East Lothian
Council

MINUTES OF THE MEETING OF
THE CABINET

TUESDAY 8 NOVEMBER 2016
COUNCIL CHAMBER, TOWN HOUSE, HADDINGTON

1

Committee Members Present:
Councillor S Akhtar
Councillor T Day
Councillor D Grant
Councillor N Hampshire
Councillor W Innes (Convener)
Councillor J McMillan
Councillor M Veitch

Other Councillors Present:
Councillor S Brown
Councillor S Currie
Councillor J Gillies
Councillor J Goodfellow
Councillor P MacKenzie
Councillor F McAllister
Councillor K McLeod
Councillor J Williamson

Council Officials Present:
Mrs A Leitch, Chief Executive
Ms M Patterson, Depute Chief Executive – Partnerships and Community Services
Mr A McCrorie, Depute Chief Executive – Resources and People Services
Mr D Small, Director, Health and Social Care Partnership
Mr J Lamond, Head of Council Resources
Mr D Proudfoot, Head of Development
Mrs M Ferguson, Service Manager – Legal and Procurement
Ms S Cormack, Service Manager – HR and Payroll
Ms J Mackay, Media Manager
Ms Z McFadzean, HR Business Partner
Dr R Gertz, Information Governance Compliance Officer

Clerk:
Ms A Smith

Apologies:
None

Declarations of Interest:
None

1.   **MINUTES FOR APPROVAL – CABINET 11 OCTOBER 2016**

The minutes of the meeting of the Cabinet of 11 October 2016 were approved.

2.   **SUMMARY OF CONTRACTS AWARDED BY EAST LOTHIAN COUNCIL, 1 – 31 OCTOBER 2016**

A report was submitted by the Depute Chief Executive (Resources and People Services) advising Members of all contracts awarded by the Council from 1 to 31 October 2016, with a value of over £150,000.

Councillor Currie queried awarding the contract for Phase 2 of Dunbar Grammar School's expansion project to Innovate, the Council's PPP provider; specifically asking about timescales, the tendering process and future delivery of facilities management and lifecycle services. Douglas Proudfoot, Head of Development, advised that regarding the procurement route selected a number of matters had been weighed up in relation to the option analysis. Regarding timescales, the pressure of delivery was an important factor as was risk transfer. In relation to the future delivery of Facilities Management and LifeCycle Services no decision had been taken in this regard, a further benchmarking exercise would be undertaken before going forward. He stated that this was an operational issue, in line with existing budget provision and legal and procurement advice. The benchmarking exercise would be brought to Council; he clarified that the report brought to Council would be for a decision.

Decision

The Cabinet agreed to note the award of contracts with a value of over £150,000, as listed in Appendix 1 to the report.

3.   **FREEDOM OF INFORMATION (SCOTLAND) ACT 2002 AND DATA PROTECTION ACT 1998 – COMPLIANCE STATISTICS**

A report was submitted by the Depute Chief Executive (Resources and People Services) advising of the Council's compliance with the 20 working day timescale laid down by the Freedom of Information (Scotland) Act 2002 (FoI), and the 40 calendar day timescale laid down by the Data Protection Act 1998 for the period 1 April 2016 to 30 September 2016.

The Head of Council Resources, Jim Lamond presented the report, stating that with respect to FoI, including those requests made under Environmental Information (Scotland) Regulations (EIR), the number of requests made upon the Council remained buoyant (603) albeit this reflected a marginal reduction from the previous 6 months. Headline compliance stood at 83% for FoI and 81% for EIR requests that had been serviced on time which represented a slight reduction in performance. With regard to Data Protection requests made, again reflecting a decrease on the previous period, 85% had been serviced on time.

Councillor McLeod queried the nature of suspended requests. Renate Gertz, Information Governance Compliance Officer, advised that this was mainly linked to the implementation of charges but also referred to those where the enquirer had been asked for clarification and had not responded within the timescale.

Councillor Currie questioned the time lag from the request being met to updating the website. Mr Lamond stated that it was not a requirement for the Council to publish this information on the website, it was discretionary. Dr Gertz added that answering enquiries took priority to uploading information onto the website however additional resources were being considered. Mr Lamond gave an obligation to improve turnaround timescales.

Responding to Councillor Hampshire's query about financial resources, Mr Lamond advised that a distinction was drawn. In relation to this report, which was for noting, the financial resource implication was zero as stipulated, however there was a significant resource issue in relation to servicing FoI requests, he gave some details of costs per case.

Councillor McMillan, referring to the top 3 categories of enquirer, queried other categories and asked how it could be established if a person was from the general public and not a journalist for example. Mr Lamond advised that there was no obligation on an enquirer to disclose their status; these categories had been included in the report purely for the benefit of Members. Dr Gertz added that the FoI team could only go by the information provided by the enquirer.

Councillor Goodfellow also expressed concern about resources and asked if a report on costs involved could be brought forward. Mr Lamond indicated he would be happy to bring this forward if requested; adding that these activity reports were provided on a 6 monthly basis but when reporting the full financial year the cost information would be built in.

Councillor Currie commented on the volume of work being done under pressurised timescales along with the ever increasing workload. He also felt that receiving more information on the status of enquirers would be helpful.

The Convener stated it was important that the public had access to information about FoI enquiries/responses and having this available on the Council's website was beneficial.

Decision

The Cabinet agreed to note the report.

4.   **DRAFT REVISED MANAGING ATTENDANCE POLICY**

A report was submitted by the Depute Chief Executive (Resources and People Services) seeking approval from Cabinet on amendments to the Managing Attendance Policy following consultation with the Joint Trades Unions and employees.

Mr Lamond presented the report. He informed Members that the consultation process had been comprehensive and inclusive with high levels of engagement. A number of key changes had been included within the initial consultative draft with further modifications made specifically as a result of feedback received during the formal consultation phase; the most significant being increasing the cumulative day trigger and the provision of an increased phased return to work period. Further meetings had taken place with the Joint Trade Unions to improve final drafting of the policy and in an effort to secure their full support; he drew attention to the statement from UNISON and the EIS. He paid particular credit to Zoe McFadzean and Louise Lissaman for their work in drafting this policy.

Responding to questions from Councillor Currie about the position of the Trades Unions, Mr Lamond stated that bringing forward a policy that had their full support had been the intention however there was no requirement for this and it was not a collective agreement. He added that engagement by the Trades Unions in the consultation process had been welcomed and amendments to the policy had been made in response to their comments.

Councillor Akhtar queried the level of engagement from the Trades Unions to the last policy, Mr Lamond advised that they had not engaged at all previously so the previous policy had come forward to Cabinet without a contribution from the Trades Unions.

In response to questions from Councillor McMillan, Mr Lamond advised that it was normal practice to issue formal, supporting management guidance, framed on the policy; extensive work was underway regarding this guidance. He stated that from dialogue with the Trades Unions their greatest concern was fair and consistent application of the policy. Managers would need to be equipped with an understanding of the policy and, in addition, support from HR officers was crucial; a lot of training and support work would be undertaken before the policy was implemented and he was hopeful the Trades Unions would play a part in this.

Councillor Currie, referring to the long consultation process, expressed concern that after going through this lengthy process that the Trades Unions had not been able to agree to the revisions. He made reference to the statement from the Trades Unions.

Councillor Akhtar remarked that addressing the health and wellbeing of staff was important; the revisions to the policy would provide more opportunities to support staff. As Mr Lamond had said no local authority had a collective agreement regarding this; there had however been better and more effective engagement from the Trades Unions this time. She suggested that a review of the policy should be carried out after one year.

Councillor Veitch highlighted the context underlying this revision work; the financial cost to the organisation due to staff absence. It was important to have a policy in place that worked. The Trades Unions involvement at all stages of the consultation was welcomed, it was disappointing that they had not felt able to support the revised policy.

Councillor Grant supported Councillor Akhtar's suggestion for a review after one year.

The Convener thanked all staff involved in the revision of this policy. A comprehensive review had been required; this revised version would provide better support mechanisms for staff. He noted that the Trades Unions had participated in the consultation process. Consistent application of the policy was essential and he was heartened by Mr Lamond's comments about provision of guidance and training. He also supported a review in a year.

Decision

The Cabinet agreed:

i.   to approve the revised Managing Attendance Policy with effect from 1 January 2017, allowing time for communication of the revised Policy and initial training to take place; and

ii.   to review the Managing Attendance Policy after one full operational year.

Signed   ....

            Councillor Willie Innes
            Council Leader and Convener of the Cabinet

East Lothian Council

REPORT TO: Cabinet

MEETING DATE: 20 December 2016

BY: Depute Chief Executive - Resources and People Services

2

SUBJECT: Summary of Contracts Awarded by East Lothian Council, 1–30 November 2016

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1   PURPOSE

1.1   To advise Members of all contracts awarded by the Council from 1 to 30 November 2016 with a value of over £150,000.

2   RECOMMENDATIONS

2.1   To note the award of contracts with a value of over £150,000 from 1 to 30 November 2016, as listed in Appendix 1 to this report.

3   BACKGROUND

3.1   Details of all contracts awarded by the Council are lodged in the Members' Library Service. Appendix 1 to this report contains details of all contracts with a value of £150,000 and above which have been awarded since the last meeting of the Cabinet.

3.2   Members are asked to note that reports relating to contracts can be accessed via the following link to the Members' Library Service on the Council's eGov system:

http://www.eastlothian.gov.uk/site/scripts/meetings_committees.php?headerID=102

4   POLICY IMPLICATIONS

4.1   None

5 INTEGRATED IMPACT ASSESSMENT

5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

6.1 Financial - None.

6.2 Personnel - None

6.3 Other - None

7 BACKGROUND PAPERS

7.1 None

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DATE	30 November 2016

East Lothian
Council

**SUMMARY OF CONTRACTS AWARDED WITH A VALUE OF £150,000 AND ABOVE
FOR THE PERIOD 1 TO 30 NOVEMBER 2016**

Originator	Report Title/Project Summary	Contract Awarded To	Contract Value	Members' Library Reference
Depute Chief Executive (Partnerships and Community Services)	Proposed Social Work Adaptations to 22 Council Houses at Various Addresses, East Lothian	Messrs Gordon Guthrie Contracts Ltd, Edinburgh	£187,278.00	222/16 (Nov 16 Bulletin)

30 November 2016

East Lothian
Council

REPORT TO: Cabinet

MEETING DATE: 20 December 2016

BY: Depute Chief Executive (Resources & People Services)

SUBJECT: Financial Review 2016-17 Quarter 2

3

1 PURPOSE

1.1 To record the financial position at the end of the 2nd quarter (period to 30 September) of the financial year 2016-17.

2 RECOMMENDATIONS

2.1 Members are recommended to;

- Note the financial performance of services at the end of September 2016.

- Agree that Council officials be asked to continue to maintain tight financial control over their budgets with a view to preserving budget underspends between now and the end of the financial year, and that these will either be used to offset any areas of overspending and/or support future year's budgets.

- Agree to support a £1m non-recurring budget virement from Corporate Management budgets to support Adult Wellbeing pressures and the delivery of a recurring programme of efficiencies.

3 BACKGROUND

Budget Summary

3.1 At its meeting of 9 February 2016, the Council approved a budget for the 2016-17 year and an outline budget for two subsequent years.

3.2 The 2016-17 General Services budget can be summarised as follows;

- Assumed levels of Scottish Government general revenue grant of £169.058 million.

- Planned general services revenue expenditure of £205.038 million.

- The utilisation of £3.000 million of General Reserves.

- The requirement to deliver £5.6 million of recurring efficiencies across Business Groups.

General Services Summary for Quarter Two – 2016-17

3.3 At the end of September, the Service position across all Council departments (across General Services and HRA) reflects an underspend against budget of £0.7 million (0.7%). A summary of the financial position across each of the Business Groups at the end of September 2016 is detailed at **Appendix 1.** Within this, an overall financial risk assessment has been assigned to each of the service areas based on a review of current expenditure and known financial pressures, as set out in **Appendix 2**. Two service areas; Adult Wellbeing and Children's Wellbeing continue to be categorised as High Risk and therefore it remains highly likely that these services will not operate within approved budgets. One further service area, Landscape and Countryside, continues to be categorised as Medium Risk largely due to the income targets in relation to Coastal Car Parking Income but the Property Maintenance service has been reclassified to Low risk having previously been assessed as Medium risk at Q1. These High and Medium service risk areas will continue to be closely monitoring during the remainder of the financial year.

3.4 Within the report we also provide an assessment of the progress in implementing planned efficiency measures/savings/increased income. Based upon our judgement and knowledge, each Business Group has been assigned a category reflecting our assessment of progress being made against the planned 2016-17 efficiency savings. The categories are set out below. In summary most of the Business Groups are currently on target to achieve their required level of efficiencies in year. However, one service area (Adult Wellbeing) has currently been categorised as 'Red' indicating that there is a high likelihood that budgeted efficiencies will not be realised during the year, with a further categorised as Amber (Landscape & Countryside), largely in relation to the low income generation relative to budget in relation to Coastal Car Parking .

- Red – Less than 50% of budgeted efficiency savings are likely to be achieved by end of the year;

- Amber – Between 50%-100% of budgeted efficiency savings are likely to be achieved by the end of the year;

- Green – 100% of budgeted efficiency savings are likely to be achieved by the end of the year.

3.5 At the end of September there has been an increase in the overall council underspend position from that previously reported at Q1, now standing at £1.324 million. A summary of the main movements across each of the main service directorates are set out in more detail within the paragraphs below but in broad terms the most significant cost variances relate to staff savings spread across a range of services of nearly £1.8 million coupled with lower than expected expenditure on the Council Tax Reduction Scheme. These favourable variances are partly offset by significant overspending on service non-staffing budgets.

3.6 At the end of September 2016, **Resources and People Services** were reporting an overall underspend of £886k (1.8%). The Education Group covering; Pre-school, ASL, Primary, Secondary and School Support budgets is reporting an underspend against budget of £693k with more details set out below:

- The Pre-school Education budget is reporting an underspend against planned budget of £53k most of which is caused by staffing underspends and delays in recruitment. There remains some pressure going forward relating to the costs associated with supporting an increasing number of vulnerable 2's. Despite these pressures, it is likely that an underspend position will remain at the end of the financial year, the extent of which may be influenced by any slippage on the further roll out of plans relating to the wider delivery of choice relating to additional nursery hours provision..

- The Primary and Secondary Group budgets include both internal management or 'client' budgets as well as individual Devolved School Management budgets. In relation to Primary schools, there is pressure within the Primary 'client' budget relating to the on-going review of Janitorial Services as well as higher than anticipated non domestic rate charges for Primary schools. Notwithstanding this, collectively the Primary Schools are reporting an underspend of £243k, and whilst some schools are expected to deliver a small overspend in year, it is anticipated that this will be met from within previous year carry forward levels.

- With respect to Secondary schools group an underspend of £290k is recorded at the end of September. Within this, the schools are reporting an underspend of £109k with two of the six Secondary schools reporting a deficit position. We will continue to work with Education Management to identify ways to bring the year end projections within budget. In addition, the PPP budget is reporting an underspend position of £154k, in part caused by vacancies within the team alongside lower than anticipated insurance premium. Current projections indicate that the PPP underspend will remain at a similar level at the end of the financial year.

- Across Council Resources, all but one service area are reporting underspends accumulating to £194k. Most of this underspend is caused by a combination of vacancy management as well as increased legal and licensing income. It is anticipated that the Revenues and Benefits service area which is currently reporting a small overspend of £17k will deliver within budget within this financial year.

3.7 Despite broadly working to budget during the first 3 months of the financial year, the second quarter of 2016-17 has seen a significant increase in the reported overspend across the **Health & Adult Care Partnership** budgets rising from £45k in Q1 to £1.088 million as at end of September 2016. Given the challenging efficiency targets built into 2016-17 budgets and recurring pressures on Children's and Adult's areas, both service areas were categorised as High Risk. In response to the worsening position experienced during the second quarter, the Directorate have been asked to implement cost recovery plans with enhanced financial controls and additional monitoring checks now in place.

