either through new development or extension by the end of the discounted period (3 years).
  - b. The ratepayer must be able to demonstrate that their business is of value to the City with reference to employment, economy, and/or growth sector as set out in local evidence (see Appendix B).
  - c. The ratepayer must not be entitled to mandatory rate relief (Charity or Rural Rate Relief) or relief as a non-profit making organisation or as a sports club or similar.
  - d. Discretionary rate relief will not ordinarily be granted on unoccupied premises. Consideration for this relief may however be given for businesses within identified priority employment areas i.e. the Employment allocations associated with sustainable urban extensions and Strategic employment Sites as identified within the Central Lincolnshire Local Plan, (see Appendix B). Any such award would support an approved long term Business or Management plan for growth.
  - e. The ratepayer must demonstrate that assistance (provided by the Local Discount) will only be required for a maximum period of three years and that their business/ operation is financially viable in the medium and long term.
- 4.2 In order for a growth business to qualify for a discount they must apply to the Council's Major Developments Directorate. An initial 'audit of suitability' will be undertaken by officers before any formal invitation to apply for relief is issued to

the business.

4.3 **For all suitable businesses outside priority employment areas**, the discount may only apply to the additional rateable value which would be applied on an expansion of business premises or a new building.

4.4 As well as additional rateable value applied due to expansion, **for businesses located within the priority employment areas – the Sustainable Urban Extensions and Strategic Employment sites as identified in the Central Lincolnshire Local Plan**, the discount may also apply to new build or vacant premises where it can be demonstrated that the business supports the targets of a wider Business case and/or Masterplan in line with the Council's Strategic Plan.

4.5 Applications will be scored by an Officer Board which will aim to meet at least quarterly. Applications to the Council's Officer Board will be judged on individual merit and on a case-by-case basis. Applicants will need to clearly demonstrate how the discount will be used to grow the business and create jobs. As discounting will be time-limited, the applicant will also need to demonstrate how at the end of the award period the business will fund the rates then due. A detailed financial and business plan must be provided in all cases. The Council reserves the right to refuse relief to any applicant.

4.6 Five scoring criteria are proposed based on the following:

- The impact the proposed business investment will have on the City's future Business Rate base;
- The value of the proposed business investment will have for the City's Economic Growth Strategy and Priorities (as outlined in Appendix B);
- Expected growth in jobs;
- Credit History/rating, Payment History, Risk;
- Evidence of corporate social responsibility.

4.7 The highest possible score is 100. A score of less than 50 will result in the rejection of the application. There is no right of appeal, although a case may be reviewed if further information/ clarification is made available. Subsequent applications will be considered after a 'cooling off period' of 3 months, to allow the business to revise their plans.

## 5. **Strategic Priorities**

5.1 The aspirations of this proposed policy are underpinned through the following strategic priorities: -

- Let's drive economic growth
  - Let's build a strong, viable and prosperous future for Lincoln;
  - Let's help businesses prosper;
  - Let's create a culture of innovation;
  - Let's attract investment; and
  - Let's make things happen.
- Let's reduce inequality
  - Let's help people succeed;
  - Let's provide help to the most vulnerable in our City;

- Let's help people feel safe and welcome in their communities; and
- Let's empower people.

## **6. Organisational Impacts**

### **6.1 Finance**

It is proposed that an annual cap of £150,000 be allocated for this scheme, for a period of 3 years maximum, commencing 1<sup>st</sup> April 2018. Under current business rates retention, the net cost would be 40% i.e. £60,000 per year. However during the 100% Business Rates Retention Pilot year of 2018/19 this will be 60% i.e. £90,000 per year. This amount may be reviewed in-year dependant on demands and emerging priorities.

The actual cost of the scheme will be borne and distributed through the Council's Collection Fund when a surplus or deficit is declared each year.

Promotion of new businesses and new jobs within the district will also have financial benefit for the Council that will help elevate the significant loss in grant income from central government.

### **6.2 Legal Implications including Procurement Rules**

The Policy is based on the provisions of the Local Government Finance Act 1988 and the Localism Act 2011.

### **6.3 Land, property and accommodation**

This policy may assist in building of new business units / expansion of current units.

### **6.4 Human Resources**

There are no implications as a result of this policy

### **6.5 Equality, Diversity & Human Rights (including the outcome of the EA attached, if required)**

This policy relates to businesses and not individuals. Any consideration regarding business rate relief relates to the increase in floor area required for business growth. Therefore should any additional floor area be required to accommodate the needs of a protected characteristic as part of the growth of the business this would be considered as part of the individual application for relief.

## **7. Risk Implications**

### **7.1 (i) Options Explored**

The major budgetary risks that the Council now faces is around Business Rates income and the assumptions over future growth in business rates income to the Council. This policy on Local Discounts may help to mitigate some of these risks.

## **8. Recommendations**

### **8.1 Policy Scrutiny Committee considers and comments, on:**

- 1) The draft Business Rates Growth policy;
- 2) The proposal for a different level of discount being available depending on whether or not a business is located, or is to be located, within a Strategic Employment site as identified within the Central Lincolnshire Local Plan;
- 3) The potential for making changes to the scheme parameters to be delegated to the Chief Finance Officer, providing these do not fundamentally alter the principles behind this policy and do link into aspirations relating to the Council's Strategic Plan.

**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 (also incorporating Appendix A and Appendix B)

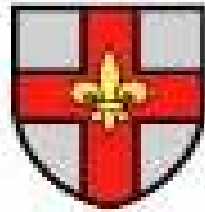
**List of Background Papers:**

None

**Lead Officer:**

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CITY OF  
*Lincoln*  
COUNCIL

# City of Lincoln Council

## DRAFT Business Rates Growth Policy

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

**Document control**

<b>Organisation</b>	<b>City of Lincoln Council</b>
<b>Title</b>	<b>Business Rates Growth Policy</b>
<b>Author - name and title</b>	<b>Claire Moses – Revenues and Benefits Manager</b>
<b>Owner - name and title</b>	<b>Claire Moses – Revenues and Benefits Manager</b>
<b>Date</b>	<b>July 2018</b>
<b>Approvals</b>	<b>July 2018 - Executive</b>
<b>Filename</b>	<b>Business Rates Growth Policy</b>
<b>Version</b>	<b>V.2.0</b>
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**Document Amendment history**

<b>Revision</b>	<b>Originator of change</b>	<b>Date of change</b>	<b>Change description</b>
<b>V.2.0</b>	<b>Becky Scott</b>	<b>June 2018</b>	<b>To include document control</b>

## **Content**

<b>Content</b>	<b>Page</b>
Introduction and Background	4
What Discount is available	5
Eligibility Criteria	5
Application and Decision Process	7
Right to Appeal	9
Clawback Provision	10
Promoting and communicating the policy	11
Implementation of the policy	11
Complaints	11
Appendix A – Applications, Decision, and Scoring criteria	12
Appendix B – Local Priorities for Economic Growth, Local Evidence Document List	17

## **Introduction and Background**

City of Lincoln Council's Business Rates Growth policy aims to provide a time-limited rate relief discount to new and extended business premises within the City, in the interest of building the Business Rates base, supporting economic growth and job creation. This policy supports the Council's open and partnership focussed approach to delivering growth as set out in the Vision 2020 Strategic Plan, particularly the objectives and ambitions relating to economic growth and reducing inequality.

Provisions under Section 69 of the Localism Act 2011 (amendment to Section 47 of the Local Government Finance Act 1988) allow all authorities to grant discretionary relief in any circumstances where the Council feels fit having regards to the effect on the Council Tax payers of its area.

Eligibility for this scheme will be dependent on the extent of the business premises creation or extension, location and the impact of the new business or expansion plans has on the local economy. Further details on eligibility criteria and application process are outlined below.

## **What Discount is available**

**For all suitable businesses outside priority employment areas** the discount will only apply to the additional rateable value of a new business premises expansion or new build.