- With respect to Children's Services, the service area is reporting an overspend as at 30 September of £80k. Despite this, the service is currently managing multiple pressures and there is growing risk of overspend during the year. The main pressure areas continue to relate to; the number of children placed in secure accommodation; the number of children in external residential placements, decisions which are shared with Education; external fostering placements and recurring high cost Learning Disability packages of care. There is also concern regarding the adequacy of the additional funding provided in relation to new responsibilities within Kincare which was introduced in October 2016. Some of these pressures have in part been offset by a combination of staffing underspends of (£150k), increased income levels relating to Fostering and Adoption (£79k) and an underspend in foster care grants largely caused by difficulties in attracting foster carers within East Lothian.

- With respect to Adult Wellbeing, the service is reporting an overspend at the end of September of just over £1.0 million. This includes an overspend in relation to MELDAP of £104k, the cost of which will be met from earmarked reserves. As such the adjusted overspend position is around £905k. More details on the current overspend position and indeed wider pressures are set out below.

- The most significant contributory factor to the overall service overspend is the non delivery of the planned efficiency programme with unmet savings to date of £764k. There is a significant liklihood that a large proportion of the programme will not be realised in 2016-17 but efforts are still being made to

secure these on a recurring basis in future years. In addition, the position at end of September is influenced by a combination of relatively minor variances including: £101k underspend on various operating costs; an underspend of £132k on staffing budgets; £220k overspend on Residential Homes largely caused by the removal of non-recurrent funding provided in 2015-16 to support the National Care Home contract; £109k overspend on ELC care homes, most of which is caused by increased staff costs. Pressures remain on the cost of purchasing care at home packages both in terms of demand and complexity of care packages as a result of people living longer.

- In 2016-17 the Adult Wellbeing budget, alongside NHS funding, has been devolved to the East Lothian Integrated Joint Board (IJB), who in turn formally direct the Council and NHS Lothian to deliver a Strategic Plan that will secure a range of desirable outcomes including delivery of a number of Social Care Fund (SCF) commitments. Within the £4.370 million SCF, half was initially earmarked to support a range of existing social care pressures faced by all Local Authorities, including the delivery of Scottish Government pledge to pay the Living Wage for all care workers from October 2016. The remainder of the SCF would then be available to expand capacity to accommodate growth in demand for services. However, the cost of delivering the Living Wage has been significantly higher than had been estimated (circa £1million), and as a consequence, the IJB recently resolved and subsequently directed that this additional cost should be met from the Social Care Fund. Considered alongside the non-delivery of the planned efficiency programme, the service is likely to spend significantly in excess of approved budgets including the SCF. Furthermore, the IJB has also requested that the Council carry the actual risk of overspending rather than seek remedial/recovery action as set out within the Scheme of Integration. We are continuing to work closely with the Health & Social Care Management Team to monitor the impact of these various financial commitments and controls and to secure the delivery of recurring efficiencies, and it is recommended that a £1million non-recurring budget virement is applied in 2016-17 from flexibility within Corporate Management budget areas taking into consideration current balances and further areas of flexibility within wider Corporate income budgets. The recurring nature of the Social Care Fund commitments and the fund itself are currently being explored through the 2017-20 budget discussions.

3.8 The **Partnerships & Services for Communities** budgets are reporting an underspend against budget of just over £1.5 million, excluding the Housing Revenue Account. More details of service areas are set out below.

- Around £1.18 million of this relates to staffing underspends on areas such as; Planning & Environmental Health; Asset Capital

Planning & Engineering group; Landscape and Countryside Management (although a large proportion of this relates to previous posts within Amenity services all of which have now been filled), Roads, Transportation and Waste and also Property Maintenance.

- The Community Housing (Non HRA) budget is reporting an underspend of £72k, largely due to continued slow uptake in relation to Private Sector Housing Grants. Despite this, there remains some pressure on the costs of supporting Homeless individuals which has seen an increase in costs associated with B&B and private sector leasing requirements.

- The Community and Area Partnership services are currently reporting an underspend of £49k largely due to staff vacancies. We are working with Area Managers to ensure the deliverability of established plans within each of the four partnership areas.

- Planning and Environmental Health service is reporting an underspend of £287k. Around half of this relates to staffing with a further £129k relates to higher than budgeted planning income.

- Asset Capital Planning & Engineering services is reporting an underspend of £80k. Around £107k relates to staffing underspends and also higher than anticipated rental income from investment properties of £46k. These underspends are in part offset by lower than anticipated building warrant income of £94k.

- Economic Development service is reporting an underspend of £171k as at September 2016. Similar to most service areas within the Partnership & Communities Group, the current underspend reflects an element of staff savings amounting to £52k. The remainder is in part due to increased income generated through a combination of non-recurrent grant funding alongside increased income in relation to Adult Education classes.

- Facilities management includes both the Facilities Trading Account and also the wider Facilities services. The Trading Account remains on track to deliver the budgeted level of surplus in part achieved through higher than anticipated income relating to primary school meals. In relation to Facilities Services, most of the current overspend of £28k relates to higher than budgeted rates and energy costs relating to Shared Accommodation buildings, and we are working with the service to ensure that costs can be contained within available resources.

- Landscape & Countryside Service area is reporting an overspend position of £147k. Most of this is in relation to lower than budgeted income in relation to Coastal Car Parking. As highlighted in the previous Q1 report, this has been adversely affected by the delay in approval and implementation of parking

decriminalisation. The service has been highlighted as a 'Medium' risk of overspending in the current year and we will continue to work with the service closely monitoring the income levels generated.

- The Roads, Transportation and Waste services area is currently reporting and underspend against budget of £221k. Most of this is in relation to a combination of increased transportation costs, offset by significant underspend on Waste services largely due to reduced costs associated with waste going to landfill sites as more waste is recycled.

3.9 In addition to the service areas highlighted below, as at 30 September the **Corporate Income** budgets are reporting an underspend against planned budget of £630k. Gross Council Tax levied continues to be slightly lower than anticipated, largely due to less than expected property completions. There has been a significant reduction on the Council Tax Reduction Scheme commitments. Amongst other factors, this has been adversely affected by the DWP's implementation of the Universal Credit Full Digital Service that would appear to have had a significant impact resulting in lower and slower uptake of CTR. Management are currently exploring this in greater depth and measures have been implemented both to rasie public awareness and promote greater uptake ensuring that. those who are eligible continue to apply. Nevertheless it remains likely that this area will deliver a significant underspend in 2016-17.

3.10 We continue to review management of the Loans Fund and the related debt charges associated with serving council debt, and given the cost of borrowing remains lower than had been forecast at the time of budget setting, this is likely to generate some non-recurring savings during 2016-17.

3.11 With regard to the level of Scottish Government Grant received, we reflect within our planned budgets a number of assumptions around future funding streams which have yet to be confirmed within the Revenue Support grant projections. Actual details will not be confirmed until the Local Government settlement announcement on 15 December, and this may have either a positive or negative impact on the current RSG assumption. A further update will be provided during the budget process and within the Q3 report to Cabinet.

3.12 With regard to the overall Council position, despite reporting an underspend position across a number of service areas there is evidence of significant overspending in non-staffing budgets and in particular within the Health & Social Care Directorate. As we approach the winter period, there is a continuing risk that severe weather could place a significant strain upon both road/flood management measures and related budgets.

3.13 For a number of years, the Council's Financial Strategy has promoted the values of both cost constraint and cost avoidance and this approach to management of the Council's expenditure commitments has delivered positive results for the Council during a period of financial austerity. There

remains uncertainty as to the future level of funding which will be available to the Council and a high risk that the Council will face significant reductions in Government Grant, a grant that accounts for nearly 80% of our entire income stream.

3.14   Taking into account both the current underspend position and what may lie ahead, it is strongly recommended that the Council continues to follow the path set out in the Financial Strategy and that all Council Managers and Officers be urged to preserve and protect budget underspends to date. This will help put the Council in the strongest possible financial position enabling it to use any monies saved to help support future budgets.

Housing Revenue Account Summary for Quarter Two – 2016/17

Revenue

3.15   As at the end of September 2016, the **Housing Revenue Account** reported an underspend of £22k against budget.

- Staff vacancies savings account for an underspend of £92k, with the service still to finalise an ongoing service review.

- There continues to be lower than budgeted operating costs, with further underspend on recharges from other Council service areas and payments to individuals relating to decoration allowances largely due to low turnover of Council Houses.

- The main pressure area on the revenue budget continues to be in relation to responsive repairs and maintenance, which as at September 2016 is reporting an overspend against budget of £462k. This in part is influenced by the timing and phasing of repair work. Managers are actively reviewing this position focussing on essential and Charter-related repairs to ensure that the budget remains within available operational resources, and we will continue to monitor this position closely.

Capital

3.16   Details of the Housing Revenue Account capital budgets and expenditure as at 30 September 2016 are included at **Appendix 3.** The total capital budget approved for the HRA was £22.509 million with actual spend to the end of September 2016 was £8.744 million (39%) with most HRA capital budgets progressing within budget.

3.17   The modernisation programme has expenditure to date of £4.101 million or 39% of the planned programme. Many of the contracts are well under way and it is expected that the Modernisation Programme will deliver at budgeted levels by the end of this financial year.

3.18   The Affordable Housing Programme has expenditure to date of £4.64 million (43%). This year's programme continues to focus on a number of key strategic sites including: Hallhill Phase 2 and 3; Pinkie Phase 2 and

also Mains Farm North Berwick. Despite the Q2 spend levels, it is currently estimated that the programme will deliver an overspend against planned budget by around £1 million. In part this can be accommodated by additional Housing Grant subsidy secured from Scottish Government of around £940k. We will continue to work closely with wider RSL partners to ensure delivery of the wider affordable housing programme across East Lothian, and where at all possible, maximise the potential subsidy for the County.

3.19 As at 30 September, two Mortgage to Rent applications had been received and are being processed. It is expected that at least three applications will be progressed during 2016-17, but it remains unlikely that the full budget allocation will be spent within this financial year.

3.20 The Housing Capital Programme will continue to be directed by HRA Programme Board which meets on a regular basis to oversee the operational deliver and strategic direction of the programme.

General Services Capital Budgets

3.21 The Gross Capital expenditure to the end of September was £7.764 million against the approved annual capital budget of £24.487 million (32%) excluding year end fee adjustment.

3.22 There has been a virement of £284k budget from the early years budget provision funding to the Red School project. This increases the budget provision for this project from £290k to £574k. Our current estimates suggest that by March 2017 there is likely to be an under spend of £4.6 million; with the majority of this under spend arising from slippage with costs carried into future years. A significant number of projects have been delayed due to additional work being carried out prior to project commencement to ensure that individual projects are aligned with the overall asset / service strategy.

3.23 The table below details the main projects where delays/slippage has been identified.

Project	Slippage £'000	Narrative
Port Seton Sports hall	250	Extended consultation over Brief along with a savings exercise on the Cost Plan and some complex design issues around the interface of the new extension and existing building have resulted in delays to the design programme. Planning submission will be submitted before the end of 2016 with construction anticipated to be completed within 2017-18 Financial year.

Whitecraig Community Centre	290	Extended Brief consultation with the Bowling Club has resulted in delays to the design programme. Planning submission has been made with an anticipated tender period in February/March and approval to appoint a contractor in April 2017
Red School Prestonpans	374	Change of Brief from Communities Provision to Early Years resulted in delays to the design programme. Tender period will be over December / January 2017 with an anticipated appointment of contractor in March 2017
Support for Business – Land acquisition	200	No land identified to date
Town Centre Regeneration	351	Town centre strategy is being developed and budget will be re-profiled accordingly
Dunbar Grammar	246	Works ongoing. budget to be re-profiled
Cemeteries	887	No land identified to date
East Saltoun School/Community Hall	400	Requirement brief being reviewed in conjunction with overall School estates strategy
Parking Improvements	842	Three major projects in North Berwick were identified. However due to ongoing planning issues these projects have been delayed. Projects now expected to be complete in 2017-18. Additional project in Tranent at feasibility and pre-planning stages. Spend anticipated 2017-18.

4   POLICY IMPLICATIONS

4.1   There are no direct policy implications associated with this report although on-going monitoring and reporting of the Council's financial performance is a key part of the approved Financial Strategy.

5   INTEGRATED IMPACT ASSESSMENT

5.1   The subject of this report has been considered and given there is no change in policy direction, there is no requirement to undertake any further impact assessment.

6 RESOURCE IMPLICATIONS

6.1 Financial – as described above

6.2 Personnel - none

6.3 Other – none

7 BACKGROUND PAPERS

7.1 Council 9 February 2016 – Item 1 – Council Financial Strategy 2016-19

7.2 Council 9 February 2016 – Item 5a – Budget Proposals – Administration

7.2.1 Cabinet 13 September 2016 – Item 3 – Financial Review 2016/17 Quarter 1

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DATE	8 December 2016

REVENUE BUDGET PERFORMANCE at 30 SEPTEMBER 2016

	Budget for the year	Actual for the period	Budget for the period	(Surplus) / Deficit for period	(Surplus) / Deficit	Financial Risk Assessment	Progress with efficiency savings
Resources & People Services							
Pre-school Education & Childcare	6,418	5,317	5,370	-53	-1.0%	Low	
Additional Support for Learning	8,016	5,285	5,283	2	0.0%	Low	
Schools - Primary	34,014	15,089	15,307	-218	-1.4%	Low	
Schools - Secondary	37,432	17,538	17,828	-290	-1.6%	Low	
Schools Support Services	2,769	1,124	1,258	-134	-10.7%	Low	
Financial Services	1,438	70	176	-106	0.0%	Low	
Revenues & Benefits	1,584	587	570	17	3.0%	Low	
Human Resources & Payroll	1,282	641	684	-43	0.0%	Low	
IT Services	1,755	907	912	-5	0.0%	Low	
Legal & Procurement	625	277	292	-15	0.0%	Low	
Licensing, Admin and Democratic Services	2,017	961	1,002	-41	-4.1%	Low	
	97,350	**47,796**	**48,682**	**-886**	**-1.8%**		
Health & Social Care Partnership							
Children's Wellbeing	12,979	6,544	6,464	80	1.2%	High	
Adult Wellbeing	47,856	23,117	22,109	1,008	4.6%	High	
	60,835	**29,661**	**28,573**	**1,088**	**3.8%**		
Partnerships & Services for Communities							
Community Housing	1,641	825	897	-72	-8.0%	Low	
Housing Revenue Account (HRA)	0	-6,891	-6,869	-22	0.0%	Low	
Customer Services	3,188	2,030	2,072	-42	-2.0%	Low	
Commuity & Area Partnerships	7,374	2,939	2,988	-49	-1.6%	Low	
Arts	671	174	161	13	8.1%	Low	
Corporate Policy & Improvement	1,320	618	702	-84	-12.0%	Low	
Planning & Environmental Services	2,528	2,118	2,405	-287	-11.9%	Low	

Asset Planning & Engineering	2,291	2,041	2,121	-80	-3.8%	Low
Economic Development & Strategic Development	3,179	1,417	1,588	-171	-10.8%	Low
Facility Trading	-97	-1,933	-1,844	-89	4.8%	Low
Facility Services	3,518	2,455	2,427	28	1.2%	Low
Landscape & Countryside Management	4,773	2,749	2,602	147	5.6%	Medium
Healthy Living	3,872	1,742	1,732	10	0.6%	Low
Property Maintenance	-663	-156	-178	22	-12.4%	Low
Roads, Transportation & Waste Services	13,258	4,797	5,018	-221	-4.4%	Low
	46,853	**14,925**	**15,822**	**-897**	**-5.7%**	
Total of all departments	**205,038**	**92,382**	**93,077**	**-695**	**-0.7%**	
Corporate Management						
Revenue Support Grant (inc. NNDR)	-169,058	-73,841	-73,841	0	0.0%	Low
Council Tax	-49,039	-49,370	-49,608	238	-0.5%	Low
Social Care Fund	-4,370	-2,185	-2,185	0	0.0%	Low
Debt Charges/Asset Management / Other	21,255	9,489	10,356	-867	-8.4%	Low
Joint Board Requisitions	669	334	334	0	0.0%	Low
HRA Transfer	-1,495	0	0	0	0.0%	Low
Transfer to Reserves	-3,000	0	0	0	0.0%	Low
	-205,038	**-115,573**	**-114,944**	**-629**	**-0.5%**	
Total All Council	**0**	**-23,191**	**-21,867**	**-1,324**	**-6.1%**	

Financial Risk	Factors	Implications
High	- The Business Group has been assessed as likely to overspend in the financial year - There has been a history of overspending within Units / Groups - There are new or revised funding arrangement and / or legislature changes with financial significance - Trading Accounts are in deficit for the year. -Grant schemes, on which the Council is reliant are either unconfirmed or have not been confirmed -The service is demand led and the Council has restricted control over the level and form of service - New Services are planned	-Cabinet & Members Library reports with financial implications are not passed under delegated powers -Directors / Heads of Service will be asked to prepare a financial recovery plan -The Head of Council Resources may take enforcement action to ensure budgetary control
Medium	- There is significant potential that Business Group could overspend in the financial year - There have been previous incidences of some overspending within Units / Groups - There are new or revised funding arrangement and / or legislature changes with financial significance - Trading Accounts are having difficulty meeting financial targets -Grant schemes, on which the Council is reliant are either unconfirmed or have not been confirmed	-Members library reports are only passed when financial implications are addressed -Directors / Heads of Service will be asked to identify actions necessary to ensure expenditure is within budget by the year-end.
Low	-Finances are generally under control for the current financial year -Stable legislature, trading and funding environment -The service is supply led - i.e. the Council can decide the level and form of service -Finances in previous financial years have been controlled -Grant schemes are stable and not anticipated to change	-Members library reports are approved promptly under delegated powers

HOUSING CAPITAL SPEND & FINANCING AS AT 30 SEPTEMBER 2016

	Budgeted (£000s)	Actual (£000s)	Over/(Under) (£000s)
Mortgage to Rent	695		(695)
Modernisation Spend (also see below)	10,933	4,101	(6,832)
Gross Affordable Homes spend	10,881	4,643	(6,238)
Gross Total Housing Capital Spend	22,509	8,744	(13,765)
Modernisation Programme - Detailed			
Disabled Adaptations	600	133	(467)
Central Heating	2,100	818	(1,282)
Electrical Re-wiring	1,180	636	(544)
Structural surveys	60	20	(40)
Fencing Programme	100	109	9
Energy Efficiency	350	-51	(401)
Kitchen Replacement Prog.	1,600	621	(979)
Project Works	350	222	(128)
Roofing / Roughcasting / external fabric	400	239	(161)
Stair Improvement Programme	50	5	(45)
Sheltered Housing	100	1	(99)
Roads / Walkway pre-adoption works	100	62	(38)
Dispersed Alarms		2	2
Local Initiatives:Projects	200	10	(190)
Window & Door Replacement Prog.	100	73	(27)
Bathroom Replacement	2,020	919	(1,101)
Extensions	250	57	(193)
Lead Water Pipes		7	7
Asbestos Works	500	147	(353)
IT Projects		21	21
Open Market Acquisition Remedial Works	200	50	(150)
Internal Fees	673		Allocated across the Projects
TOTAL	10,933	4,101	(6,832)

GENERAL SERVICES CAPITAL SPEND AS AT 30 SEPTEMBER 2016

Name of Project	Budget 2016/17 £000	Estimated c/f (subject to year end audit) £000	Budgeted Spend (incl c/f) 2016/17 £000	Actual 30 September 2016 £000	Over/(Under) (£000s) £000
Crookston Care Home	-	80	80	130	**50**
Haddington Town House - Steeple Work	-	13	13	37	**24**
Torness Strategic Coordination Centre	100	(85)	15	48	**33**
Property Renewals	900	-	900	216	**(684)**
Port Seton Sports Hall	300	-	300		
Whitecraig Community Centre	440	-	440		
Community Intervention	200	-	200		**(200)**
Red School Prestonpans	-	290	290		**(290)**
Support for Business - Land Acquisition/Infrastructure/Broadband	200	-	200		**(200)**
Support for Business - Mid Road Industrial Estate	20	2	22	6	**(16)**
Town Centre Re-Generation/Growing our Economy	481	-	481		**(481)**
Acquisition of St. Josephs	-	-	-		**-**
Dunbar - Lochend Campus/Additional Classrooms	156	414	570	509	**(61)**
Sandersons Wynd PS - additional Classrooms	-	6	6		**(6)**
Dunbar Grammar	1,126	-	1,126	178	**(948)**
Secondary School Communication Provision	18	60	78	358	**280**
Letham Primary (temp prov'n Knox Academy)	131	-	131		**(131)**
Letham Primary	100	-	100		**(100)**
Pinkie St Peter's PS Extension	18	196	214	197	**(17)**
Law Primary School	3,988	(143)	3,845	305	**(3,540)**
Windygoul PS - Permanent Additional Classrooms	847	(495)	352		**(352)**
Wallyford PS - Temp Units		30	30		**(30)**
Wallyford PS	450	50	500		**(500)**
Replacement Vehicles	1,850	-	1,850	828	**(1,022)**

Synthetic pitches	75	23	98	2	(96)
Pavilions	210	382	592		(592)
Sports Centres - refurbishment & equipment	200	-	200	6	(194)
IT Program (corporate and schools)	1,375	-	1,375	759	(616)
Core Path Plan Implementation	50	-	50	191	**141**
Polson Park restoration	-	-	-		-
Polson Park restoration	40	-	40		(40)
Cemeteries - Extensions/Allotments	20	867	887		(887)
Coastal Car Parks/Toilets	150	-	150		(150)
Peppercraig Depot Haddington	-	-	-		-
Coastal Protection/Flood	100	97	197		(197)
Promenade Improvements - Fisherrow	-	23	23		(23)
Pencaitland Footpaths	-	60	60		(60)
Cycling Walking Safer Streets	112	-	112		(112)
East Linton Rail Stop/Infrastructure	-	25	25		(25)
Roads	5,400	-	5,400	3,348	(2,052)
Parking Improvements / North Berwick phase 1	300	542	842		(842)
Purchase of New Bins/Food Waste Collection	90	51	141	73	(68)
Early years provision	-	1,000	1,000	377	(623)
Construction Academy	-	295	295	191	(104)
New ways of working	414	-	414	6	(408)
Prestonpans Shared Facility	93	-	93		(93)
Carberry Landfill Gas management	250	-	250		(250)
Town Centre Toilets re-furbishment/New Provision	100	-	100		(100)
East Saltoun School/Community Hall	400	-	400		(400)
sub-total before year end allocations	**20,704**	**3,783**	**24,487**	**7,764**	**(15,983)**
Capital Plan Fees/Internal Recharges	1,370	-	1,370		(1,370)
TOTAL	**22,074**	**3,783**	**25,857**	**7,764**	**(17,353)**

East Lothian Council

REPORT TO: Cabinet

MEETING DATE: 20 December 2016

BY: Depute Chief Executive - Partnerships and Community Services

4

SUBJECT: Household Waste Charter & Code of Practice

1   PURPOSE

1.1   To seek approval for East Lothian Council to become signatories to the Scottish Government's Household Waste Charter.

2   RECOMMENDATION

2.1   It is recommended that Cabinet agree to East Lothian Council becoming signatories to the Household Waste Charter on the following basis:

(a)   Cabinet note the priority given to recycling and our desire to further improve/invest in the services we provide.

(b)   Cabinet note that becoming a signatory to the Household Waste Charter will facilitate access to grant funding to enhance current recycling service provision.

(c)   Cabinet note that becoming a signatory will enable technical support to be provided by Zero Waste Scotland to enhance current waste service provision.

(d)   Cabinet note that at a recent residents' panel held to analyse waste and recycling service provision the unanimous opinion reached was that it would be proactive of East Lothian Council to support the Charter.

3   BACKGROUND

3.1   The Scottish Government published a Household Waste Charter at the end of 2015 that was created in consultation and with the support of Zero Waste Scotland, COSLA, SOLACE and Waste Managers Network. The aim was to support a circular economy and harmonise and improve recycling collection systems across Scotland. (See Appendix 1)

3.2   The Household Waste Charter is supported through the publication of a Code of Practice which contains a more detailed set of outcomes that will deliver the aspirations of the Charter. (See Appendix 2)

3.3   The Code of Practice sets out essential and desirable criteria. Essential criteria must be met through modelling to enable local authorities to draw down grant funding to enhance recycling and reach compliance. Desirable criteria are requirements that councils must consider but not necessarily adopt.

3.4   Signing up to the Household Waste Charter is voluntary at present however all Scottish Government grant aid and support is channelled through Zero Waste Scotland and is requisite on councils first signing up to the Charter.

3.5   Once signed up, councils are expected to produce a strategic transition plan that will be audited by a panel before acceptance and grant support is allocated.

3.6   There are no legal implications on signing up and the Council is free to walk away from the commitment if a transition plan with support cannot be agreed.

4   POLICY IMPLICATIONS

4.1   By signing the Household Waste Charter and aligning with national policy we can benefit from national media campaigns.

4.2   It will allow Waste Services to develop a formal Strategic Policy that reflects compliance with Government legislation and guidance reducing the risk of developing solutions that fall out with future legislative change. This strategy can then be adopted into the Councils Outcome priorities.

4.3   East Lothian Council is currently delivering a recycling rate of between 55 and 58% which exceeds the legislative requirement however In order to hit future recycling targets of 70% in 2025 investment and alterations to current service provision will be required.

5   INTEGRATED IMPACT ASSESSMENT

5.1   The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6   RESOURCE IMPLICATIONS

6.1   Financial - Access to grant funding.

6.2 Personnel - Access to grant funding to enhance services supporting the circular economy should in turn lead to increased employment opportunities within the Service and across the County.

6.3 Other - none.

7 BACKGROUND PAPERS

7.1 Appendix 1 – Waste Charter

7.2 Appendix 2 – Code of Practice

AUTHOR'S NAME	Thomas Reid
DESIGNATION	Waste Services Manager
CONTACT INFO	treid@eastlothian.gov.uk – 01620 827954
DATE	

Charter for Household Recycling in Scotland

This charter is a declaration of our organisation's intent to provide services that deliver local and national benefits, encouraging high-levels of citizen participation in waste prevention, recycling and reuse.

We, as leaders in local government and the main providers of services to households, acknowledge that significant progress has been made in achieving greater value from recycling and reusing household waste over the past 10 years. We also acknowledge that further progress is required to achieve better national and local outcomes.

We welcome the opportunity to make a commitment to our future waste, recycling and reuse services that will build on the progress achieved to date to ensure that waste is considered a resource and our services support sustainable employment and investment within the Scottish economy.

We recognise the opportunities of a more circular economy and better resource management to support sustainable employment and investment in the economy for the benefit of Scotland and its local communities.

We commit:

- To improve our household waste and recycling services to maximise the capture of, and improve the quality of, resources from the waste stream, recognising the variations in household types and geography to endeavour that our services meet the needs of all our citizens.

- To encourage our citizens to participate in our recycling and reuse services to ensure that they are fully utilised.

- To operate our services so that our staff are safe, competent and treated fairly with the skills required to deliver effective and efficient resource management on behalf of our communities.

- To develop, agree, implement and review a Code of Practice that enshrines the current best practice to deliver cost effective and high-performing recycling services and tell all of our citizens and community partners about both this charter and the code of practice.

Signatories

………..………………………… …………………..……………………………   Council Leader

…………………………………….. ………………….. …………………………….   Chief Executive

Scottish Ministers welcome this declaration and will work in partnership with the signatories and their representatives to support the delivery of these commitments.

……………………………. ……………………………. ……………………………….. ………………………………

Cabinet Secretary for Rural Affairs, Food and Environment

To achieve this, we will do the following:

Designing our services

1. We will design our household collection services to ***take account of the Code of Practice (CoP)*** for the variety of housing types and geography in our community. In doing so, over time, ***we will establish common collection systems,*** *as appropriate,* for paper, card, glass, plastics, metals, food and other commonly recycled materials deemed feasible(e.g. textiles, small WEEE, nappies) across Scotland.
2. We will ensure that ***all citizens have access to services*** for recycling to include paper, card, glass, plastics, metals and food. Thus, we will ensure that all citizens, whether at the kerbside or within their local community, are provided with adequate volumes of containers in line with the Code of Practice (CoP).
3. We will ensure that our household collections give ***consistent definition of materials*** (paper, card, glass, plastics, metals and food) that can be competently recycled in line with the Code of Practice (CoP). Thus, we will eradicate discrepancies on what can and cannot be recycled in different localities across Scotland.
4. We will ***reduce the capacity provided for waste that cannot be recycled*** to give the appropriate motivation to our citizens to recycle. Thus, we will ensure that all citizens, whether at the kerbside or within their local community, are limited to non-recyclable (i.e. black bag/general waste/residual waste) waste volumes in line with the established Code of Practice (CoP).

Deliver consistent policies

5. We will ensure that our local policies, in line with the Code of Practice (CoP), encourage citizens to recycle by **reducing the collection of waste that cannot be recycled (i.e. excess waste/side waste).**
6. We will ensure that our local policies ***provide citizens with sufficient capacity for their waste***, recognising that some households will produce more waste than others, in line with the Code of Practice (CoP).
7. We will ensure that our local policies ***direct our collection crews to not collect containers for waste that cannot be recycled that clearly contain recyclable materials*** (including paper, card, glass, plastics, metals and food) in line with the Code of Practice (CoP).
8. Where citizens have not followed our collection advice and policies, we will ensure our ***policies for communicating and taking corrective action are delivered consistently*** in line with the Code of Practice (CoP).
9. We will ensure that policies for ***bulky or excess waste encourage citizens to recycle and reuse,*** *where this is practicable to do so*.

Operating our services

10. We will ***collect household waste when we have said we will*** and ensure materials are managed appropriately upon collection.
11. We will manage materials so that the ***highest possible quality is attained and we seek to accumulate value*** by working with partners to encourage inward investment for our economy.

12. We will ***record complaints and alleged missed collections*** and ensure that we respond to these in line with the Code of Practice (CoP).
13. We will ***listen to special requests or challenges*** that citizens are having in relation to household waste collections and ensure that we respond to these in line with the Code of Practice (CoP).
14. We will deliver services so that they ***take account of current policies with regards to environmental crime, litter and flytipping*** in line with the Code of Practice (CoP).
15. We will deliver services so that our ***staff and citizens are not endangered or at risk from harm*** in line with the Code of Practice (CoP).

Communicating our services

16. We will ***clearly explain to all citizens*** what services we provide by providing information on a regular basis. This will take recognition of different housing types, collection routes and service availability and be as specific to each property as necessary, in line with the Code of Practice (CoP).
17. We will ***deliver service information directly*** to citizens periodically in line with established Code of Practice (CoP).
18. Where we need to ***change our services for any reason, we will communicate with citizens directly***.
19. We will ***provide clear instructions to citizens on what can and cannot be recycled***, giving clear explanations where materials cannot be competently recycled.
20. We will communicate with citizens when they have not understood our services to ***improve awareness and reduce contamination of recyclable materials***.
21. We will ***record accurate information*** on the amount of waste collected and the destinations, as far as practicable, of these materials in order to give confidence to citizens that it is being properly managed.

Citizens

To aid with the delivery of this charter and the Code of Practice, we expect our citizens to participate in the recycling, re-use and non-recyclable waste services that we deliver, using them in accordance with the policies communicated to them, and hence assisting in improving both the quality and the quantity of materials provided for recycling.

Partners

In committing to this charter we request that our partners in national and local government, the resource management industry, retailers, manufacturers, packagers, the third sector and others provide leadership and support in helping us deliver this commitment.

This charter is a clear statement of local government's intent to encourage high-levels of citizen participation in waste prevention, recycling and reuse. All of our partners will have a part to play in utilising the influence they have on our citizens to compliment this intent.

Furthermore, our partners are requested to assist the development of the Code of Practice by providing expertise, information and evidence wherever possible.

The following commitments have been given by each of our partners:

Scottish Government

- To provide the leadership in supporting the delivery of this commitment.

- To provide the necessary policy framework to support local government in delivering the commitments in this Charter and the associated Code of Practice

- To liaise with partners to support the local government delivery of this commitment.