**For businesses located within the priority employment areas – the Sustainable Urban Extensions and Strategic Employment sites as identified in the Central Lincolnshire Local Plan** and shown on Plan in Appendix B), discount may also be eligible for vacant premises where it can be demonstrated that such supports a wider approved Business case and/or Masterplan and the local growth priorities as identified in Appendix B.

Where eligibility can be demonstrated business discounts of up to three years are available on the new or extended premises on a sliding scale of up to;

Year 1	100%	relief;
Year 2	50%	relief;
Year 3	25%	relief.

## **Eligibility Criteria**

The Business Rates Growth Policy aims to support businesses by providing time-limited rate relief to enable or advance the development of new or extended premises, and where existing rate relief is not available. Eligibility and aspects of the scheme are summarised as follows;

- a. The ratepayer must be able to evidence that new employment floor space will be provided, and by association additional Rateable Value, either through new development or extension by the end of the discounted period (3 years).
- b. The ratepayer must be able to demonstrate that their business is of value to the City with reference to employment, economy, and/or growth sector as set out in local evidence (see Appendix B).
- c. The ratepayer must not be entitled to mandatory rate relief (Charity or Rural Rate Relief) or relief as a non-profit making organisation or as a sports club or similar.
- d. Discretionary rate relief will not ordinarily be granted on unoccupied premises. Consideration for this relief may however be given for Businesses within identified priority employment areas i.e. the Employment allocations associated with Sustainable Urban Extensions and Strategic employment Sites as identified within the Central Lincolnshire Local Plan, (see Appendix B). Any

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

such award would support an approved long term Business or Management plan for growth.

- e. The ratepayer must demonstrate that assistance (provided by the Local Discount) will only be required for a maximum period of three years and that their business/ operation is financially viable in the medium and long term.
- f. Exclusive to the requirements above, the ratepayer must be able to demonstrate that they have a significant impact in respect of visitor footfall to the City. The ratepayer must demonstrate a commitment to new and expanding visitor attractions, and that the net result of this intervention/s will be have a positive impact in terms of supporting growth of a visitor centre in the Bailgate Quarter, as well as consideration given to projects in and around the Cathedral that improve visitor footfall.

Prospective applicants must apply to the Council's Major Developments Directorate for an initial discussion and 'audit of suitability', which will be undertaken by officers before a formal invitation to apply for relief is made. A formal application will then be required to be completed and submitted to the Council with all necessary supporting information on which the Council can base a decision

## **Application and Decision Process**

In considering an Applicants suitability for Growth rate relief the Council will;

Undertake an assessment of overall risk, including consideration of previous business payment history, as well as to ensure the European Union State Aid limit would not be breached (currently a maximum of €200,000 within a 3 year period).

Consider the usage of business premises and, in particular, the contributions that businesses seeking rate relief make to their local economy and communities. Relief will be prioritised to organisations that meet the aims and objectives of local economic growth policies and contribution to the City of Lincoln Council's strategic priorities.

Consider the business' expansion plans. A Local Discount will not be awarded until the business has all the required permissions, licences, and other provisions in place in respect of premises development and has begun lawfully trading with a minimum lease period of 3 years and a statement of intention to operate the business in the City for five years or more.

A formal application to the Council will require all relevant information in respect of the policy criteria and all supporting information demonstrating compliance with eligibility criteria.

As relief will be time-limited, the applicant will also need to demonstrate how at the end of the award period of relief the business will fund the rates then due. A detailed financial and business plan must be provided in all cases.

Applications made for this Local Discount will be considered by an Officer Board for this Policy, being City of Lincoln Council officers, as follows:

- Financial Services Manager;
- One of the following from the Revenues and Benefits Shared Service;
  - Head of Shared Revenues and Benefits,
  - Revenues and Benefits Manager, or
  - Recovery & NNDR/BID Team Leader;
- Principal Development Officer;
- A replacement officer to the above may be part of the decision team, but only with prior approval from the Chief Finance Officer.

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

Applications for a Local Discount to the Council will be judged on individual merit and on a case-by-case basis. The scheme is discretionary and the applicant does not have a statutory right to payment. The Council reserves the right to refuse relief to any applicant and will provide an explanation of reasons in such cases.

Applicants will need to clearly demonstrate how the relief will be used to grow the business, providing an outcome report at the end of each financial year demonstrating how the growth objectives have been met – detailing measurable outcomes.

The growth discount will usually be awarded by means of a reduction shown on the business rate bill issued to the ratepayer. Where this puts the account in credit for the year, a refund will be made.

**Business rate payments remain legally due and payable in accordance with the most recent bill until such time as any rate relief is awarded.**



## **Right to Appeal**

There is no statutory right to appeal against a decision under the associated legislation, other than Judicial Review. An applicant may make a request for the decision to be reviewed but only where either;

1. Additional information that is relevant to the application and that was not available at the time the decision was made becomes available, or
2. There are good grounds to believe the application or supporting information was not interpreted correctly at the time the decision was taken.

A request for a review must be made within four weeks of notification of the decision and must set out the reasons for the request and any supporting information.

The review will be considered by the City Council's Chief Finance Officer.

Subsequent applications will be considered after a 'cooling off period' of 3 months, to allow the business to revise their plans.

## **Clawback Provision**

The Council may at the Council's absolute discretion if (in the Council's opinion) any of the Clawback Events or Termination Events listed occur:

- a. Suspend the payment of the Local Discount under this Policy for such period as the Council shall determine;
- b. Vary the Local Discount payable under this Policy, in which case the payment of funding shall thereafter be made in accordance with the written variation notified to the Applicant;
- c. terminate any agreement to pay the Local Discount under this Policy whereupon the Council shall cease to be under any obligation to provide any further Local Discount to the Applicant and (in addition) the Council may require the Applicant to repay the whole or any part of the Local Discount previously paid to the Applicant and the Applicant agrees that upon receipt of written notice requiring repayment the Applicant shall repay the sums required within 30 days of receipt of such notice.

Notwithstanding the provisions of Clauses a. and b above, in the event that an applicant relocates the business for which the Local Discount is payable to a location outside of the district, within a period of five years from the date of the decision to award the Local Discount, the Council shall be entitled to recover some or all of the Local Discount on the following basis:

- a. The relocation occurs before 3 calendar years have expired beginning with the date of the decision, 100% of the Local Discount shall be recoverable, at the Council's discretion;
- b. The relocation occurs after 3 years and before 4 calendar years have expired beginning with the date of the decision, a maximum of 50% of the Local Discount shall be recoverable, at the Council's discretion;
- c. The relocation occurs after 4 years and before 5 calendar years have expired beginning with the date of the decision, a maximum of 25% of the Local Discount shall be recoverable, at the Council's discretion.

## **Promoting and communicating the policy**

Advice and information will be available to all business ratepayers on the Council's website and from staff who may be dealing with enquiries from ratepayers.

In order for a growth business to qualify for a discount they must apply to the Council's Major Developments Directorate. An initial 'audit of suitability' will be undertaken by officers before any formal invitation to apply for relief is issued to the business.

## **Implementation of the policy**

Officers representing Revenues and Benefits, Finance and Major Developments Directorate, will implement the policy, make recommendations and decisions.

Scoring Criteria will be used in support of the decision making – which is shown in Appendix A to this document.

## **Complaints**

Any ratepayers who believe their cases have not been correctly dealt can utilise the Council's Customer Complaints procedure.

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

**Appendix A**

**Application requirements and decision making process**

To enable consideration for relief, the ratepayer must submit a proposal to the Major Developments Directorate evidencing compliance with the eligibility and scoring criteria.

Applicants will need to clearly demonstrate how the discount will be used to grow the business and create jobs and how it meets the City's growth priorities.

As discounting will be time-limited, the applicant will also need to demonstrate how at the end of the award period the business will fund the rates then due. A detailed financial and business plan must be provided in all cases.

If suitable, the application will be formally considered by a Council Officer Board and be judged on individual merit and on a case-by-case basis. The Council reserves the right to refuse relief to any applicant.

**The percentage award will be based on the rateable value in place at the time of the application, and when a decision is notified this will be converted into a £.p figure, which will not be adjusted in the scenario where the rateable value is amended.**

**Scoring applications**

Applications will be scored on the following criteria.

	<b>Criteria</b>	<b>Maximum Score</b>
1	The impact the proposed business investment will have on the City's future Business Rate base	25
2	The value of the proposed business investment will have for the City's Economic Growth Strategy and Priorities (as outlined in Appendix B)	25
3	Expected growth in jobs	25

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

4	Credit History/rating* History* Risk*	Payment	15
5	Evidence of corporate responsibility	social	10

**Criteria 1:** The ratepayer must be able to evidence that the proposals will have a positive impact on the City’s future Business Rates base and that an increase in rateable value will be generated by the end of the discounted period (3 years). This will be scored on a sliding scale of 0-25 depending on the value increase.

The ratepayer must not already be entitled to mandatory rate relief (Charity or Rural Rate Relief) or relief as a non-profit making organisation or as a sports club or similar.

Post discount business rateable value increase	Score
No increase	0
Anticipated Business Rates bases / rateable value increase	1 - 25

**Criteria 2:** The ratepayer must be able to demonstrate that their business is of value to the City’s economic growth and prosperity as set out in the local evidence listed in Appendix B.

Compliance with local economic growth priorities	Score
Partially compliant	Up to 12.5
Fully compliant	25

Discretionary rate relief will not ordinarily be granted on existing or unoccupied premises. Consideration for such may however be given for Businesses’ within identified priority areas i.e. within Sustainable Urban Extensions and Strategic Employment Sites as identified within the Central Lincolnshire Local Plan and shown on plan in Appendix B. Any such relief would be for a time limited period and need to be evidenced

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

that the relief supports delivery of an approved long term Business or Management plan for growth.

The ratepayer must demonstrate that assistance (provided by the Local Discount) will only be required for a maximum period of three years and that their business/operation is financially viable in the medium and long term.

**Criteria 3:** The ratepayer must be able to evidence that the investment represents a growth in job numbers within the business or significant retention of jobs. Eligibility will be scored on the basis of jobs created as a % of the existing number of jobs, over the period of the relief. Where evidenced this score may also take into account growth potential if successful and the number of jobs that may be created in local supply chains. Some investments i.e. in capital equipment, may not create many new direct jobs but may enable a company to enter new markets or create new products that over time will create significant numbers of additional indirect jobs. If the current number of jobs is 'zero' (e.g. a new business), the starting point against which a % will be applied, will be classed as 'one job'.

% increase Number of jobs	Score
0	0
Less than 10%	10
10-50%	15
50-100%	20
Greater than 100%	25

**Criteria 4:** An assessment of risk will be undertaken and scored within a sliding scale of 0 high risk and 15 no risk based on the business' financial, credit history/payment history and social integrity.

Risk: the Council will undertake an assessment of overall risk. The business must provide the council with a Business Plan which clearly demonstrates

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

the impact of the proposed investment on the business and which includes a financial forecast and Balance Sheet.

Credit History: the Council must be convinced the business is sustainable and appropriately financed. Due diligence will include a review of audited accounts, a credit check and applicants will be expected to provide a letter of support from their bank.

Payment History – the Council is unlikely to award discounts to businesses with a poor payment history. Where the applicant is a UK inward investor, the council may require evidence of rates paid in another district.

**Criteria 5:** Evidence of a Business's level of corporate social responsibility will also be taken into account when scoring eligibility. With a sliding score of 1-9 based on evidence such as compliance with the Living Wage Foundation's wage standards and a maximum score of 10 where there is evidence of formal sign up to Local Charter Standards.

**Further Criteria:** As highlighted on page 5 of this Policy, this is another exclusive, independent criteria a business may fulfil, being:

The ratepayer must be able to demonstrate that they have a significant impact in respect of visitor footfall to the City. The ratepayer must demonstrate a commitment to new and expanding visitor attractions, and that the net result of this intervention/s will be have a positive impact in terms of supporting growth of a visitor centre in the Bailgate Quarter, as well as consideration given to projects in and around the Cathedral that improve visitor footfall.

This particular criteria is scored in line with the mechanism as documented in this Policy for criteria 1-5, however a separate score of up to 50 is available where the ratepayer can demonstrate they meet this particular independent criteria.

The highest possible score is 100. A score of less than 50 will result in the rejection of the application. There is no right of appeal, although a case may be reviewed if further information/ clarification is made available. Subsequent applications will be considered after a 'cooling off period' of 3 months, to allow the business to revise their plans.

**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

**Appendix B**

**Local Priorities for Economic Growth in Lincoln: Evidence Document List**

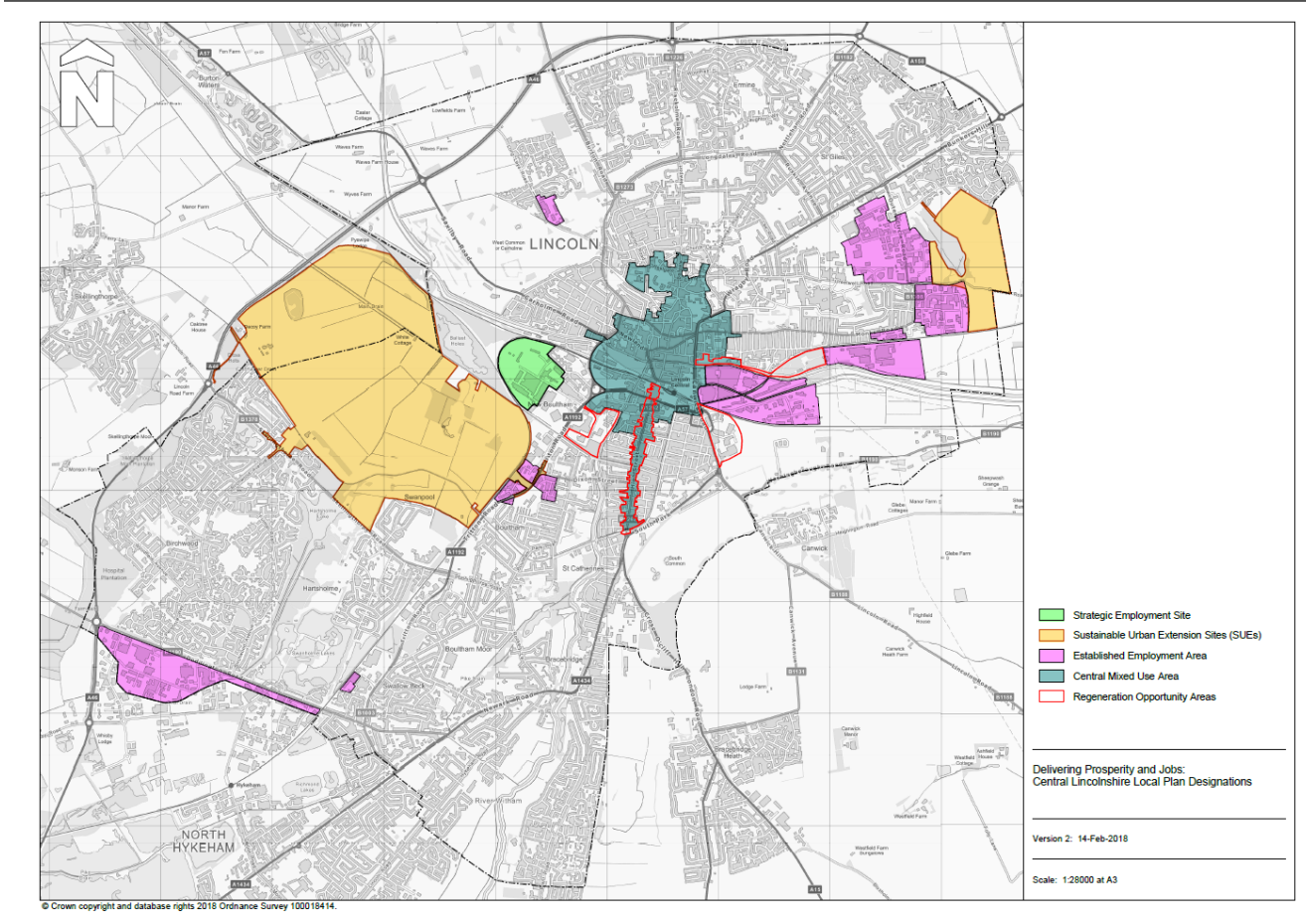
*Note further evidence may be available or developed and should be referenced where relevant.*