- To support the national behaviour change process required to deliver the foundations of a circular economy

Zero Waste Scotland

- To provide the evidence, research, benchmarking and examples required to deliver the commitments in this Charter and the associated Code of Practice

- To provide support, advice and guidance to local government that allows successful implementation of changes to services.

SEPA

- To advise local government on the regulatory impacts of the commitments in this Charter and the associated Code of Practice.

- To regulate waste and recyclate processors to ensure compliance with relevant legislation, particularly with respect to achieving appropriate destinations and markets for material.

Retailers, brands and packaging manufacturers

- To provide information to inform specifications for local government that will encourage consistent collections

- To provide technical, public relations and consumer behaviour advice to local government and its partners.

- To consider what resources, 'in kind', including behaviour changing measures, or financial, they can provide to support the delivery of the Charter.

- To inform, advise and guide local government and its partners on the technical scope of this Charter and related Code of Practice

The resource management industry

- To provide information to inform specifications for local government that will encourage consistent collections which consistently achieve high quality recycling and reuse.

- To support local government by providing targeted information and data that allows them to reduce contamination and improve public participation and confidence in recycling and reuse.

- To provide leadership and public support for the Charter and the related Code of Practice.

The third sector

- To provide leadership within the Third Sector on waste prevention, recycling and reuse and work in partnership with local authorities to develop the Code of Practice and support the effective delivery of the commitments in the Charter.

- To work with the Scottish Government and local authorities to promote effective communication with communities, groups, organisations and individuals on waste prevention, recycling and reuse and facilitate engagement in the design and development of services in line with the commitments in the Charter.

- To encourage and support practical action by communities, groups, organisations and individuals at a local level on waste prevention, recycling and reuse in line with the commitments in the Charter

CODE OF PRACTICE

Household Recycling in Scotland

Version 2: March 2016

Section 1: Using this Code of Practice

The Household Recycling Charter and this Code of Practice (CoP) are documents that local government in Scotland has volunteered to adopt. This Code of Practice sets out a number of requirements that signatories of the Household Recycling Charter for Scotland are expected to follow. These requirements do not replace any legal requirements placed on Councils, or others, via existing legislation and they must ensure that they are meeting the duties of the Environmental Protection Act 1990 (as amended by the Waste (Scotland) Regulations 2012).

This CoP sets out the basis for a consistent approach to the provision of recycling services by local authorities in Scotland. Throughout the CoP, there is general text that provides context to the section and references to further reading. There are then 'Essential' and 'Desirable' requirements, which shall be interpreted in the following manner:

> **ESSENTIAL**
>
> These requirements are vital in the effort to achieve consistency across waste and recycling services in Scotland. The adoption of these requirements are considered to be the minimum expectation placed on Councils signing up to the Household Recycling Charter.

> **DESIRABLE**
>
> These requirements are important in the effort to achieve consistency across waste and recycling services in Scotland. The adoption of these requirements is something that Councils shall consider after they have met the essential requirements.

Section 2: Outcomes

The COSLA-Scottish Government Zero Waste Taskforce recommended the preparation of a Household Recycling Charter to support a more circular economy in Scotland through developing more consistent and coherent waste collection services, leading to both more efficient services and increased quality and quantity of recycling collected. The Household Recycling Charter was approved by COSLA in August 2015[1]. The charter sets out 21 commitments from local government that will achieve the following outcomes, listed below.

> - To improve our household waste and recycling services to maximise the capture of, and improve the quality of, resources from the waste stream, recognising the variations in household types and geography to endeavour that our services meet the needs of all our citizens.
>
> - To encourage our citizens to participate in our recycling and reuse services to ensure that they are fully utilised.
>
> - To operate our services so that our staff are safe, competent and treated fairly with the skills required to deliver effective and efficient resource management on behalf of our communities.

The Code of Practice contains a more detailed set of outcomes that will deliver the aspirations of the Household Recycling Charter. The outcomes that this Code of Practice aims to deliver are:

OUTCOME ONE: ACHIEVE HIGH QUANTITIES OF RECYCLING AND MINIMISE NON-RECYCLABLE WASTE

Recycling more and wasting less is good for the economy and for the environment. This Code of Practice seeks to increase quantities of materials recycled and reduce the amount of waste that cannot be recycled.

OUTCOME TWO: MAXIMISE HIGH-QUALITY MATERIALS

High-quality recycling, typically defined as 'closed loop' recycling, generally achieves higher value in global, European and UK markets. There is also greater opportunity for investment in the reprocessing industry when there is a ready supply of high-quality materials available to the market in consistent formats and standards. This Code of Practice seeks to provide consistent, high-quality materials for the market, supporting the work of the Scottish Materials Brokerage Service.

OUTCOME THREE: COST EFFECTIVE SERVICES FOR LOCAL GOVERNMENT

This Code of Practice will support Scottish Councils in delivering cost-effective services in the medium to long term.

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[1] http://www.cosla.gov.uk/news/2015/10/household-recycling-charter-agreed

3

OUTCOME FOUR: SERVICES THAT ENCOURAGE PARTICIPATION FROM CITIZENS

This Code of Practice seeks to ensure that the waste and recycling services being delivered to citizens are easily understood and communicated in language and formats to allow them the ability to participate fully.

OUTCOME FIVE: KEEP CITIZENS, STAFF AND CONTRACTORS SAFE

This Code of Practice seeks to ensure that services being delivered recognise and manage any hazards to the safety and health of these groups.

OUTCOME SIX: SERVICES THAT SUPPORT EMPLOYMENT

This Code of Practice will support the delivery of services that support employment in Scotland and within local areas either through collection services or from the onward sorting or sale of materials.

Section 3: Designing household waste & recycling services

This section provides guidance on the key principles to be considered for designing waste and recycling services. The design of services is fundamental to the performance and operation of the services thereafter and is the most important factor in achieving the outcomes of the household recycling charter.

3.1 ESTABLISHING COMMON COLLECTION SYSTEMS

The household recycling charter states:
We will design our household collection services to take account of the Code of Practice (CoP) for the variety of housing types and geography in our community. In doing so, over time, **we will establish common collection systems**, as appropriate, for paper, card, glass, plastics, metals, food and other commonly recycled materials as deemed feasible(e.g. textiles, small WEEE) across Scotland.

3.2 PROPERTY CLASSIFICATION

There are a number of different household types across Scotland, located in different geographies, each with their own unique design and community. For the purposes of this CoP, households have been classified into the broad categories outlined below.

3.2.1 Households with access to the kerbside

These are the most common households in Scotland[2]. Access to the kerbside is important for waste collection as individual containers can be placed out and returned for collection to specific properties.

3.2.2 Households without access to kerbside or with shared containers

Many properties, as a result of historical design, do not permit direct access to the kerbside for individual properties to place containers for waste collection. Examples of these types of properties include terraced houses, flats, tenements and maisonettes.
Some properties will have been given containers to share with their neighbours for logistical reasons. Examples of this would be flatted properties, tenements and rural properties where space constraints mean that waste storage is shared.

3.2.3 Households that are different, challenging or remote

Some geographical areas or property types will not align with the descriptions given above and there may be additional challenges in operating a service to the property. These are factors for Councils to consider when designing waste and recycling services.

For the purposes of the CoP such properties are defined in the following list, although it is recognised that this is not exhaustive and there will be other property types that could be categorised as being particularly challenging:

---

[2] De*tached & Semi-Detached properties were 48% of total households. Flats were 30% and Terraced properties were 21%.* Scottish Neighbourhood Statistics (2013). Standard Reporter. [Online] http://www.sns.gov.uk/Downloads/DownloadHome.aspx. [Accessed October 2015].

Rural properties: Within the Scottish Government 6-fold Urban/Rural classification[3], properties that are found in Category 6 (Remote Rural), Category 5 (Accessible Rural) and Category 4 (Remote Small Towns).

City Centre: Although difficult to define accurately, many city centre locations, where many households are co-located next to or above commercial properties often have restricted access times and limited availability of suitable kerbside storage for containers.

Islands: Although rural in nature, so likely captured above, waste and recycling collections from island locations often bring additional logistical challenges resulting from transport and shipping.

Difficult access properties: Across most Council areas there will be properties that are difficult to access or provide a regular service to. Often the reasons for this are due to the design of the properties, the access (e.g. via private roads) or the conditions (e.g. over-grown lanes).

3.3 PRINCIPLES OF A CONSISTENT COLLECTION

The important factor in making services more consistent relates to the experience of the citizens. Two tests have been applied and shall be the basis for every service following this CoP.
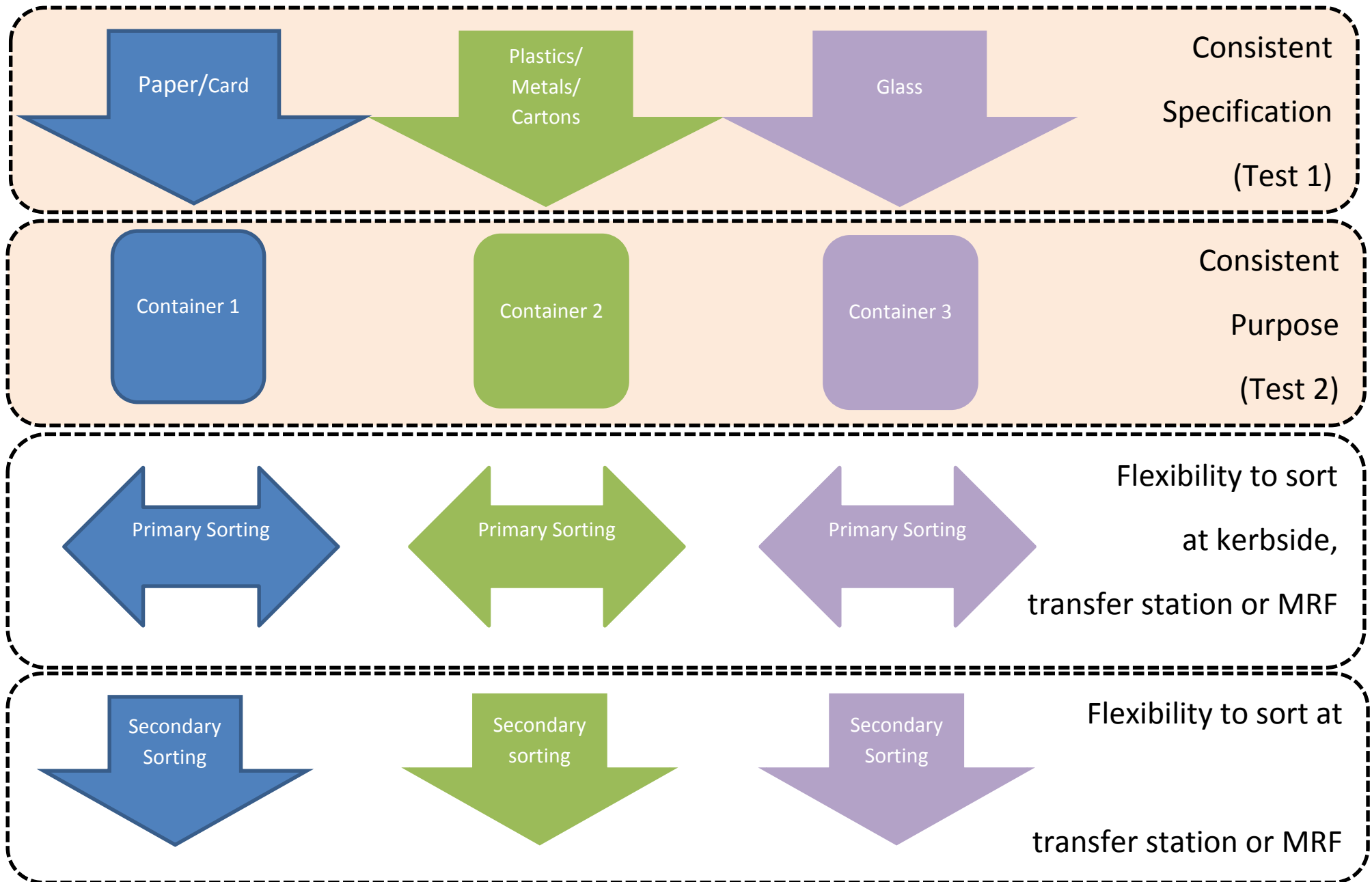
- Firstly, every citizen should understand what they can and cannot recycle in their collection service. This is covered in section 3.5.

- Second, when citizens understand what can be recycled, no matter where they live, they will understand what container that item should be placed into. Therefore, the mix of materials and the way that they sort materials shall remain consistent across the country. This means that the container that citizens place each item into is the most important decision we ask them to make and this is where consistency shall be focussed.

Citizens know less about the way a service is operated or what happens to materials once they have placed their container out for collection. Thus, it is appropriate for Councils to have flexibility regarding the type of container used, the vehicles used, the frequency of collection and the operational parameters. This approach is highlighted in *Figure 3.3* below:

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[3] Scottish Government (2013/14). Scottish Government Urban Rural Classification 2013-2014. [Online] http://www.gov.scot/Publications/2014/11/2763/downloads [Accessed October 2015].

Figure 3.3: Principles of a consistent collection model

Paper/Card	Plastics/Metals/Cartons	Glass	Consistent Specification (Test 1)
Container 1	Container 2	Container 3	Consistent Purpose (Test 2)
Primary Sorting	Primary Sorting	Primary Sorting	Flexibility to sort at kerbside, transfer station or MRF
Secondary Sorting	Secondary sorting	Secondary Sorting	Flexibility to sort at transfer station or MRF

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3.4 APPLYING THE CONSISTENT COLLECTION MODEL

The starting point for each Council applying this CoP, shall be to undertake an assessment of its current service against a range of scenarios to best fit with their needs and property types, whilst achieving the consistent principles outlined above.

In the first instance, the following requirements should be considered by each Council for all properties and locales. As a minimum these requirements shall be adopted or considered for '*Households with access to the kerbside*'.

3.4.1   Essential contents
The service for these properties **shall adopt** the following requirements:

a) Separate containers shall be provided to each property for the following:
   I.   Paper and card;
   II.   Metals, plastics and cartons
b) Collection of these containers shall take place from the kerbside or nearest safe point of collection close the property.
c) At the point of collection, the contents of each container will either be sorted into constituent materials (i.e. kerbside sort) or placed into separate compartments of a single vehicle or into separate vehicles for primary sorting at a site (i.e. transfer station or Materials Recovery Facility –MRF).
d) Separate containers for glass shall be provided to each property or alternatively within the community for communal use. These containers shall facilitate the colour separation of glass to occur.
   I.   Where the Council is not providing a glass collection from each property, the Council is required to demonstrate that the alternative provision (i.e. from recycling points) is achieving the same quality and quantity of glass that would otherwise be collected from kerbside collection. This can be demonstrated through benchmarking with other Councils, comparing with historical data or monitoring waste composition analysis of non-recyclable waste to show capture rates of glass as outlined below.
       • The glass collected should achieve a minimum benchmark yield that is comparable to average kerbside-collected glass services (to exclude tonnage rejected at a MRF or by a reprocessor), or alternatively by demonstrating that the arisings of glass in the non-recyclable waste stream are comparable to an average where Councils operate a kerbside-collected glass service.
   II.   Where glass containers are not provided to each property the Council should provide a minimum capacity outlined of 10 litres per week for each property within the community. In urban areas these should be no further than 1km from each property.
       • For example, for an area of 2,000 properties there would be a requirement for 20,000 litres per week of glass recycling provision.
   III.   Colour separation of glass can occur at a glass sorting facility if the Council can demonstrate through benchmarking with other Councils that the same quantity of glass will be available to enter high-quality recycling processes (i.e. remelt to glass containers) after sorting has taken place .
       • Benchmarking in this respect should focus on the volume of glass available for high-quality recycling processes after the sorting has taken place. After sorting, the volume of high-quality glass that is available should exceed the benchmark test set out in 3.4.1.d(i) above.

e) Separate containers shall be provided for food waste collection in all areas where the Waste (Scotland) Regulations 2012 require a collection.
   I. Where food is collected in the same container as garden waste, the Council shall not be required to separate the materials.
f) The weekly volume of recycling to be provided to each property for each material where kerbside collection takes place should exceed the following:

Paper/Card	40 litres per week
Metals/Plastics/Cartons	70 litres per week
Glass	20 litres per week
Food waste	20 litres per week

3.4.2 Desirable contents

The following procedures **should be considered** within the Councils ways of working:

a) The collection of each recycling material stream, in particular food waste, is carried out on a weekly basis.
b) Separate containers for food waste recycling are provided in all areas that are not required to have a collection by s45C of the Environmental Protection Act 1990 as amended by the Waste (Scotland) Regulations 2012.
   I. This will be based on the principle of co-collecting food waste with dry recycling in a separate compartment within the vehicle.
c) An association of colours to containers is beneficial to public engagement. Over time, as services change, there shall be a particular colour associated with each material stream, and that scheme will be developed in conjunction with partners supporting national communications and confirmed in due course:

PAPER/CARD	TBC
METALS/PLASTICS	TBC
GLASS	TBC
NON-RECYCLABLE WASTE	TBC

   I. When new services are being introduced the colours above **shall** be introduced.
   II. Where new services are not being introduced the Council shall consider means of implementing this colour system by other means wherever practicable.
   III. The colour association can be achieved by the procurement of whole containers in these colours or by changing lids that match these colour to identify the colour association.
d) The Council shall consider means whereby some or all collection vehicles are equipped to receive other items such as small Waste Electrical and Electronic Equipment (WEEE), Textiles, Batteries and Absorbent Hygiene Products (AHPs, also referred to as nappies).