Document	
National Industrial Strategy and emerging Local industrial Strategies	As well as the sectors already identified in the Greater Lincolnshire Strategic Economic Plan, emerging priorities identify the need to maximise business opportunities in relation to Science and digital technologies and ‘Smart’ markets. Business growth and expansion into exports markets are also a recognised priority.
“Greater Lincolnshire Strategic Economic Plan 2016” <a href="https://www.greaterlincolnshirelep.co.uk/documents/strategic-economic-plan-2016-refresh">https://www.greaterlincolnshirelep.co.uk/documents/strategic-economic-plan-2016-refresh</a>	Identifies 6 priority sectors – agri food; manufacturing; health and care; ports and logistics; visitor economy; low carbon and digital.
“Central Lincolnshire Local Plan” adopted 2017 <a href="https://www.n-kesteven.gov.uk/central-lincolnshire/planning-policy-library/">https://www.n-kesteven.gov.uk/central-lincolnshire/planning-policy-library/</a>	Identifies the need for 11,894 new jobs within Central Lincolnshire by 2036 – 496 pa.  Identifies Priority Employment sites as ; Strategic Employment Site (LSIP) 11.5 ha; and Sustainable Urban Extensions (NEQ 5 ha; WGC 20 ha)
“Central Lincolnshire Economic Needs Assessment June 2015” <a href="https://www.n-kesteven.gov.uk/central-lincolnshire/planning-policy-library/">https://www.n-kesteven.gov.uk/central-lincolnshire/planning-policy-library/</a>	Identifies strong growth opportunities in professional and business and visitor sectors. Identifies stable growth in manufacturing, and particularly food manufacturing. Identifies the need to maximise international opportunities for expansion. Evidences the need for new business premises within Central Lincolnshire.
“Central Lincolnshire Economic Growth Delivery Plan April 2016” <a href="https://www.n-kesteven.gov.uk/central-lincolnshire/planning-policy-library/">https://www.n-kesteven.gov.uk/central-lincolnshire/planning-policy-library/</a>	Identifies key growth priorities for Central Lincolnshire.



**BUSINESS RATES GROWTH POLICY:  
APPENDICES – 19 JUNE 2018 – POLICY SCRUTINY COMMITTEE**

<p>“A Growth Strategy for Lincoln 2014-2034”  <a href="https://www.n-kesteven.gov.uk/resources/assets/attachment/full/0/017772.pdf">https://www.n-kesteven.gov.uk/resources/assets/attachment/full/0/017772.pdf</a></p>	<p>Summarises the growth objectives for the City reflecting the priorities identified in the wider area.</p>
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**SUBJECT: REVIEW OF FRAUD SANCTION POLICY**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**REPORT AUTHOR: MARTIN WALMSLEY, HEAD OF SHARED REVENUES AND BENEFITS**

## **1. Purpose of Report**

- 1.1 To seek Members' comments regarding a small number of amendments to the currently-approved Fraud Sanction Policy, in respect of the shared Revenues and Benefits service between City of Lincoln Council and North Kesteven District Council.

## **2. Executive Summary**

- 2.1 On 12<sup>th</sup> September 2013, Revenues and Benefits Joint Committee approved an updated version of the shared Benefit Fraud – Sanctions and Prosecutions Policy, making references to the Council Tax Support schemes (which replaced the national Council Tax Benefit scheme from 1<sup>st</sup> April 2013). The purpose of the policy is to assist the Councils in the shared service in preventing and detecting fraud in a consistent, effective, efficient and equitable manner.
- 2.2 On 1<sup>st</sup> October 2014, responsibility for investigation of Housing Benefit fraud in respect of City of Lincoln and North Kesteven transferred to the Single Fraud Investigation Service (SFIS) under Department for Work and Pensions (DWP). However, numerous functions still remain with the local authorities – including;
- Provision of data to SFIS;
  - Consideration of Administrative Penalties;
  - Investigation of Council Tax Support fraud.
- 2.3 On 11<sup>th</sup> February 2016, Executive Board approved an updated Fraud Sanction Policy, to reflect work being undertaken by SFIS and different levels of overpayment value being considered for prosecution.
- 2.4 The proposed amended policy at Appendix 1, highlights further changes required to the existing policy, with a view to take a final revised policy to Executive for consideration/approval on 23<sup>rd</sup> July 2018.

## **3. Proposed amendments to Fraud Sanction Policy (see Appendix 1)**

- 3.1
- Paragraph 5.1.1: 'Panel' amended to 'Benefits Team Leader' (x3);
  - Paragraph 5.1.1: Existing policy states 'the same Panel will consider cases for sanction';
  - Paragraph 5.1.2: 'Panel' amended to 'Benefits Team Leader';

Paragraph 5.1.2: 'For offences committed against the council tax support scheme, the penalty is 50% of the amount overpaid with a minimum penalty of £100 and maximum penalty of £1000' amended to '...', 'the penalty is £70.00';

- Paragraph 5.1.3: 'Panel' amended to 'Benefits Team Leader' (x2);
- Paragraph 5.2.1: 'Panel' amended to 'Benefits Team Leader';
- Paragraph 5.2.2: 'Panel' amended to 'Benefits Team Leader';
- Paragraph 5.3.3: Inserted new paragraph; The Crown Prosecution Service will require a Witness Statement in each case that is taken forward for a prosecution at court. This will be provided by a Benefits Team Leader.

3.2 It is proposed that the revised policy go through the consideration/approval process as follows:

<b>City of Lincoln Council</b>	<b>North Kesteven District Council</b>
Policy Scrutiny Committee: - 19 <sup>th</sup> June 2018	Performance and Resources Overview and Scrutiny Panel: - 18 <sup>th</sup> June 2018
Executive: - 23 <sup>rd</sup> July 2018	Executive Board: - 26 <sup>th</sup> July 2018

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

4.1 Both City of Lincoln and North Kesteven have a number of strategic priorities. Two that have an impact on the Revenues and Benefits Service are:-

- Lincoln: "Let's Reduce Inequality".
- North Kesteven: "Our Community Our Economy".

4.2 The Benefits Service plays a key role in reducing inequality by ensuring residents receive the benefits they are entitled to and providing money / debt advice. The Revenues Section is also mindful of the strategic priorities when engaging with business ratepayers as they recover business rates – and also promoting and encouraging growth in the districts. Digital Inclusion, Channel Shift / Customer Experience, Financial Inclusion and Partnership Working are all key priorities for the shared service.

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

5.1 Finance: There are no significant financial costs involved in the amendments proposed to this policy, although they will help to allow more effective and efficient use of officer time.

5.2 Legal Implications including Procurement Rules: There are no direct Legal or Procurement implications arising from this report.

5.3 Equality, Diversity & Human Rights: There are no direct implications arising from this report.

## 6. Risk Implications

6.1 A Risk Register is in place for the Revenues and Benefits shared service.

## 7. Recommendations

7.1 Members provide comments regarding amendments made to the proposed revised Fraud Sanction Policy;

7.2 To comment regarding whether or not delegation of potential future 'minor amendments' to this policy may be delegated to officers – for example, a change in job title/role making decisions on sanction, or a legislative change in a £ cost which may be applied.

**Is this a key decision?** Yes/No

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

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

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

**List of Background Papers:** None

**Lead Officer:** Martin Walmsley, Head of Shared Revenues and Benefits  
Telephone (01522) 873597

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City of Lincoln Council

&

North Kesteven District Council

Benefit fraud, sanctions and prosecutions policy

# CONTENTS

1. **BACKGROUND**
2. **STATEMENT OF INTENT**
3. **ACTION TO COUNTER FRAUD**
4. **THE PREVENTION AND DETECTION OF FRAUD**
  - 4.1 The prevention of fraud
  - 4.2 The detection of fraud
  - 4.3 Duties and considerations of employees and elected members
  - 4.4 Duties and considerations of investigation officers
  - 4.5 Resources
5. **SANCTIONS AND PROSECUTIONS**
  - 5.1 The decision making process
  - 5.2 Factors to consider
  - 5.3 Delivering sanctions and prosecutions
  - 5.4 Publicity



## **1. Background**

- 1.1 On 1<sup>st</sup> June 2011 the City of Lincoln and North Kesteven District Councils entered into an arrangement to share the provision of revenues and benefits services between them. By sharing their services the Councils are seeking to achieve savings and efficiencies.
- 1.2 From 1<sup>st</sup> October 2014, transfer of Housing Benefit Fraud investigation transferred from City of Lincoln Council and North Kesteven Council to the Department for Work and Pensions (DWP) under the Single Fraud Investigations Service. City of Lincoln Council and North Kesteven District Council retain responsibility for investigating potentially incorrectly-claimed Council Tax Support.
- 1.3 For the purposes of this policy, a person is considered to commit benefit fraud if they commit or attempt to commit a statutory offence against any of the following schemes operated by the Councils:
  - Housing Benefit;
  - Council Tax Benefit;
  - Council Tax Support;
  - any successor benefit to these schemes.

## **2. Statement of Intent**

- 2.1 The City of Lincoln and North Kesteven District Councils are committed to protecting public funds by taking action to combat benefit fraud. The Councils will not tolerate any form of benefit fraud, whether it is attempted from within or outside of the Councils. If there is sufficient evidence to show that a claimant or some other third party has committed benefit fraud, the Councils will consider taking action against that person under the appropriate legislation.
- 2.2 The Councils will seek to recover any benefit overpaid as a result of fraudulent activity and will use every power available to them to minimise the loss to the public purse through fraud.

## **3. Action to counter fraud**

- 3.1 The Councils are committed to operating in an open and honest way in order to:
  - encourage the prevention of fraud;
  - promote the detection of fraud;

- deter people from committing fraud by prosecuting or issuing sanctions against people caught committing benefit fraud.

## **4. The prevention and detection of fraud**

### **4.1 The prevention of fraud**

4.1.1 The Councils will seek to prevent fraud from entering the benefits system by:

- requiring appropriate verification of evidence and details provided by claimants to obtain benefit;
- carrying out risk based reviews of claims, as required;
- publicising the Councils' involvement in data matching and other counter fraud activities;
- participating and contributing to the Regional Boards for fraud;
- working with SFIS to facilitate the effective detection of Benefit Fraud;
- providing reliable and timeous data to the DWP on anti fraud activity and sanction and prosecution outcomes;
- promoting and providing means for members of the public to report cases of suspected fraud to the Councils;
- work with SFIS to facilitate delivery of anti-fraud training to Council staff, as appropriate;
- in partnership with SFIS, publicising successes in detecting fraud and delivering sanctions and prosecutions to deter others from committing similar fraudulent acts.

### **4.2 The detection of fraud**

4.2.1 The Councils will seek to detect fraud by:

- working with partners to facilitate delivery of an effective fraud investigation service to ensure that irregularities and fraudsters are identified and dealt with appropriately;
- providing caseload information to the Secretary of State for Work and Pensions for data matching, risk analysis and identification of irregularities;
- participating in anti fraud activities such as the National Fraud Initiative (NFI);

- participating in the annual Housing Benefit Review conducted by the DWP which involves a statistically valid sample of the caseload being reviewed in depth by Secretary of State appointed inspectors to evaluate the level of fraud and error in the regional and national caseload and helps the Council to plan its risk profile;
- complying with Police and Criminal Evidence Act, Regulation of Investigatory Powers Act, Social Security Acts, Data Protection Act and other relevant legislation in managing anti-fraud activity;
- provide a 'Single Point of Contact' (SPOC) for SFIS for management of fraud matters;
- provide a SPOC for secure transfer of data to/from SFIS;
- monitoring fraud referrals, investigation activity and sanction and prosecution outcomes to develop and identify high risk areas for anti fraud exercises.

### **4.3 Duties and considerations of employees and elected members**

- 4.3.1 The Councils expect officers to report details of any property that they are renting to tenants and any claims to benefit to which they have some connection. This may be a claim to benefit where an officer or member is the landlord, claimant, partner, dependant or non dependant of the claim. Any interest in a claim to benefit by officers and members must be recorded in the Register of Interests in the usual manner.
- 4.3.2 Any officer involved in the administration of benefits who has knowledge of a claim where they are a close family member of the claimant or partner (as defined in regulation 2 of the Housing Benefit General Regulations) must report this connection to the Head of Shared Revenues and Benefits. Officers involved in the administration of revenues and benefits may be required to complete a declaration periodically about these issues.
- 4.3.3 Any officer found to be involved in an offence under the Social Security Administration Act 1992 (as amended), or any other criminal offence involving claims to benefit at either of the Councils, or any other Council or Government Department, must report this to the Head of Shared Revenues and Benefits. In addition to any prosecution proceedings that result from the benefit fraud, the Councils may take disciplinary action.

### **4.4 Duties and considerations of investigation officers**

- 4.4.1 Whilst investigating benefit/support fraud, the Councils' investigation officers and authorised officers will work within the guidelines of the Police and Criminal Evidence Act 1984, Criminal Procedures and Investigation Act 1996, the

Human Rights Act 1998, the Regulation of Investigatory Powers Act 2000, the Social Security Acts and subsequent amendments, any new legislation introduced to govern this area of work and the Councils' policies on customer care.

- 4.4.2 Officers will operate within the confines of the Data Protection Act 1998 and will maintain client confidentiality.
- 4.4.3 The Councils will investigate any instances where an officer has abused their powers whilst investigating any allegation of benefit/support fraud. If the investigation reveals breaches of the law or Council policy then disciplinary action may take place.

## **4.5 Resources**

- 4.5.1 If required at any time, The Head of Paid Service will appoint at least one "Authorised Officer" under Section 110A of the Social Security Administration Act 1992 and Regulation 3 of the Council Tax Reduction Schemes (Detection of Fraud and Enforcement) (England) Regulations 2013.
- 4.5.2 The Authorised Officer may exercise any of the powers that are conferred by Section 109B and 109C of the Social Security Administration Act 1992 and Regulations 4 and 5 of the Council Tax Reduction Schemes (Detection of Fraud and Enforcement) (England) Regulations 2013. Authorised Officers exercise powers to obtain information to assist in an investigation. Obstruction of such an officer or failure to produce information is an offence and the Council may take action against any person who commits it.
- 4.5.3 The Head of Paid Service will ensure that the Authorised Officers are fit and proper persons to be authorised and will issue those persons with a certificate of appointment.

## **5. Sanctions and Prosecutions**

### **5.1 The decision making process**

- 5.1.1 A **Benefits Team Leader** will consider in each case recommended for further action when the evidence is sufficient to suggest that an alleged offender would be found guilty if the case were placed before the Court. The Team Leader will consider whether further action should be taken in those cases proven and which sanction, if any, should be applied. A record of the reasons for the decision will be made. As Housing Benefits investigation is now a function under DWP through SFIS, the evidence provided and case summaries will be the responsibility of SFIS. The **Benefits Team Leader** will provide an audit trail

of decisions made. For Council Tax Support only cases, a **Benefits Team Leader** will consider cases for either a **warning or a penalty** to be placed on their Council Tax account and follow the same process (but without SFIS) – which could include other partners, for example other local authorities assisting with this function.