3.4.3 Households without access to the kerbside or with shared containers

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For properties where access to the kerbside is limited or where the service has to be provided via shared containers due to space constraints the following requirements shall be adopted.

3.4.3.1 Essential contents
The service for these properties **shall adopt** the following requirements:

a) In the first instance, efforts should be made to introduce the same service to these properties as will be delivered to those households with access to the kerbside detailed in 3.4.1. The Council shall provide evidence of any assessment that is carried out in this regard.
   I. Evidence shall outline the number of properties affected and state the rationale for not providing the same service as kerbside properties.
b) Separate containers should be provided to each property or group of properties for the following mix of materials. This can be achieved by individual or communal containers.
   I. paper and card;
   II. metals, plastics and beverage cartons
c) Separate containers shall be provided for food waste recycling to each property or group of properties as required within the Waste (Scotland) Regulations 2012. This can be achieved by individual or communal containers.
d) Separate containers should be provided for glass in line with the requirements set out in 3.4.1.d.

3.4.3.2 Desirable contents
The following procedures **should be considered** within the Councils ways of working:

a) The requirements set out in Section 3.4.1 shall be followed.
   I. Less frequent collection for these properties might be achieved through the provision of larger capacity containers, exceeding the volumes set out in 3.4.1f, which facilitates communal collections.

3.4.4 Rural properties
Details of the types of property included within this category are provided in 3.2. In rural properties the following requirements shall be adopted.

3.4.4.1 Essential contents
The service for these properties **shall adopt** the following requirements:

a) In the first instance, efforts should be made to introduce the same service to these properties as will be delivered to those households with access to the kerbside detailed in 3.4.1. The Council shall provide evidence of any assessment that is carried out in this regard.
   I. Evidence shall outline the number of properties affected and state the rationale for not providing the same service as kerbside properties.
b) Separate containers should be provided to each property or group of properties for the following mix of materials. This can be achieved by individual or communal containers.
   I. Paper and card;
   II. Metals, plastics and beverage cartons.
c) There will be further exceptions for the provision of glass recycling containers specifically as follows:
   I. Where glass recycling containers are not provided to each property in rural areas and the alternative service provision via recycling points is being used, settlements of less than 100 properties need not be provided with a recycling point if it's not

environmentally or practicable to do so. Settlements not provided with a recycling point shall be advised of their nearest recycling point for glass.

    II.   Where glass containers are not provided to each property the Council shall provide a minimum capacity of 10 litres per week for each property within the community. In rural areas the proximity of these containers to each property shall be variable but efforts shall be made to have these as close to each property as is practicable.

d)   Where food waste service provision is not legally required and not possible through any other means, the Council shall take steps to provide food waste advice and support to the citizens in such properties.

    I.   Advice shall be provided on reducing food waste and home composting including the use of in-situ mini digesters.

    II.   Support shall be provided in the form of visits to the property and the guidance on choosing a suitable home composting unit.

3.4.4.2 Desirable contents

The following procedures **should be considered** within the Councils ways of working:

a)   Separate containers for food waste recycling are provided in all areas that are not required to have a collection by s45C of the Environmental Protection Act 1990 as amended by the Waste (Scotland) Regulations 2012.

    I.   This will be based on the principle of a co-collecting food waste with dry recycling in a separate compartment within the vehicle.

3.4.5 City Centre properties

Details of the types of property included within this category are provided in 3.2. In city centre properties the following requirements shall be adopted.

3.4.5.1 Essential contents

The service for these properties **shall adopt** the following requirements:

a)   In the first instance, efforts should be made to introduce the same service to these properties as will be delivered to those households with access to the kerbside detailed in 3.4.1. The Council shall provide evidence of any assessment that is carried out in this regard.

    I.   Evidence shall outline the number of properties affected and state the rationale for not providing the same service as kerbside properties.

b)   The provision of dry and food waste recycling to each individual property may not be possible in city centre locations resulting from the lack of suitable storage and on-street restrictions on containers being placed for collection. Where collection is not possible from each property, communal collection shall still be available to all properties along the following principles:

    I.   Separate containers should be provided to each property or group of properties for the following mix of materials.

         • Paper and card;

         • Metals, plastics and beverage cartons.

         • Glass

    II.   Recycling containers for dry recycling, including glass, shall be provided within 1Km from all properties. Although capacities for each material may be difficult to estimate in such environments, efforts should be made to ensure that adequate capacity for each material stream is available, based on the table in 3.4.1f and monitoring of the fill levels for containers should take place.

3.4.5.2 Desirable contents
The following procedures **should be considered** within the Council's ways of working:

a) The Council shall consider what collection frequency is appropriate for these areas to enable recycling services to be provided.

3.4.6 Island properties
Details of the types of property to be included within this category are provided in 3.2. In island properties the following requirements shall be adopted.

3.4.6.1 Essential contents
The service for these properties **shall adopt** the following requirements:

a) In the first instance, efforts should be made to introduce the same service to these properties as will be delivered to those households with access to the kerbside detailed in 3.4.1. Where the service is required to vary, the Council should subsequently consider the requirements for rural properties set out in 3.5.4. The Council shall provide evidence of any assessment that is carried out in this regard.
    I. Evidence shall outline the number of properties affected and state the rationale for not providing the same service as kerbside properties.
b) There will be further exceptions for the provision of glass recycling containers specifically as follows:
    I. Where local glass reprocessing is available, the Council can consider the use of such facilities where the environmental benefits are proven.

3.4.7 Difficult access properties
Details of the types of property to be included within this category are provided in 3.2. In these properties the following requirements shall be adopted.

3.4.7.1 Desirable contents
The service for these properties **shall adopt** the following requirements:

a) In the first instance, efforts should be made to introduce the same service to these properties as will be delivered to those households with access to the kerbside detailed in 3.4.1. The Council shall provide evidence of any assessment that is carried out in this regard.
    I. Evidence shall outline the number of properties affected and state the rationale for not providing the same service as kerbside properties.
b) Separate containers should be provided to each property or group of properties for the following mix of materials. This can be achieved by individual or communal containers.
    I. paper and card;
    II. metals, plastics and beverage cartons
c) Separate containers shall be provided for food waste recycling to each property or group of properties as required by s45C of the Environmental Protection Act 1990 as amended by the Waste (Scotland) Regulations 2012. This can be achieved by individual or communal containers.
d) Separate containers should be provided for glass in line with the requirements set out in 3.4.1.d.

3.4.8 Elements not considered for this CoP

The following elements of the service design are not specified within this CoP. Consequently, Councils are invited to interpret their own needs for these aspects of their service.

a) Garden waste services are not covered in this CoP and Councils may make their own plans for the collection of garden waste.
b) Councils may make their own judgement on density of recycling points that may be in place to supplement kerbside collection.

3.5 THE MATERIALS COLLECTED

A standard specification for all of the core materials specified in this CoP (food, paper, card, glass, metals and plastics) as well as cartons is provided in the following section which will give consistent advice to citizens across Scotland on the materials they can recycle.

The household recycling charter states:

We will ensure that **all citizens have access to services** for recycling to include paper, card, glass, plastics, metals and food. Thus, we will ensure that all citizens, whether at the kerbside or within their local community, are provided with adequate volumes of containers in line with the Code of Practice (CoP); and

We will ensure that our household collections give **consistent definition of materials** (paper, card, glass, plastics, metals and food) that can be competently recycled in line with the Code of Practice (CoP). Thus, we will eradicate discrepancies on what can and cannot be recycled in different localities across Scotland.

3.5.1   SPECIFICATION FOR CORE MATERIALS

The following tables show which items that are typically found in the domestic waste stream shall be accepted or not within containers for recycling. Whilst most materials are collected for recycling, there are some materials where the markets for these items is still developing. However, in some cases not collecting certain items would complicate the recycling decisions for citizens, and where certain items can be easily sorted from containers, there is a greater overall benefit in encouraging citizens to recycle the items than to dispose of them in non-recyclable waste.

The table clarifies the specification that Councils may wish to discuss with their contractors regarding the onward sorting or processing of the collected materials. It is not intended to be communicated to the public in this format.

The adoption of the following specifications is, for the purposes of this Code of Practice, considered an '***Essential Requirement***'.

Accepted

Items in this classification are typically recycled easily and shall be readily accepted in the relevant recycling container. Citizens should be encouraged to empty, rinse and squash (if possible) all items prior to being placed in containers for recycling.

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> **Accepted where markets are emerging or non-collection could affect recycling behaviours**
>
> Items in this classification are accepted within recycling containers either to make the service more convenient for citizens and where their inclusion doesn't jeopardise the onward processing of the materials **OR** the markets for these items is evolving and the collection of these items will support opportunities for further recycling in the future.

> **Unacceptable**
>
> Items in this classification are not accepted within recycling containers for the material referred to. The inclusion of these items in the container referred to will be considered a contaminant that will not be recycled.

3.5.1.1 **Paper:**

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
Newspapers, magazines, pamphlets, directories, envelopes (fully intact including glue and windows) brochures, office paper, letters catalogues and unwanted mail.	- Tissue/napkins (Heavily soiled, can go in food container) - Laminated paper (Non-recyclable bin) - Padded envelopes (Non-recyclable bin) - Wet paper (Home composted or Non-recyclable bin) - Hardback books (reuse should be encouraged)
ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS - Shredder paper *(Difficult to handle at sorting facility)* - Wrapping paper *(Difficult to handle at sorting facility)* - Paperback books *(Difficult to handle at sorting facility)*	

3.5.1.2 **Card:**

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
Cereal boxes, brown corrugated packaging, sleeves from ready meals, toilet/kitchen roll tubes, greetings cards, egg boxes, toothpaste boxes etc.	- Drinks and food cartons (placed in metals and plastics container for recycling) - Wet card (Non-recyclable bin).
ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS	

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
• Food boxes (e.g. pizza/fast food)(*Often contain food that is likely to cause contamination*)	

3.5.1.3 Glass:

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
Bottles and jars from food and drink packaging (including metal tops and corks).	• Ceramic items such as plates and plant pots (sometimes recyclable with 'inert' waste at HWRCs) • Plate glass i.e. from windows (sometimes recyclable with 'inert' waste at HWRCs) • Drinking glasses (sometimes recyclable with 'inert' waste at HWRCs) • Light bulbs (retailers or HWRCs) • Pyrex dishes (sometimes recyclable with 'inert' waste at HWRCs)
ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS	
N/A	

3.5.1.4 Metals:

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
Tins and cans from food and drink packaging, aerosols for personal use (e.g. deodorant, hairspray etc.)	• Metal items not disposed of every day i.e. household furniture or cutlery (typically accepted in 'scrap metal' waste at HWRCs) • Small electricals including cables (accepted at retailers and HWRCs). • Batteries (accepted at retailers and HWRCs) • Pouches (non-recyclable bin)
ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS • Foil trays *(Prone to food soiling and not sorted as easily)* • Aluminium/Tin foil *(Prone to food soiling and not sorted as easily)*	

3.5.1.5 Plastics:

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)

Bottles (including tops) from: food and drink products, shampoo/conditioner/shower gel/soap bottles, cleaning products, beauty products, tablet and medicines.	• Plastic bags and films i.e. shopping bags, bread bags and cling films (recycled at supermarkets where this service is available or disposed in non-recyclable bin) • Bubble wrap (non-recyclable bin) • Cartridges e.g. ink (refill or return to producer) • Polystyrene – rigid or expanded (non-recyclable bin) • Wrappers e.g. biscuit and crisp wrappers. (non-recyclable bin) • Compostable packaging (food waste) • Plastic nettings (non-recyclable bin) • Toothpaste tubes (non-recyclable bin) • Hard plastics including CD boxes, plastic coat hangers and plant pots (Reuse online or non-recyclable bin) • Hard plastic including garden furniture and child's toys (Donation to charity or HWRC for reuse, recycling or disposal)
ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS • Small bottles from yoghurt drinks etc. (*Difficult to sort with machinery*). • Food & drink pots, tubs and trays of all colours (*Markets evolving*)	

3.5.1.6 Cartons:

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
Food and drink cartons (commonly manufactured by Tetra Pak, Elopak and SIG Combibloc) used for long-life milk, fruit juices, smoothies, dairy alternative milks, chopped tomatoes, passata, liquid baby milk, soup, pulses, custard, pet milk etc.	• Pringles tubes (Non-recyclable) • Plastic pots, tubs and trays (Plastic recycling) • Dried baby formula packs (Non-recyclable) • Pouches (Non-recyclable)
ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS • Straws and caps that are integral to the carton *(Not recyclable but integral to packaging)*	

3.5.1.7 Food:

ACCEPTED	UNACCEPTABLE (ALTERNATIVE PATHWAY SHOWN)
All cooked and uncooked food stuffs, including bones and carcasses dairy, vegetables and peelings, bread, rice and pasta, fish including bones and shells, tea	• Metal, plastic or glass packaging (should be recycled in other collection services) • Liquids and oils.

bags and coffee grounds, eggs and eggshells, cakes and biscuits, leftovers and pet food.	17
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ACCEPTED WHERE MARKETS ARE EMERGING OR NON-COLLECTION COULD AFFECT RECYCLING BEHAVIOURS

- Compostable liners, plastic liners, paper or card liners (*integral to recycling process but difficult to reprocess*)
- Soiled kitchen roll *(supports capture of more food but difficult to reprocess)*

3.6 WASTE THAT CANNOT BE RECYCLED

Waste that cannot be recycled is commonly called "black bag waste", "general waste" or "residual waste". The best description of this waste is "non-recyclable waste", which reflects the fact that containers for such waste should only contain anything that is left after all efforts to recycle have been exhausted. This CoP refers to 'Non-Recyclable' waste from herein.

A 2015 WRAP study[4] highlighted that one of the most effective ways to encourage citizens to recycle is by restricting the volume of non-recyclable waste they can dispose of, alongside effective recycling services for the core materials and food waste.

The household recycling charter states: We will ***reduce the capacity provided for waste that cannot be recycled*** to give the appropriate motivation to our citizens to recycle. Thus, we will ensure that all citizens, whether at the kerbside or within their local community, are limited to non-recyclable (i.e. black bag/general waste/residual waste) waste volumes in line with the established Code of Practice (CoP).

3.6.1   CAPACITY OF NON-RECYCLABLE WASTE

The following requirements are set out with regard to the equivalent volume of containers to be provided for non-recyclable waste.

3.6.1.1 Essential contents
The following requirements **shall** be included within the Councils' ways of working:

a)   Where the Council has adopted all of the requirements set out in section 3.4 regarding the provision of dry and food recycling, meeting the essential requirements, they shall consider reducing the capacity for non-recyclable waste.