5.1.2 The courses of action available to the **Benefits Team Leader** are as follows:

- Prosecution through the Courts

The offender may be prosecuted through either the Crown or Magistrates Court, dependant upon the severity of the case and if found guilty will face a maximum sentence of seven years in prison, or a fine, or both for the most serious offences;

- Administrative penalty

As an alternative to prosecution, the offender may agree to repay an extra financial penalty instead of facing prosecution. The amount of the penalty is specified by law, but varies dependent upon the period of the offence and the scheme against which the offence has been perpetrated:

- for offences against the housing and council tax benefit schemes committed in part or in whole prior to 8<sup>th</sup> May 2012, the penalty is 30% of the amount overpaid;
- for offences against the housing benefit and council tax benefit schemes committed wholly after 7<sup>th</sup> May 2012, the penalty is 50% of the amount overpaid, with a minimum penalty of £350 and a maximum penalty of £2000;
- for offences committed against the council tax support scheme, **the penalty is £70.00.**

5.1.3 The **Benefits Team Leader** can decide to take no action in respect of any case. If this occurs a record of the **Benefits Team Leader's** reasons for reaching this decision will be recorded.

5.1.4 In all cases, the claimant will be expected to repay any amount of benefit overpaid.

## **5.2 Factors to consider**

5.2.1 The **Benefits Team Leader** will take the following factors into account when deciding whether it is in the public interest to prosecute someone whom it is alleged has committed benefit fraud:

- the amount of any overpayment of Housing Benefit, Council Tax Benefit or Council Tax Support, or any successor benefit made as a consequence of the fraud;

- the amount of any overpayment of any other social security benefit, or loss to public funds, made as a consequence of the fraud;
  - the physical and mental condition of the alleged offender;
  - the number and type of offences it is alleged to have been committed and the length of time over which the offences have taken place;
  - any voluntary disclosure;
  - the level of co-operation offered by the alleged suspect during the investigation;
  - any relevant social factors such as age, health, employment, family commitments, financial issues, and any other issues that are felt to be relevant;
  - the strength of the evidence;
  - any failings in the investigation;
  - any failings in the administration of the claim that could have contributed to the alleged offence;
  - any exceptional or unusual factors specific to the case;
  - any mitigating factors brought to the attention of the Council;
  - any admission or denial of the offence by the alleged offender;
  - any refusal to accept an administrative penalty or caution;
  - any previous proven history of committing benefit fraud offences.
- 5.2.2 In deciding which sanction is appropriate, the **Benefits Team Leader** will take account of the following guidelines. These guidelines are based upon Department for Work and Pensions research and practice and local experience. Each case will be considered on its own merits and the guidelines are not binding.
- 5.2.3 If the overpayment of benefit is under £2,000, the Council will generally seek to offer an administrative penalty, unless when considering the other factors, prosecution is more appropriate. The Council will also give consideration to DWP overpayment amounts for prosecution, which SFIS will liaise and update the Councils regarding as and when these guideline-limits change.
- 5.2.4 If the overpayment of benefit is over £2,000, the Council will generally seek to prosecute the offender, unless when considering the other factors an alternative to prosecution would be more appropriate. The Council will also give consideration to DWP overpayment amounts for prosecution, which SFIS will liaise and update the Councils regarding as and when these guideline-limits change.

5.2.5 The option will remain to take prosecution action in any case if aggravating circumstances exist, including attempted fraud, irrespective of the level of overpayment involved.

### **5.3 Delivering sanctions and prosecutions**

5.3.1 Prosecutions will generally be taken by the Criminal Prosecution Service where the case has been investigated by SFIS

5.3.2 In some cases, it may be appropriate for another local authority to administer the sanction, if for example, the alleged offender has moved away and is resident in another local authority area – or the Councils are working with another local authority on investigative functions delivery.

5.3.3 The Crown Prosecution Service will require a Witness Statement in each case that is taken forward for a prosecution at court. This will be provided by a Benefits Team Leader.

### **5.4 Publicity**

5.4.1 The Councils may seek publicity about successful benefit fraud prosecutions. The aim of such publicity is to deter others from committing similar frauds and to demonstrate to taxpayers that the Councils are protecting public funds.

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**SUBJECT: PEOPLE STRATEGY**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**REPORT AUTHOR: CLAIRE BURROUGHS, HR AND WBL MANAGER**

## 1. Purpose of Report

- 1.1 To provide members with an update on the implementation of the People Strategy and action plan.

## 2. Executive Summary

- 2.1 The People Strategy and implementation action plan was developed to support the delivery of the Councils Vision 2020 and the transformational journey to a “performance culture”.

## 3. Background

- 3.1 The People Strategy sets out our priorities and describes the main programmes of work we expect to deliver.

The strategy makes it clear that any transformational change will only be achieved by engaging with our staff and developing their skills, attitudes and behaviour.

The strategy is an enabling document and provides direction which aims to reduce sickness absence, improve staff engagement and develop and re-brand the existing appraisal system to “Your Performance Matters”.

## 4. Main Body of Report

The following provides an update on achievements in relation to the three key objectives outlined within the People Strategy.

### **A fit for purpose organisation design and structure**

The appraisal documentation was rebranded in December 2016 and training sessions were rolled out in January 2017 to support the implementation of the Vision 2020 and delivery of services.

A key goal was for all staff to have a quality annual appraisal and development review between the period 1<sup>st</sup> April – 30<sup>th</sup> June 2017.

A target of 95% was set for appraisal completion rates and the average completion rate for the City of Lincoln Council was 86.02%. Although the uptake is slightly below the target set it is a notable achievement for the first year of a new scheme. The completion rates also showed a consistency of engagement across all Directorates.

A quality audit was carried out by Human Resources which consisted of a dip sample of 20% of all appraisals returned and feedback requested from service managers. This has shaped and informed the refresher training for the 2018 appraisals.

All employees were invited to complete a staff survey which was rolled out in October 2017. In total 25% of the workforce completed a survey with results communicated via City People.

An action plan is in place to further increase the uptake this year and a briefing note has been communicated in relation to actions already taken following the feedback received.

### **A loyal, motivated and competent workforce**

A Health and Wellbeing Strategy and action plan has been developed and implemented to promote healthier lifestyles, provide prevention, intervention and rehabilitation.

A “Your Health Matters” section has been developed on City People which has a variety of tools, self-assessments and podcasts to provide information and support on healthy eating, stopping smoking, physical activity and mental health. A Health and Wellbeing guide has been developed which supports a pro-active approach to employee health and wellbeing and to use a reference tool. National campaigns are highlighted through various communications. A health and wellbeing group has been formed with representation across the Council, HR and Trade Union Representatives to adopt best practice and to consider and discuss new initiatives.

The Council has successfully signed up to and awarded “Mindful Employer” status.

The Sickness Absence and Managing Stress policies have both been reviewed and updated. Training has been delivered to those with line management responsibilities in relation to the updates, the completion of stress risk assessments and an overview of the mental health first aider training.

The Council has signed up to the Global Corporate Challenge this year which is a 100 day event and beyond focussing on increased activity, improved nutrition, sleep and psychological wellbeing. Up to 198 staff can take part on a virtual journey with the aim of completing 10,000 steps each day.

A staff recognition scheme and staff awards ceremony has been approved to recognise the contribution of staff and ensure that they feel valued. The awards are based on three categories which have been launched at the Vision 2020 briefings and work has begun to commence the nomination process.

An internal “thank you” card system is in development to encourage staff to actively thank each other.

### **A culture that upholds our values and supports our aims**

Staff engagement activities are being developed and leadership development continues to support the delivery of high performing teams. This includes the

development of a coaching programme where twenty four members of staff have had the opportunity to take part in a coaching session during 2017.

A staff engagement strategy, action plan and staff charter is in development to support the culture we aspire to.

## **5. Strategic Priorities**

5.1 The People Strategy outlines the people objectives which supports all of the strategic objectives to ensure we are in the best possible position to deliver our services.

## **6. Organisational Impacts**

6.1 Finance

There were financial implications associated with the coaching intervention of £25,000.

In addition future costs to be identified in relation to leadership development.

6.2 Legal Implications including Procurement Rules

Procurement regulations will be taken into account in relation to associated interventions.

6.3 Equality, Diversity & Human Rights

All interventions/actions arising from the People Strategy will be in accordance with the Equality Act 2010.

## **7. Risk Implications**

There are no risks identified.

## **8. Recommendation**

8.1 To comment and ask questions around the actions to date in relation to the People Strategy.

**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?** None

**List of Background Papers:**

None

**Lead Officer:**

Claire Burroughs, HR and WBL Manager  
Telephone (01522) 873856

**SUBJECT: CUSTOMER EXPERIENCE STRATEGY UPDATE**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**REPORT AUTHOR: JOANNE CROOKES: CUSTOMER SERVICES MANAGER**

## **1. Purpose of Report**

- 1.1 To provide an update on the progress and successes of the Customer Experience Strategy and the underlying Action Plan including key achievements to date.

## **2. Executive Summary**

- 2.1 A new three year Customer Experience Strategy was agreed by Executive on 20 March 2017. The strategy focuses on improvements to the overall customer experience when accessing council services and reflects the council's Vision 2020.
- 2.2 The strategy reflects our core values and seeks to deliver outcomes across six key strategic areas, three of which are about the customer journey and three which are focussed on transformational change and organisational efficiencies.
- 2.3 This report will highlight what we have achieved to date as well as what we are currently delivering across the council and will summarise our forward plan to complete our programme by 2020 when the strategy will be refreshed.

## **3. Background – the six strategic areas**

- 3.1 **Accessibility:** We will provide equal and easy access to our services. This means that we will meet the needs of all our residents, businesses and service users.
- 3.2 **Value for money:** Cut waste and use resources sensibly. Enable our customers to self-serve wherever possible and where appropriate, by focussing on providing a first rate website.
- 3.3 **Efficiency:** Equip our staff with the skills and knowledge they need to provide an excellent standard of service and minimise customers' repeat or unnecessary contact. A "Right first time" philosophy.
- 3.4 **Engagement:** Listen to our customers and use their contributions to improve our service.
- 3.5 **Improved Standards:** Instil customer care principles throughout the council and work together to deliver high standards of service provision.
- 3.6 **Innovation:** Explore new ways of accessing and delivering services by approaching change as a modern and forward thinking organisation.

#### **4. Delivered Projects**

- 4.1 Projects delivered and outcomes achieved in this first year are set out in this section.
- 4.2 Our website has been reviewed and improved. We have promoted [www.lincoln.gov.uk](http://www.lincoln.gov.uk) with a comprehensive marketing and publicity campaign which has included articles in Your Lincoln and Home. There have been digital posters at bus stops across the city and we have harnessed Facebook and Twitter to raise awareness of what customers can do through our website.
- 4.3 Staff have been encouraged to 'think digital' through an internal communications campaign. We have also set up a group of digital advocates who are enthusiastic about on-line services and represent areas across all directorates. These advocates highlight issues in their service areas and inspire their team to look at self-service solutions and access.
- 4.4 To enable customers to use on-line services even if they do not have access at home, we have provided, in conjunction with our DWP partners, a suite of 20 self-service PCs. These are free to use and readily accessible in our public area.
- 4.5 In addition to this we publicise all free and publicly accessible computers across the City and the surrounding area on our website. Including those in libraries and at Lincoln College where assistance in their use is also available.
- 4.6 Some of our service users have not used computers regularly or need assistance to build their confidence. We trialled a network of digital champions to provide support at the City Hall public PCs. This worked well for the limited number of people who engaged with it but this provision has been superseded by our Universal Credit support team who provide digital assistance.
- 4.7 We have completed a review of our Welfare advice sessions to reflect the changing levels of demand across the City.
- 4.8 Customer Service Staff have benefitted from a programme of awareness sessions and training briefings to ensure that they are aware of all kinds of diversity and equality issues. They have the tools they need to deal with everyone effectively no matter what their issues are.
- 4.9 We have introduced an on-line claim form for Housing Benefit and Council Tax Reduction which has been embraced by the public and very few claims are not made in this way. This has reduced the amount of staff resource required to process a claim and has made savings in printing and postage possible.
- 4.10 On-line forms have been developed to integrate service requests from our website directly into our service delivery software. In many cases this has replaced the need for staff to duplicate information received by email and re-key it into the systems used.
- 4.11 The green waste system has facilitated the collection of £2.7 million with over 55,000 self-serve transactions. This process has been continually developed to be an exemplar self-service transaction for the authority and for the current year, 88% of applications have been completed as a self-serve transaction. This has resulted

in over a 50% reduction in calls to this queue in Customer Services.

- 4.12 We have made City Hall a cash (and cheque) free zone from July 2017. Banking cash and dealing with returned cheques was a drain on our staff resources and our finances. Direct Debit and direct bank transfers are far cheaper for us to collect than all other payment methods.
- 4.13 We have outsourced a large proportion of our outgoing mail. This has delivered financial savings and staffing efficiencies across a number of service areas. We have been able to provide the DWP with a commercial postal service using our existing staffing.
- 4.14 We have developed a call monitoring template which scores staff calls according to set criteria to evaluate the quality of the call handling. It rates their politeness, knowledge, accuracy and their follow-up actions to ensure that we are providing the best service possible.

## **5. Projects currently in Progress**

- 5.1 Current projects which are being worked on are set out in this section.
- 5.2 We are currently working on the installation of our new telephony system which will bring us enhanced functionality. Testing is currently being undertaken and we expect the system to be installed during the summer. This system will enable us to deal with emails more effectively by sending them automatically to free agents.
- 5.3 On-line forms are being rolled out across new service areas. They are currently working well in environmental services and council tax and further development, across services, will be achieved in the coming year.
- 5.4 We are working on a review of our customer service standards which will be corporate. The vision in the strategy is that the whole organisation will work together to deliver an improved customer experience. This means that from the point of first contact through to the final point of delivery all elements will be accessible and proficient. This principle will be outlined in our refreshed Customer Charter which is in the final stages of development.
- 5.5 My Info – Our self-service portal which gives Individuals access to their Council Tax and rent accounts – is currently being updated to a new version which will offer more functions. It will allow us to extend the information included to a wider range of service areas as well as being a more user-friendly and reliable platform.
- 5.6 Customer Care Training has been identified as mandatory for all staff. We had engaged an external company to deliver a one-day course but this training was expensive and many staff felt that it was too long for roles which are not predominantly front-facing. We have developed an in-house programme which is currently being rolled out. These sessions are less than two hours and are tailored to the staff involved. The feedback from the courses delivered to date has been very positive.
- 5.7. E-billing is a very efficient way of invoicing our charges. The number of residents registered for paperless billing has steadily increased from 2952 in June 2017 to 4300 in April 2018.

5.8 The continued promotion of Direct Debits will bring us considerable savings in transaction charges. Housing rents is an area where we have a number of customers paying weekly at the post office resulting in inflated transaction charges. We are currently developing paperless direct debits with the Housing admin team.

## **6. Forward Projects**

6.1 Future projects which we will tackle in the next financial year are outlined below.

6.2 We will explore new and innovative ways to measure customer satisfaction levels.

6.3 We will consider the use of live-chat following the installation of the new telephony system. We will do this if customer demand for this service exists at a level which makes the investment feasible.

6.4 Social media responses are currently handled by the Comms Team. We will develop a procedure to enable service requests to be handled quickly and efficiently within Customer Services, whilst key corporate messages and other publicity will remain in Communications.

6.5 Further development of quality call monitoring will be considered. There are a number of service areas who currently take their own calls but who do not measure or report on their performance.

6.6 We will continue to explore opportunities to share City Hall with other public sector and voluntary sector bodies who provide services to the same individuals. This improves convenience and accessibility for customers and is a potential source of income for the council.

6.7 Once more routine transactions are moved to self-service there will be an opportunity for staff development. Customer Service Agents will have the time to become 'customer advocates' and act on behalf of customers who are experiencing problems or having difficulties to resolve their issues and provide a superior level of service.

6.8 We will develop self-service web-enabled, on-line booking for areas such as Hartsholme County Park, community centres and sports pitches.