3.6.1.2 Desirable contents
The following procedures **should be considered** within the Councils ways of working:

a)   Where the Council has adopted all of the requirements set out in section 3.4 regarding the provision of dry and food recycling, meeting the essential requirements, it will be appropriate to provide the following weekly equivalent capacity for non-recyclable waste:
   I.   **Households with kerbside access:** A maximum of the equivalent of 80 litres per week per property for non-recyclable waste shall be provided to each property. This can be achieved by either reducing the bin or varying the frequency of collection, whichever the Council deems the most appropriate.
   II.   **Flats:** A maximum of the equivalent of 70 litres per week per property for non-recyclable waste shall be provided to each property or group of properties where a communal service is provided. This can be achieved by either reducing the bin or varying the frequency of collection, whichever the Council deems the most appropriate.

3.6.1.3 Elements not included within this CoP

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[4] http://www.wrap.org.uk/content/factors-influencing-recycling-performance

Councils may determine the frequency of collection, size of container and method of collection for non-recyclable waste in line with the volumes set out above.

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Section 4: Policies for household waste & recycling services

This section provides guidance on the policies that will be important in supporting a collection system that consistently achieves high citizen participation and supports the design and operation of recycling services to deliver the outcomes of the Household Recycling Charter.

Developing and publishing policies can ensure that services are operated transparently and fairly. This in turn can encourage citizens to participate in the service; maximising the quantity and quality of material collected for recycling.

The Household Recycling Charter states:

We will ensure that our local policies, in line with the Code of Practice (CoP), encourage citizens to recycle by **reducing the collection of waste that cannot be recycled (i.e. excess waste/side waste)**; and

We will ensure that our local policies *provide citizens with sufficient capacity for their waste*, recognising that some households will produce more waste than others, in line with the Code of Practice (CoP); and

We will ensure that policies for *bulky or excess waste encourage citizens to recycle and reuse,* where this is practicable to do so.

4.1 EXCESS OR SIDE WASTE POLICY

4.1.1 Rationale

Policies have been established to encourage recycling by reducing the collection of non-recyclable waste. The most typical examples of this are policies to limit 'excess waste', 'side waste' and 'open-lid bins'. Excess waste or side waste are common terms that describe additional items or bags of unsorted waste that is placed on, near or next to the regular collection container. Open lids cannot occur when the lid cannot be closed because of the volume of waste being presented.

Policies relating to this have been introduced to prevent such practices, primarily to reduce the environmental and cost impacts of this waste being landfilled but also because of safety concerns. The safety concerns relate to manual handling, risk from sharps in unsorted bags and from the safe operation of wheeled bins on comb-lifters upon vehicles.

4.1.2 Essential contents of this policy

The following procedures **shall** be included within the Councils' ways of working:

a) Policy shall clearly define the criteria when collection crews will consider waste to be excess, side waste or not within a container with the lid closed.
   I. Excess or side waste is any material that is not within the confines of the provided wheeled bin. This can be loose or contained in bags but the defining point is that it has not been able to be presented in the provided container.

II. Where the waste has been placed in the wheeled bin but the lid cannot be easily closed by hand, this will be deemed to be an overfilled bin.

b) The policy shall state what the consequences of placing excess/side waste or overfilled bins for collection will be.
   I. The excess/side waste or overfilled bins waste will not be collected on that occasion.
   II. Advice will be provided to the citizen on what to do next.
   III. Advice will be given to the citizen on alternative places to dispose of extra waste (i.e. Recycling points or Household Waste Recycling Centres).

c) A note of any incidents relating to excess/side waste or overfilled/overweight bins should be taken by the collection crew and passed to the supervisor.
   I. To support the implementation of the policy, collection crews should be instructed not to return for excess/side-waste where a note of an incident has been taken and reported to a customer services function.

d) A log of any incidents relating to excess/side waste or overfilled/overweight bins should be kept and maintained. This should be used to track any repeating patterns of behaviour to ascertain if further assistance is required.

4.1.3   Desirable contents of this policy
The following procedures **should be considered** within the Councils ways of working:

a) Policy should clearly define the criteria when collection crews will consider containers to be overweight. This will specify that any wheeled bin that cannot be moved by a single crew member to the point of collection, will be deemed overweight.

b) Where excess/side-waste has been left for collection, the extra waste should be placed back into the wheeled bin by the crew to avoid littering. Some form of communication should be placed on the bin or to the address using the bin to inform the resident for the reasons that waste has not been collected.

c) The notes of any incidents relating to excess/side waste or overfilled/overweight bins should be taken passed to the Council's customer services function to inform the resident should they make contact with the Council.

d) Recyclable waste placed in non-conforming containers (e.g. bags of paper or loose cardboard) shall be collected on the first occasion with a communication to inform the citizen of the ability to receive additional containers or take material to the HWRC. Thereafter such items shall not be collected. Such items being presented should be placed in the recycling container with a communication to inform the citizen of the reasons for non-collection and information provided to the citizen of the ability to receive additional containers or take material to the HWRC.

4.1.4   Elements not considered for this CoP
Policies to tackle excess waste at communal collection points are not considered within this CoP, however, Councils may wish to consider the following:

a) Look to include more stakeholders such as factors, property managers, caretakers, concierges, housing departments, and litter and flytipping functions within the Council to communicate with citizens to improve practices related to excess waste.

b) Communicate with all residents in the first instance to highlight any specific concerns and raise awareness of how to use the service.

4.2 BULKY OR SPECIAL WASTE COLLECTION POLICY

4.2.1   Rationale

WRAP has published guidance[5] to provide ideas and identify opportunities to increase the amount of household bulky waste that is re-used and recycled, which can be referred to, and other work is underway to establish further best practice in this area. This sections set out the requirements for this area.

4.2.2   Essential contents of this policy

The following procedures **shall** be included within the Councils ways of working:

a) There is a clear communication of the service to citizens covering the types of waste that are acceptable and unacceptable (e.g. no asbestos, sharps etc.) in non-recyclable waste and bulky waste collections and instructions or advice is given on what to do with those wastes that are not accepted, including where to seek further information.

4.2.3   Desirable contents of this policy

The following procedures **should be considered** within the Councils ways of working:

a) The service shall promote the use of the National Reuse Phoneline wherever practicable. For example, the customer services function dealing with in-bound phone calls should be aware of the National Reuse Phoneline and understand the protocols for directing appropriate calls to it.
b) Separate collections are put in place to maximise reuse and recycling wherever this is feasible to do so within the local context. This will require collections of suitable wastes in non-compaction vehicles with adequate protection from the weather (e.g. box-van). This will also require engagement with service providers that can prepare items for reuse.
    I.   WEEE (including white goods, Large Domestic Appliances and fridge/freezers) are collected as a separate stream or in such a way that effective sorting of these materials can occur at a site. This should be carried out in a non-compaction vehicle.
    II.   Upon collection, efforts are taken to recycle and reuse bulky waste. This typically is carried out using mechanical and hand sorting processes.
c) Appropriate charging mechanisms shall be considered. In particular this should consider charging for waste derived from 'fixtures and fittings' or 'household improvements' (i.e. DIY wastes) as a minimum.
d) Customers are allocated a collection day, and time if practicable, when the uplift will take place to avoid occasions when items are presented ahead of collection leading to additional items subsequently being fly tipped alongside the authorised special uplift and to prevent damage to reusable items from weather.

4.3 RECYCLING CONTAMINATION

4.3.1   Rationale

Policies to encourage the proper use of recycling containers is important in maintaining high-quality recycling and giving confidence to contractors that will manage the onward processing of collected

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[5] WRAP. [Online] http://www.wrap.org.uk/content/bulky-waste-guidance-0 [Accessed October 2015].

recyclables. It is also important in re-assuring citizens that the material they have taken care to sort is being handled properly.

Where contamination of recycling occurs, a more consistent approach to the way that incidents are monitored and managed is set out in the following requirements.

4.3.2   Essential elements
The following procedures **shall** be included within the Councils' ways of working:

   a) The Council shall ensure that all collection crews are trained on what materials are accepted for recycling, the safe system of work for monitoring contamination, and any action resulting from the detection of contamination.

Dry Recycling: Household with access to kerbside
   b) When collecting dry recycling the collection crew shall:
      I.   Check for contamination of the container with unacceptable materials (refer to 3.5.1).
      II. Provide communication to citizens if unacceptable materials are presented so that they understand the range of materials that can be collected for recycling and the impact that contamination can have.

   c) The recycling shall not be collected if contamination is severe as it will have a detrimental impact on the quality of the whole load collected. Definitions of the 'severity of contamination' and the steps that shall be taken are outlined in the table below:

Figure 4.3.2: Actions for dealing with contaminated recycling containers

Severe contamination i.e. black bags and/or food waste and/or many items that are unacceptable (refer to 3.5.1) are visible to the operative	Box collection: Where safe to do so the collection crew should remove the recycling, leaving the contaminants in the box. Bin collection: Recycling not collected as it will contaminate the whole load collected. The container should have something appended to it (i.e. sticker, hanger, tag) advising the citizen to sort their material correctly and then present the recycling for collection on the next scheduled collection day. The container should have something appended to it (i.e. sticker, hanger, tag) so that the citizen can understand the range of materials that can be recycled. Future collections should be monitored.
Moderate levels of contamination i.e. Several items that are unacceptable (refer to 3.5.1) are visible to the operative.	Box collection: Where safe to do so the collection crew should remove the recycling, leaving the contaminants in the box. Bin collection: Where safe to do so the collection crew should remove the contamination and collect the recycling, leaving the contaminants in the bin. If the items cannot be safely removed, the bin should not be collected.

		The container should have something appended to it (i.e. sticker, hanger, tag) so that the citizen can understand the range of materials that can be recycled. Future collections should be monitored.
	Low levels of contamination i.e. Very few items that are unacceptable (refer to 3.5.1) are visible to the operative.	Box collection: Where safe to do so the collection crew should remove the recycling, leaving the contaminants in the box. Bin collection: Where safe to do so the collection crew should collect the container taking note of the incident. The container should have something appended to it (i.e. sticker, hanger, tag) so that the citizen can understand the range of materials that can be recycled. Future collections should be monitored.

d) Instances of contamination shall be recorded and monitored for future reoccurrence.

e) In cases of ongoing severe contamination councils shall adopt the following protocol:

    I.   In the first instance of severe contamination the container should have something appended to it (i.e. sticker, hanger, tag) to advise the citizen to sort their material correctly and then present the recycling for collection on the next scheduled collection day.

    II.   If the citizen presents a severely contaminated recycling container again, or fails to sort the contaminated recycling presented previously, the container shall again have something appended to it and be followed up with a written communication delivered to the property (i.e. a letter or leaflet).

          • The aim of the communication is to try to understand and address the reasons for the misuse of service and where necessary to advise of any supporting policies (e.g. Additional containers) where citizens are unable to cope with the volumes of waste containers they have been supplied with.

    III.   If the citizen presents a severely contaminated recycling container for a third time, or fails to sort the contaminated recycling presented previously, the container shall again be stickered and an officer from the Council shall make contact with the citizen.

          • The purpose of this contact will be to discuss the materials that can be recycled with the citizen and, if necessary, carry out an inspection of the recycling container and non-recyclable container to demonstrate practical steps that the citizen can take.

    IV.   Where the citizen continues to present recycling that is severely contaminated upon exhausting all of the steps above, the recycling service shall be withdrawn for a period of time and a follow up visit shall be arranged at a later date to discuss the options for re-introduction of the service.

Food Waste: Household with access to kerbside

f) Where contamination of the food waste container occurs, the crews shall not take efforts to remove the contamination.

    I.   Where contamination is minimal (i.e. one plastic bag and/or film lid and/or very few items from the 'unacceptable' list – see 3.5.1) then the container shall be collected. The container should have something appended to it (i.e. sticker, hanger, tag) so that

the citizen can understand the range of materials that can be recycled. Future collections should be monitored with a notice placed on the container.

    II.   Where contamination is more serious (i.e. a few or more items from the 'unacceptable' list – see 3.5.1) the container shall not be uplifted and the procedures set out in 4.3.2d-e shall be followed.

4.3.3   Desirable elements

The following procedures **should be considered** within the Councils ways of working:

Households without access to the kerbside or with shared containers

a) Where practicable, the Council shall adopt policies for households without access to the kerbside or with shared containers that are similar to those set out in 4.3.2.

b) The Council shall seek to liaise with community partners (e.g. Housing Departments, Social Landlords, Social Work etc.) to consider other means of communicating and liaising with citizens to reduce contamination of recycling containers.

4.4 ADDITIONAL CAPACITY

4.4.1   Rationale

It is recognised that there will be some properties where there are more than a certain number of citizens in a property or where medical conditions lead to the generation of additional waste streams. The requirements to address the needs of such properties are set out in the following section.

4.4.2   Essential elements

The following procedures **shall** be included within the Councils' ways of working:

a) The Council shall listen to all special requests where the citizen feels unable to manage with the standard service being delivered.

b) Where the reason for requesting additional capacity is related to a medical need, the Council shall ask what that requirement is and request the citizen, or a Carer on their behalf, to complete an application.

c) Medical conditions that will be considered for additional non-recyclable waste capacity will be ones where hygiene wastes (i.e. pads, wipes, dressings) and clinical waste are likely to be generated. On occasion, the Council may request written confirmation from the citizen's doctor to confirm the condition.

d) Where the reason for requesting additional capacity is not related to a medical condition, the Council shall carry out an assessment of the requirement for greater recycling provision or non-recyclable waste provision by:

    I.   In the first instance if the property is not lived in permanently by 6 or more people or there are fewer than 2 children in nappies the Council shall inform them that no additional capacity for non-recyclable waste shall be provided. Additional capacity for recycling may be considered where the Council feels this is reasonably practicable.

    II.   If there are 6 or more permanent residents or 2 or more children in nappies within the property, the Council shall request that the citizen complete a waste diary for an agreed period of time (e.g. 1 collection cycle for non-recyclable waste).

        • The citizen will be asked to record the wastes that they place in both recycling and non-recyclable waste containers.

- A 'Waste Diary' pack shall be sent to the citizen with instructions for completion and, where appropriate, a visit from a Council officer shall be provided to assist with the completion of the diary.
    III. Upon completion and submission of a waste diary, a Council officer shall review this. Where appropriate to do so, the officer shall visit the citizen to provide further advice on what can be recycled and ways of reducing waste.
  e) If the Council assess that the citizen requires additional capacity for non-recyclable waste following 4.4.2d they shall deliver either an additional container or a larger container.
    I. This container should be identified with a 'marker' so that it is clear that it is an additional container that is approved by the Council to aid collection crews with collecting the proper containers.
  f) Any additional capacity provided shall be time-limited and a review shall be carried out at the end of the agreed time limit.

4.5 COMMUNICATING POLICIES TO CITIZENS

To ensure citizens understand what is expected of them, it is crucial to communicate policies and changes to policy clearly.

4.5.1 Essential elements

The following procedures **shall** be included within the Councils' ways of working:

  a) The Council shall include details of all the waste and recycling policies in written communication (digital or printed) to households.

4.6 POLICY IMPLEMENTATION

This section provides guidance on the most effective methods to ensure that the policies that have been agreed are effectively implemented.

4.6.1 WORKFORCE DEVELOPMENT

Staff implementing the policies need to understand what the policy requires and what procedures they should follow to successfully implement the policy. Requirements to achieve this are set out in the following section.

4.6.1.1 Essential elements

The following procedures **shall** be included within the Councils ways of working:

  a) When implementing the policies described earlier in this chapter Councils shall be required to ensure that appropriate 'toolbox talks' have been held with the collection crews.
    I. These shall occur prior to the introduction of the policy and as part of an annual update.
    II. Records of all relevant collection crews being given these talks will be maintained.
  b) The Council shall ensure that the customer service function within the Council has been made aware of all policies and changes in policy.

4.6.2 OPERATIONAL DELIVERY OF POLICY

Operational systems must be in place to support the effective introduction of the policy. Requirements to achieve this are set out in the following section.

4.6.2.1 **Essential elements**

The following procedures **<u>shall</u>** be included within the Councils ways of working:

a) The Council shall ensure all elected members and relevant officers, including Chief Officers, are thoroughly briefed on the details of the policy and the scenarios that might be expected as a result of the policy being implemented are discussed and agreed.

b) The Council shall carry out regular audits of its performance against the stated policies to check that the implementation of the policy is effective.