6.9 We will explore ideas and opportunities for the commercialisation of our existing services and new ones.

## **7. Strategic Priorities**

### **7.1 Let's reduce inequality**

The Customer Experience Strategy supports equal access to all services for all individuals. On-line services are available 24 hours a day & 7 days a week and can make access easier for people with mobility difficulties, impaired communication skills and people with mental health difficulties. For people who cannot access services on line we still offer an accessible telephone answering service and face to face options.



## 7.2 High performing services

The core aim of the strategy is to improve our services across all areas to meet the needs of our customers. It highlights the fact that we are all responsible for increasing customer satisfaction and seeking opportunities to deliver efficiencies.

## 8. **Organisational Impacts**

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

This wide-reaching programme of projects and mini projects will be individually costed along with estimated savings as the Programme is rolled out.

### 8.2 Legal Implications including Procurement Rules:

These will be applied to individual projects as required.

### 8.3 Equality, Diversity & Human Rights

Equality Impact Assessments are carried out on each individual project if appropriate at the project planning stage.

## 9. **Risk Implications**

9.1 This is a programme of multiple projects each will have an individual risk assessment as appropriate. There is a high level risk register for the whole programme which has been subject to audit.

## 10. **Recommendation**

10.1 Members to note the content of the report and provide questions and comments as appropriate.

**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?**

None

**List of Background Papers:**

**Lead Officer:**

Joanne Crookes  
Telephone (01522) 873407

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**POLICY SCRUTINY COMMITTEE**

**19 JUNE 2018**

<b>SUBJECT:</b>	<b>POLICY SCRUTINY WORK PROGRAMME 2018/19 AND EXECUTIVE WORK PROGRAMME UPDATE</b>
<b>REPORT BY:</b>	<b>CHIEF EXECUTIVE &amp; TOWN CLERK</b>
<b>LEAD OFFICER:</b>	<b>CLAIRE TURNER, DEMOCRATIC SERVICES OFFICER</b>

**1. Purpose of Report**

1.1 To present the Policy Scrutiny Committee Work Programme for 2018/19 and receive comments and considerations from members with items for the municipal year 2018/2019 and to advise Members of the items that are on the current edition of the Executive Work Programme.

**2. Background**

2.1 The work programme is attached at **Appendix A**.

2.2 The Constitution provides for the publication of the Executive Work Programme on a monthly basis detailing key decisions/ exempt para (Section B) items to be taken by the Executive, a committee of the Executive or a Member of the Executive during the period covered by the programme. This is attached at **Appendix B** and has been provided to assist members in identifying items for inclusion within the work programme.

**3. Recommendation**

3.1 That Members give consideration to the Policy Scrutiny Work Programme for 2018/19 and update where appropriate to include items which they wish to consider from the Executive Work Programme as required.

**List of Background Papers:** None

**Lead Officer:** Claire Turner, Democratic Services Officer  
Telephone 873619

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## Policy Scrutiny Committee Work Programme – Timetable for 2018/19

19 June 2018

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Review of Mutual Exchange Policy	Yvonne Fox	Requested at 20 <sup>th</sup> June 2017
Waste Strategy Public Consultation Survey	Steve Bird	Added by S Bird 30 <sup>th</sup> May 2018
Business Rates Growth Policy	Martin Walmsley	Added by M Walmsley 22 March 2018
Fair Trade Policy	Heather Grover	Requested at 20 <sup>th</sup> June 2017
Review of Fraud and Sanction Policy	Martin Walmsley	Added by M Walmsley 22 May 2018
People Strategy Post Implementation Review	Claire Burroughs	Requested at 17 <sup>th</sup> February 2017
Customer Experience Strategy Progress Report	Jo Crookes	Requested at 17 <sup>th</sup> February 2017
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report
Policy Scrutiny Work Programme 2018 -2019	Democratic Services	Regular Report

21 August 2018

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Review of Travellers Protocol – Deferred from agenda – 20 March 2018	Becky Scott	
Protecting Vulnerable People	Becky Scott	
Policies in the Council	Becky Scott	

Policy Scrutiny Work Programme 2018-2019 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

### 9 October 2018

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Annual Scrutiny Report	Democratic Services	Regular Report
Council Tax Support Scheme	Claire Moses	Added 15 May 2018
Supported Housing Service Review	Jay Wilkinson/ Clive Thomason	Added 25 May 2018
Review of Procurement Policies	Heather Carmichael	Requested at 10 October 2017 meeting.
Policy Scrutiny Work Programme 2018 -2019	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

### 27 November 2018

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Public Health Funeral Provision – Review	Simon Colburn	Requested at 28 November 2017 meeting
Policy Scrutiny Work Programme 2018-2019 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

### 15 January 2019

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Policy Scrutiny Work Programme 2018-2019 Update	Democratic Services	Regular Report
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

**19 March 2019**

Item(s)	Responsible Person(s)	Strategic Priority/ Comments
Draft Policy Scrutiny Work Programme 2019-2020	Democratic Services	Regular Report
County Joint Municipal Waste Management Strategy	Simon Colburn	Added by Steve Bird 5 March 2018- Now SC responsibility
Health Scrutiny Update	Chair of Policy Scrutiny	Regular Report

- Review of Houses in Multiple Occupation Article 4 Direction and Supplementary Planning Documents – For review in June 2020 (as requested at the meeting of 20 June 2017)

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## EXECUTIVE WORK PROGRAMME

**June 2018 - May 2019**

### NOTES

1. The Leader in consultation with the Chief Executive and Town Clerk prepares an Executive Work Programme to cover a period of twelve months.
2. The Executive Work Programme contains matters which the Leader has reason to believe will be the subject of a key decision during the period covered by the Plan or Executive decisions which are likely to be taken in private.
3. A Key Decision is one which is likely:
  - a) to result in the Local Authority incurring expenditure which is , or the making of savings which are, significant having regard to the Local Authority's budget for the service or function to which it relates; or
  - b) to be significant in terms of its effect on communities living or working in an area comprising 2 or more wards in the area of the local authority.
4. Whilst the majority of the Executive's business at the meetings listed in the Executive Work Programme will be open to the public and media organisations to attend, there will be some business to be considered that contains, for example, confidential, commercially sensitive or person information.

This document serves as formal notice under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that certain items in the Executive Work Programme will be considered in private because the item contains exempt information under Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) and that the public interest in withholding the information outweighs the public interest in disclosing it. If an item is to be considered in private this will indicated on the individual decision notice.

If you have any queries, please telephone 01522 873387 or email [democratic.services@lincoln.gov.uk](mailto:democratic.services@lincoln.gov.uk).

## EXECUTIVE WORK PROGRAMME SUMMARY

<b>Date of Decision</b>	<b>Decision</b>	<b>Decision: Summary</b>	<b>Decision Taken By</b>	<b>Key Decision</b>	<b>Exempt Information</b>
02 July 2018	Western Growth Corridor	To continue the development of the Western Growth Corridor, including consideration of any relevant options required to facilitate the project	Executive	No	Private
23 July 2018	New Housing Development Progress Report	To consider progress on new housing development	Executive	Yes	Private
23 July 2018	Residents Parking Scheme Zones		Executive	Yes	
23 July 2018	BUSINESS RATES GROWTH POLICY	To consider/approve a Business Rates Growth Policy for the City of Lincoln. Final decision to be taken by Executive on 26th March 2018 - to be considered by Policy Scrutiny Committee on 20th March 2018.	Executive	Yes	Public
23 July 2018	LEISURE FACILITIES DEVELOPMENT PROJECT	Agreement to submit funding application bid to Football Foundation and Sport England for two new full size artificial grass pitches and repair existing all weather pitch and running track; Agreement to submit planning applications for two full size artificial grass pitches; Agreement of financial model including borrowing.	Executive	Yes	Partly Private
23 July 2018	Review of Fraud Sanction Policy	To approve amendments made to an existing policy, and consider delegations in respect of future minor	Executive	Yes	Public

amendments.

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