    I. The Council shall supervise collection crews and carry out spot-checks on the implementation of policies.

    II. Records of audits should be maintained and reported on to relevant senior officers within the Council on an annual basis.

Section 5: Operating household waste & recycling services

This section provides guidance on operating procedures that are required to effectively collect waste and recycling from households.

The Household Recycling Charter states:

We will *collect household waste when we have said we will* and ensure materials are managed appropriately upon collection.
We will manage materials so that the *highest possible quality is attained and we seek to accumulate value* by working with partners to encourage inward investment for our economy.
We will *record complaints and alleged missed collections* and ensure that we respond to these in line with the Code of Practice (CoP).
We will *listen to special requests or challenges* that citizens are having in relation to household waste collections and ensure that we respond to these in line with the Code of Practice (CoP).
We will deliver services so that they *take account of current policies with regards to environmental crime, litter and flytipping* in line with the Code of Practice (CoP).
We will deliver services so that our *staff and citizens are not endangered or at risk from harm* in line with the Code of Practice (CoP).

5.1 CUSTOMER SERVICE

Delivering high levels of customer service are vitally important for ensuring that the recycling service promotes participation of citizens, providing confidence and credibility to the service and building trust and participation.

5.1.1 COLLECTION COMMITMENT

This section outlines requirements for procedures that provide a commitment to citizens on the time, place and type of container for waste and recycling collections and the overall level of service they can expect.

5.1.1.1 Essential elements
The following procedures **shall** be included within the Councils ways of working:

a) Local authorities shall commit to provide a 'regular' collection, i.e. one that is 'recurring at fixed times' and that provides sufficient capacity for each material stream. The time-window and collection point for the collections should be clearly communicated (e.g. "Containers shall be collected from the kerbside between 7am and 10pm").
b) Once waste or recycling is collected, operatives shall return the collection container to the collection point, taking care to be neat and avoiding blocking access (i.e. they shall avoid leaving containers in a position which blocks driveways or pedestrian access along the kerbside). In instances of bad weather (e.g. strong winds or flooding) operatives shall return smaller containers (e.g. boxes or food waste caddies) to within the property boundary where possible.

c) Where there are complaints related to irregular collections or return of containers, liaison shall take place with specific crews and monitoring undertaken to ensure the issue is addressed.

d) Local authorities shall ensure that call centre staff have access to up to date service schedule information and service policies.

5.1.1.2 Desirable elements

The following procedures **should be considered** within the Councils ways of working:

a) Where possible local authorities shall provide same day collections so that each material stream is collected from a given household on the same day of the week (albeit with materials collected at different frequencies).

5.1.2 MISSED COLLECTIONS

On occasion collections will not take place as planned, for example as a result of parked vehicles blocking access to streets, human error or incomplete emptying of containers. It is important that procedures are put in place that deal with 'missed collections' effectively.

5.1.2.1 Essential elements

The following procedures **shall** be included within the Councils ways of working:

a) The Council shall clearly communicate when residents should present their containers for collection (e.g. before 7am on collection day). They shall explain that the Council cannot commit to specific collection times and that routing schedules may change. They should ask citizens to leave any unemptied containers at the collection point until the end of the collection day (e.g. until 8pm).

b) The Council shall adopt a consistent definition which explains what determines a 'missed collection' and when it should be acted upon and reported.

c) Collection operatives shall also have the ability to capture and report information on service issues specific to a property or group of properties which may have prevented collection from taking place as planned. For example:
   I. Severe contamination of recyclables
   II. Container not presented by the resident in time for the collection
   III. Local access issues (e.g. not being able to undertake an assisted collection due to a locked gate)
   IV. Excess waste presented/local flytipping.

d) When the citizen calls to report a missed collection prior to completion of the working day, initial notes shall be taken and contact shall be made with the crew carrying out that collection. However, the call shall not be logged as a 'missed collection' until the day's work has been completed (i.e. after 8pm). Reports of missed containers shall only be accepted and reported after the end of the collection day.

e) The procedure adopted at the customer contact centre (or on-line if self-reporting of issues is made available by the Council) shall ensure that citizens are queried to try to ensure that the issues described in 5.1.2.1c are not applicable.

f) If deemed necessary in agreement with the citizen, collection crews shall return to collect missed containers. The Council shall arrange a suitable time for collection of the missed container from when the missed bin was reported and logged as a missed collection for records.

5.1.2.2 Desirable elements

The following procedures **should be considered** within the Councils ways of working:

a) Collection operatives shall have the ability to capture and report real-time information to the customer contact centre on service issues that prevent collection e.g. vehicle breakdowns, blocked access to collection points (e.g. parked cars). Issues affecting wider areas (e.g. heavy snow) shall be reported by a supervisor/manager to the customer contact centre.

b) Integrated systems can be used to monitor operations, capture service data and address service issues. For example, fitting containers with RFID tags that are coded to an individual property can enable the council to monitor operations (e.g. delays to collections) as back office staff can check the progress of the collection vehicle and/or if individual bins have been emptied.

5.1.3   HANDLING SPECIAL REQUESTS

Special requests are often referred to as 'Pull outs' or 'Assisted lifts'. Such collections are often established for Older People, residents that have a medical condition or a disability and are unable to present their waste and recycling containers at the designated collection point.

5.1.3.1 Essential elements

The following procedures **shall** be included within the Councils ways of working:

a) Citizens shall be required to complete an application for an assisted collection.
    I.   Assisted collections are for residents that have a medical condition or a disability and/or are unable to present their waste and recycling containers to the designated collection point. Applications would be considered where there is no one in the property to assist with the collection.

b) Once approved, the Council shall maintain an accurate and up-to-date list of properties where the citizen requires assisted collections.

c) Collection crews shall collect, and where necessary, return, the container from the same point of collection within the property boundary. This can be based on a risk-assessment for each property if practicable.

d) The Council shall inform the citizen of their responsibility for maintaining access to the collection point for the collection crew.

e) The Council shall review properties receiving a collection at least every 2-years (from the date of application) to monitor whether assisted collections are still required.

5.1.4   REPLACING CONTAINERS

When containers for waste and recycling are lost, broken or stolen, it is important to replace these timeously to provide continuity of service and maintain participation in services.

5.1.4.1 Desirable elements

The following procedures **should be considered** within the Councils ways of working:

a) Standard containers shall be dealt with separately from specialist containers. Replacement containers shall be delivered before the next collection or within 10 working days of notification, whichever is the greater (i.e. if the next collection is in 15 working days' time, the container shall be delivered by then).
    I.   Standard containers are ones that are provided to individual properties. For example 240l, 140l wheeled bins, boxes, bags, caddies etc.

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> II. Specialist containers are ones that are used for communal properties or properties that are not on the typical kerbside collection service.

b) Where the council provides free food waste liners, the resident can request additional liners to be provided by tying the last liner to the caddy handle. The collection crew shall provide a new roll which shall be posted through the letter box or secured in the food waste caddy.

c) Collection crews should be required to report any bins falling into the collection vehicles and/or damaged during collection.

d) Replacement food waste containers and liners should be made available for collection by residents from local offices (e.g. depots, recycling centres, etc.).

5.2 STEWARDSHIP OF COLLECTED MATERIALS

Material stewardship ensures that the materials collected are able to enter the highest quality market for that material as often as possible. There are greater environmental and economic benefits to "closed loop recycling" where a product is used, discarded, captured, and then the component materials recycled into a new product of similar functionality which can itself be used, discarded and captured, to be recycled again, continuously cycling the material resource though the supply chain. Examples include;

- the use of recovered glass cullet in re-melt applications to create new glass products rather than for aggregate in construction;
- the use of recovered plastic to produce, for example, new food and drinks containers rather than construction products;
- the use of recovered paper for the production of new paper products rather than other uses such as animal bedding and insulation.

The Waste Hierarchy Guidance[6] provides further details for a range of common recyclable materials and the highest quality outcomes for each of these.

5.2.1 COLLECTING HIGH-QUALITY RECYCLING MATERIALS

Every stage of the collection, bulking and processing chain is equally important in the stewardship of materials. The first stage is at the point of collection and the following section sets out requirements to ensure high-quality materials are collected.

5.2.1.1 Essential elements
The following procedures **shall** be included within the Councils ways of working:

a) The policies for recycling contamination (Refer to 4.3.2) shall be adhered to.

b) The Council shall adopt communication plans to outline to citizens what can and cannot be recycled. More detail on this is provided in Section 6. .

c) The Council shall ensure that vehicles used for the collection of each of the streams outlined in 3.4.1 shall prevent the cross-contamination of the streams. This shall include the cleaning of vehicles between being deployed for a different purpose.

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[6] Waste Hierarchy Guidance (2013). The Scottish Government. [Online]
http://www.gov.scot/Resource/0042/00420711.pdf [Accessed October 2015].

5.2.2 BULK TRANSFER OF RECYCLING MATERIALS

The second stage of material stewardship occurs at the bulking/transfer station. The priority at this stage should be to ensure that separately collected streams are not mixed with other wastes or materials.

5.2.2.1 Essential elements
The following procedures **shall** be included within the Councils ways of working:

a) A physical barrier between each material stream (e.g. separate bays) shall be maintained.
b) The Council shall ensure that materials are stored safely (e.g. ensuring that fire hazards are understood and that risks are minimised).
c) The Council shall implement procedures to ensure that infrastructure used to transfer recycling and prepare materials for transfer (e.g. vehicles, shovels and balers) are clean, especially when used to handle multiple waste streams.

5.2.2.2 Desirable elements
The following procedures **should be considered** within the Councils ways of working:

a) The Council or its contractors shall, where practicable, store paper/card recycling in a clean and dry environment (i.e. indoors).
b) The Council shall, where practicable, undertake preliminary pre-sorting of materials e.g. operating a picking line to remove obvious contaminants.

5.2.3 ONWARD PROCESSING OF RECYCLING MATERIALS

The Council should ensure that its duty to maintain the high quality of collected recycling is reflected in any contracts that it has with operators undertaking further processing or sorting of materials.

5.2.3.1 Scottish Materials Brokerage Service
The Scottish Materials Brokerage Service was launched in October 2014[7]. The aim of the service is to see supply and demand for high-value recycling matched up, providing certainty of supply for investors and certainty of demand for Councils.

5.2.3.1.1 Desirable elements
The following procedures **should be considered** within the Councils ways of working:

a) The Council shall consider the means of supplying the Scottish Materials Brokerage Service with the material it collects.

5.2.4 PREVENTING LITTER AND FLY TIPPING

Local Authorities will have operational procedures in place to deal with litter and flytipping in order to fulfil their duty under the Environmental Protection Act 1990 section 89 (1&2) to ensure that the land is, so far as is practicable, kept clear of litter and refuse.

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[7] http://news.scotland.gov.uk/News/Striking-gold-from-waste-11ba.aspx

The procedures and policies adopted by Local Authorities to deliver household waste and recycling services should seek to minimise the potential for waste from collection services becoming litter or flytipping.

5.2.4.1.1   Desirable elements
The following procedures **should be considered** within the Councils ways of working:

a) The Council shall ensure there is a synergy between all the operational functions responsible for waste, cleansing and flytipping. To promote more effective and efficient services by ensuring procedures within the different functions complement each other and work in parallel to avoid cross over or double handling of issues. For example:
   I. cleaning any spillages during collection or putting excess waste in the emptied bin to avoid cleansing crews being required to visit the same area;
   II. Ensuring cleansing crews have a copy of the bulky uplift schedule so flytipping is easier to identify.
b) Ensure waste collection services are designed in a way so as to avoid accidental spillage or 'wind-blown' waste from collection containers or vehicles.
   I. This should include containers that are fit for purpose and mechanisms in place for replacing damaged containers;
   II. Up-to-date collection calendars and advice on changes to collection schedules to avoid containers being presented ahead of collection window;
   III. Advice to the public on presenting containers in adverse weather conditions;
   IV. Collection vehicles are fit for purpose and are not open to materials escaping during collection rounds;
   V. Any spillages during collection rounds are cleared by the crew and equipment made available on the collection vehicle to aid this; or if not possible should be reported to the appropriate department as soon as practicable for clearance.

5.3 OPERATIONAL SERVICE DELIVERY: FRONTLINE DELIVERY

The design of services, the policies used to support these and the operational delivery framework for services are all underpinned by frontline staff and the vital role they play in delivering services.

5.3.1   SUPERVISION

The first tier of management that interacts with the drivers and collection operatives has many job titles used (e.g. Supervisor, team leader) across Scotland. For the purposes of this CoP the term 'Supervisors' has been used to describe this first tier of management, which has a key role within the operational delivery of waste and recycling services. Supervisors are typically responsible for ensuring that all collection operations are carried out in compliance with relevant regulation and licences (i.e. operating licence and waste carrier's licence), they provide leadership and make sure that correct health and safety practices are adhered to.

5.3.1.1 Essential elements
The following procedures **shall** be included within the Councils ways of working:

a) The Council shall empower Supervisors to ensure all new staff are adequately inducted to carry out the tasks required of them safely.

b) The Council shall empower Supervisors to ensure that they observe the collection practices of each collection crew on at least a weekly basis to assess the operating practices of the crews.

c) The Council shall ensure that Supervisors meet the requirements of the relevant competency requirements for the role[8]. Where the minimum competency requirements are not being attained, the Council shall provide relevant training to build competency in necessary areas.

5.3.1.2 Desirable elements
The following procedures **should be considered** within the Councils ways of working:

a) The Council shall empower Supervisors to ensure that they speak with all of their drivers and operatives on a minimum basis of once per day, preferably at the start and finish of their collection day.

b) Supervisors shall have the competency required to operate and understand relevant data and computer software that supports the customer service functions of the Council.

c) Supervisors shall have competency to advise customers and act as ambassadors for the waste and recycling service.

5.3.2 WORKFORCE DEVELOPMENT

A competency framework has been established by the Scottish Waste Industry Training Competence and Health & Safety Forum (SWITCH) Competency Framework. By developing the competency framework SWITCH aims to create a Resource Management industry that:

- Is safe and healthy to work in
- Actively supports education, training, learning and development
- Increases workforce capacity and competence
- Develops and shares good practice
- Creates an industry that is attractive as a career choice
- Creates clear career and learner pathways

The roles within the framework are called Levels 1, 2 and 3[9] - this is to avoid assumptions being made if labelled, for example, 'Operator', 'Supervisor' and 'Manager' given the variety of job titles that exist in the sector and the variety of responsibilities that fall within these areas.

5.3.2.1 Desirable elements
The following procedures **should be considered** within the Councils ways of working:

a) The Council shall ensure that all staff are measured against the requirements for each role within the SWITCH Competency Framework to understand the development opportunities for each staff member.

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[8] http://www.ciwm.co.uk/web/FILES/ScotlandRDO/Framework.pdf

[9] Level 1 - basic operative level, responsible for own area of work, carries out duties as prescribed by the supervisor. Level 2 - has the knowledge and skills to carry out the work unsupervised and could be leading a small team of others, maintaining productivity and resolving problems as they arise. Level 3 - responsible for controlling/administering teams/a group of staff. Plans and directs the work of a group of individuals, monitoring their work and taking corrective action where necessary.

b) The Council shall ensure that adequate provision is made to address the competency development opportunities for each staff member over a period of time.

5.3.3 RISK ASSESSMENTS

Guidance on Health and Safety, including risk assessments is provided by the Health and Safety Executive (HSE)[10].

The Management of Health and Safety at Work Regulations 1999 require employers to suitably and sufficiently assess and control the risks their activities present to their employees and others. The assessment should identify:

- the hazards that can cause harm, what kind of harm and how likely it is to happen;
- who is at risk (such as workers, contractors, subcontractors, agency or temporary workers, members of the public or visitors);
- the appropriate control measures needed to eliminate or reduce the risks so far as is reasonably practicable.

Risk assessment is about identifying and taking sensible and proportionate measures to control the risks in your workplace, not creating huge amounts of paperwork.

5.3.3.1 Essential elements
The following procedures **shall** be included within the Councils ways of working:

a) The Council shall undertake route risk assessments in line with the guidance provided by the Health & Safety Executive[11] on this subject.

5.3.3.2 Desirable elements
The following procedures **should be considered** within the Councils ways of working:

b) The Council shall meet the British Standard OHSAS 18001 (due to be replaced in October 2016 by ISO 45001). Adopting an effective occupational health and safety management system promotes a safe and healthy working environment by providing a framework that allows your organisation to identify and control its health and safety risks, reduce the potential for accidents, aid legislative compliance and improve overall performance.

5.3.4 ROUTING SOFTWARE

Computer software packages to plan collection routes have been proven to help improve the efficiency and effectiveness of collection routes. This section sets out requirements relating to the use of these.

5.3.4.1 Desirable elements
The following procedures **should be considered** within the Councils ways of working:

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[10] Health and Safety Executive. 2015. Waste management and recycling. [Online] http://www.hse.gov.uk/waste/index.htm [Accessed October 2015].
[11] Health and Safety Executive. 2015. Waste management and recycling. [Online] http://www.hse.gov.uk/pubns/waste23.pdf [Accessed October 2015].

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a) The Council shall utilise computer software, based on clean GIS information drawn from the Council's Corporate Address Gazetteer or equivalent tools, to plan and maintain collection routes.
b) The Council shall utilise in-cab technology to support route risk assessment, monitoring of performance data (e.g. contamination) and customer service functions (e.g. linking to Customer Relationship Management (CRM) system) of the waste and recycling service.
c) The Council shall utilise property identification systems (e.g. RFID, NIR) to capture performance information (e.g. contamination, set-out).

5.3.5 COLLECTING FROM RURAL AREAS, PRIVATE ROADS AND LANE-ENDS

In rural areas or where there are private roads or inaccessible lanes, issues often arise from:

- Operational efficiency (e.g. preventing excess travel and manoeuvring to service single or small numbers of properties)
- Liability (e.g. the risk of damage to non-council maintained property / roads)
- Health & Safety (e.g. accessing roads / locations which may present an operational risk due to road condition or other reason)
- Access (e.g. restricted access for vehicles or crews which may include width, turning areas, weight limits.)

Operational practices are usually implemented to overcome these issues and this section lays out the requirements relating to these.

5.3.5.1 Essential elements
The following procedures **shall** be included within the Councils ways of working:

a) The Council shall clearly identify where properties cannot be collected within the typical collection approach (e.g. Kerbside from the front or rear of individual properties or communal areas).
  I. This will state the reason for a non-typical collection, such as:
      - journey time from the nearest adopted road being excessive;
      - turning area within property for collection vehicle being inadequate;
      - permission is required to access a private road (and liability for gaining access being waived).
  II. The method of assessment shall be made available to the citizen upon request.
b) The Council shall write to all properties impacted by the non-typical collection to inform them of the reasons for their collection and stating the location that containers should be placed for collection.
  I. Collections may take place from the nearest accessible road that is adopted by the Council or accessible, with appropriate permissions, for collection vehicles.
c) The Council shall provide planning advice to developers to prevent, where possible, the building of new developments or re-developments that will lead to non-typical collection.

5.3.6 MONITORING PERFORMANCE

Monitoring, interpreting and analysing data and information is vital to ensuring that the strengths and weaknesses of any service are understood and areas for improvement are recognised. Guidance

on general best practice for managing performance is available from WRAP[12]. This CoP sets out approaches to:

- **Waste composition analysis:** Where samples of wastes from a representative sample of properties is split into the constituent parts. This helps understand what citizens are wasting, the proportions of each material and the most common container for each material (i.e. non-recyclable waste, dry recycling etc.).
- **Waste Data:** Every piece of waste that is collected is weighed at some point in the collection, bulking and reprocessing chain. This data is collected and collated by all councils to report to SEPA via the Wastedataflow system.
- **Set-out and participation rate:** Where collection routes, or representative samples from routes, are monitored at each collection cycle to observe properties that are setting containers out for collection. Participation rate is calculated over 3 cycles and where a property sets out a container at least once within that cycle, they are deemed to be participating in that service.

5.3.6.1 **Desirable elements**
The following procedures **should be considered** within the Councils ways of working:

a) The Council shall carry out waste compositional analysis of all mixed waste streams (i.e. non-recyclable waste and mixed recyclates) on a minimum basis of every 3 years or prior to any major service change.
    I.   Analysis will be taken from a representative sample and carried out over two seasons (e.g. Autumn/Summer) and follow the Zero Waste Scotland methodology[13].
    II.   Separately collected streams (e.g. garden waste, glass, food waste) shall be analysed separately and included in the results to show total waste composition.
    III.   Analysis prior to a major service should occur at least 3 months prior to the first new collection date.
b) The Council shall record waste data from all sources and prepare spreadsheets for the completion of Wastedataflow on at least an annual basis.
c) The Council shall carry out analysis of the set out and participation rate for dry recycling and food waste collections.
    I.   This should be carried out on either a minimum of 20% of collection routes per annum OR by focussing on collection rounds where the recycling yield per household is less than the Council average.

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[12] Monitoring and evaluation guidance. WRAP [Online] http://www.wrap.org.uk/content/monitoring-and-evaluation-guidance [Accessed October 2015]
[13] WCA Methodology Guidance. Zero Waste Scotland [Online] http://www.zerowastescotland.org.uk/our-work/local-authorities [Accessed October 2015]

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Section 6: Communicating with citizens

Regular and effective communication to citizens is essential to ensuring that service potential is realised.

The Household Recycling Charter states:

We will ***clearly explain to all citizens*** what services we provide by providing information on a regular basis. This will take recognition of different housing types, collection routes and service availability and be as specific to each property as necessary, in line with the Code of Practice (CoP);

We will ***deliver service information directly*** to citizens periodically in line with established Code of Practice (CoP); and

We will ***provide clear instructions to citizens on what can and cannot be recycled***, giving clear explanations where materials cannot be competently recycled.

6.1 BRANDING AND TONE

The national Recycle for Scotland brand is the primary focus of communications delivered directly to citizens. This provides a consistent brand, messaging and tone.

6.1.1　Essential elements

The following procedures **shall** be included within the Councils ways of working:

    a) The Council shall use national branding (e.g. Recycle for Scotland) as the basis for its communication related to waste and recycling services.

6.2　PLANNED COMMUNICATION

Planning communication is important in maintaining participation from citizens. The following sections cover routine communication, major service changes and targeting poor performance.

6.2.1　ROUTINE COMMUNICATION

Routine communication is planned and provides updates, reminders and important information relating to current services. The impact of communications is maximised when multiple channels are used to ensure the widest possible reach and coverage and to reinforce key messages. This can include: printed collateral (e.g. leaflets and calendars), online information (e.g. Council website and online advertising), social media, PR, local media advertising, locally available outdoor advertising (e.g. bin stickers and vehicle liveries).

6.2.1.1 Essential elements

The following procedures **shall** be included within the Councils ways of working:

    a) The Council shall complete a communications plan each year to plan its communications with citizens.

I. Information on preparing a communications plan is available from Zero Waste Scotland's guide '*Improving recycling through effective communications*'[14].

II. This shall be reported and agreed with senior managers.

III. Scottish Government and/or Zero Waste Scotland may also set out a National plan for communications activity. The Council should align their activities with this wherever practicable.

b) The Council shall carry out communication activities annually in line with the communication plan. As a minimum the following list, although not exhaustive, indicates the information that shall be provided:

I. Information on collection days/patterns;

II. Information on what containers are to be used for recyclable and non-recyclable items.

III. Information on what items can be recycled at kerbside or recycling points (yes/no lists for each container) using consistent, tested terminology.

IV. Information on how to dispose of items that are not collected at the kerbside via HWRCs or reuse organisations;

V. Information on what happens to materials that are collected for recycling;

VI. Where possible, information on any specific, local benefits of recycling;

c) The Council shall make routine service information available on its website.

d) The Council shall provide information directly to citizens to inform them of planned variations to the normal service.

I. This will be for changes in collection days or schedules resulting from seasonal holidays, bank holidays or other changes (e.g. planned road closures)

6.2.1.2 Desirable elements

The following procedures **should be considered** within the Councils ways of working:

a) The Council shall provide an annual collection calendar in a durable format for the citizen to refer to.

b) The Council shall label non-recyclable bins or recycling containers annually with information relating to the effective use of the service.

I. 'Stop stickers' placed on non-recyclable bins are effective at encouraging the prevention of food waste and dry recyclates from entering the non-recyclable waste stream.

c) The Council shall have a scheduled programme of social media messaging within the Communication Plan.

I. Social media is an effective means of sharing positive messages and to normalise positive behaviours. Links should be made with any national campaigns to maximise the impact of the campaigns locally.

d) Where available, the Council shall promote the waste and recycling services annually via a corporate magazine delivered directly to properties and/or made available online.

6.2.2 MAJOR CHANGES TO SERVICES

Planned service changes can create communications challenges but they are also a key opportunity to reinforce overall recycling information and motivational messaging.

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[14] Improving recycling through effective communications. WRAP [Online]
http://www.wrap.org.uk/sites/files/wrap/IRTEC_Revision_12_6_13_0.pdf [Accessed October 2015]

6.2.2.1 **Desirable elements**

The following procedures **should be considered** within the Councils ways of working:

a) The Council shall complete a communication plan 20 weeks prior to the scheduled date of the first collection of the new service.
  I. This shall be agreed with senior managers and any supporting partners (e.g. Zero Waste Scotland).

b) The Council shall provide a 'teaser' message to the property between 4-6 weeks from the date of first collection.
  I. This will be on printed media posted or delivered to the property providing information covering:
    - What is the change and when is it happening
    - Define the reason for the change
    - Reinforce the economic and environmental benefits supporting the change
    - Contact details for more information

c) The Council shall provide a 'Key information' message to the property at the time where new containers are delivered for the new service or after the last unaffected collection where no new containers are being supplied.
  I. This will be on printed media posted or delivered to the property providing information covering:
    - What the service looks like – what infrastructure is available
    - What materials the service collect and importantly does not collect using standard terminology and iconography
    - The recycling journey – what happens to the materials collected, with localised examples where appropriate
    - Collection day details
    - Contact details for more information

d) The Council shall provide press releases to all relevant media outlets informing them of the changes in service and the areas effected.
  I. The press releases will be timed to align with the 'teaser' and 'key information' messages being sent to properties.

e) The press release will be aligned with social media updates. The Council shall recruit recycling advisors before and after the first collection.
  I. Recycling advisors shall be deployed to:
    - support the delivery of communications materials to properties;
    - provide support to operational teams as the service commences;
    - provide advice to citizens in person or by phone;
    - provide support to crews delivering new containers; and
    - carry out visits to properties to discuss any issues with citizens (e.g. contamination/additional capacity requests).

6.3 REACTIVE COMMUNICATION

Managing reactive communication is equally as important as managing planned communication, to avoid affecting the public perception of the waste and recycling service and avoid undermining confidence in participating in recycling and reuse.

This section sets out requirements for managing communication when there are disruptions to services or where operational issues, such as contamination problems, need to be addressed.

6.3.1 DISRUPTIONS TO SERVICES

Disruptions to services can happen at any time, for reasons including:

- Severe weather causing hazardous conditions for vehicles and collection crews or blocking access to certain roads or areas (e.g. snow, ice or flooding); and
- Road accident or road closure blocking access to areas; and
- Vehicle breakdowns; and
- Industrial action.

Councils should have plans in place to ensure that where disruptions do occur, citizens are given the best opportunity to access crucial information that maintains their confidence in the service.

6.3.1.1 Essential elements

The following procedures **shall** be included within the Councils ways of working:

a) The Council shall have an agreed protocol for communicating service disruptions.
   - I. This shall include social media channels and the Council website.
   - II. This may include local media.
   - III. This may include direct communication (e.g. stickers on bins or printed media delivered to properties) and text messages alerts, where available and appropriate.
   - IV. This shall include timescales for when communication will take place to maximise awareness and minimise confusion.
b) The Council shall include with the communication the following:
   - Define the disruption and what changes can be expected;
   - Inform when services are expected to return to normal; and
   - Advise where the most up-to-date information can be found
   - Encourage citizens to speak to neighbours and friends to spread the message.

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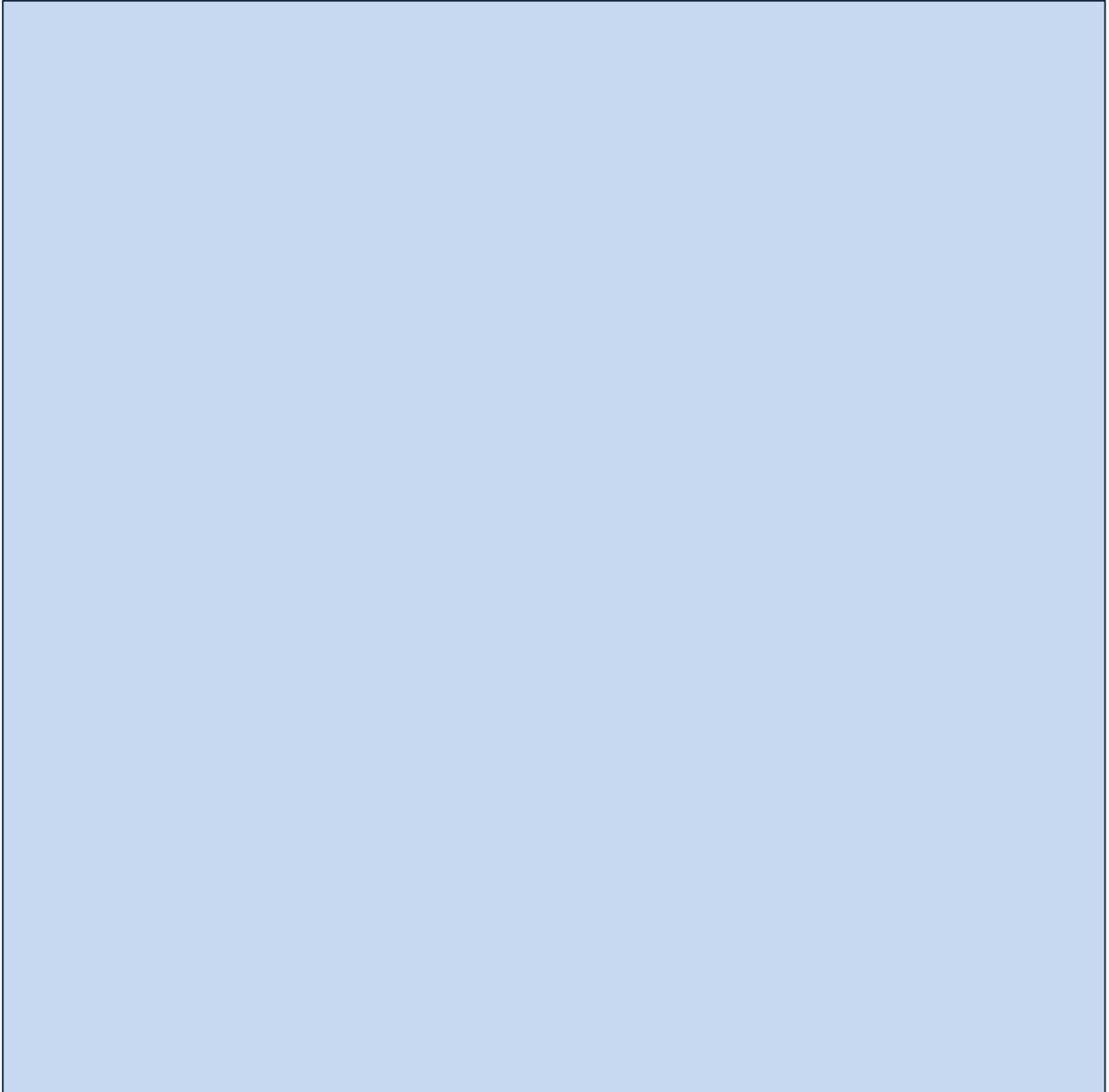
Change Log

DATE	AMENDMENTS/ADDITIONS
December 2015	Version 1 approved
March 2016	Formatting edits. Version 2 approved.