

## Headlines

In previous years, a table of headline figures was provided in the Management Summary showing how the current year's totals compared to those of the previous year. However, this year (2015/16), twenty one of the authorities failed to submit a return. Therefore a table has not been provided, on the grounds that any comparison of absolute numbers would be misleading.

## Management Summary

### 1 About the Local Pollution Control Statistical Survey

#### 1.1 Background

Local authorities (i.e. councils, unitary authorities and port health authorities) across England & Wales are responsible for regulating a number of industrial processes whose emissions could have a detrimental effect upon the atmosphere.

The processes regulated by local authorities are partitioned into two types:

- Part A2 activities; and
- Part B activities.

A local authority's regulatory role encompasses:

- the initial authorisation or "*permitting*" of processes;
- inspecting operational installations;
- amending or revoking permits, where necessary; and
- prosecuting operators in those cases where processes fail to comply with regulations.

Defra's Local Pollution Control Statistical Survey (LPCSS) provides quantitative insight into each of these aspects of local authorities' regulatory roles.

Defra has commissioned its annual Local Pollution Control Statistical Survey (LPCSS) since 1991. The survey provides an annual snapshot of local authorities' regulation performance during the previous twelve months. The Department publishes the findings from the LPCSS in a form intended for several distinct groups:

- the general public;
- industry;
- policy groups within Defra; and
- the European Union.

This year's survey questionnaire asked local authorities about their performance during the twelve-month period from 1<sup>st</sup> April 2015 to 31<sup>st</sup> March 2016. It consists of three distinct parts:

- a Part B sub-survey captures information about installations regulated under the Local Authority Pollution Prevention Control (LAPPC) regime;
- a Part A2 sub-survey captures information about installations regulated under the Local Authority Integrated Pollution Prevention and Control (LA-IPPC) regime; and
- a Common Questions sub-survey collects information that is common to, or independent of, the types of installation.

Five years ago, Defra adopted a new set of regions for analysing the returns from the LPCSS; it also made use of an updated set of indices of multiple deprivation (IMD) from the Department for Communities and Local Government (DCLG). As a result, readers are advised to take care when

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comparing the figures from recent years' surveys, where broken down by region or deprivation quartile, with the corresponding figures from reports more than five years ago.

### 1.2 Changes to this year's survey

The bulk of this year's survey questionnaire is the same as that used last year. However, additional questions were asked regarding IED installations (questions 18.3 and 18.4) and income versus costs (question 11.3).

### 1.3 Response rate (Table 24, Annex A)

Defra asked all three hundred and fifty seven (357) local authorities and port health authorities in England and Wales to take part in the survey. The Department received a completed questionnaire from 334 authorities. Twenty one (21) authorities did not submit a return: Brent, Copeland, Denbighshire, East Hampshire, East Lindsey, Gedling, Guildford, Hounslow, Kingston upon Thames, Liverpool, Merthyr Tydfil, Mole Valley, Nottingham, Scarborough, Stratford-on-Avon, Tendring, Daventry, Eastleigh, Forest of Dean, Gwynedd and Havering. 2 of the Port Health Authorities submitted data via neighbouring authorities and are not included in the 21.

The table below lists the LAs which did not register for the survey, the last year for which they submitted data and the number of B and A2 processes in that year within the LA.

	Last reported year of data	B	A2
Brent	2014/15	85	0
Copeland	2014/15	27	0
Denbighshire	2013/14	44	1
East Hampshire	2013/14	26	0
East Lindsey	2014/15	46	0
Gedling	2014/15	28	3
Guildford	2014/15	34	1
Hounslow	2014/15	64	0
Kingston upon Thames	2014/15	38	0
Liverpool	2014/15	47	1
Merthyr Tydfil	2014/15	19	0
Mole Valley	2014/15	25	2
Nottingham	2014/15	71	0
Scarborough	2013/14	54	1
Stratford-on-Avon	2014/15	41	0
Tendring	2014/15	39	0

The table below lists the LAs which registered but did not submit data for the survey, the last year for which they submitted data and the number of B and A2 processes in that year within the LA.

	Last reported year of data	B	A2
Daventry	2014/15	24	0
Eastleigh	2013/14	36	1
Forest of Dean	2013/14	43	3
Gwynedd	2014/15	48	0
Havering	2014/15	49	0

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The following LAs did not submit a return in 2014/15, but have submitted a return this year (2015/16):

	B	A2
Blackpool	32	0
Herefordshire	79	3
Shropshire UA	108	5
Oadby & Wigston	15	0

The response rate for the survey as a whole was 94% this year, down from 97% the previous year.

Between them, the authorities that did not submit in 2015/16 accounted for approximately 888 B processes and 13 A2 processes when they last participated in the survey. The authorities that did not submit a return last year (2014/15) but did submit a return this year (2015/16) reported that they had a total of 234 B processes and 8 A2 processes. Therefore, throughout this document, the reader should be aware of these differences especially when comparing figures across different years.

### *1.4 Format of returns (Tables 4a and 4b, Annex B)*

All authorities that submitted a questionnaire completed the web-based version of the survey. As in previous years, Defra asked authorities to record the time that it took them to complete the survey questionnaire. This year it took authorities an average of 6.9 hours, some 0.5 hours shorter than last year's average of 7.4 hours.

### *1.5 Inconsistencies and grossing*

As in previous years, members of the Defra and Hartley McMaster project teams contacted authorities and resolved inconsistencies by e-mail or over the 'phone.

## 2 Key findings from analysis of Part B installations

Throughout this chapter, readers should bear in mind that:

1. twenty one LAs failed to submit a response in this year's survey; and
2. between them, the 21 LAs accounted for nearly 900 B installations

### 2.1 Applications and decisions (Tables 1 – 2 and 7 – 8, Annex A)

The numbers of applications received and decided for new Part B installations reported in the 2015/2016 survey were slightly lower than last year (however, this is based on a lower survey response rate.) The number of withdrawn applications remained the same as last year.

Authorities across England & Wales that submitted responses to the survey reported having received 369 applications for new B installations in 2015/2016. They also reported having made decisions on 441 applications during the same period. Amongst these 441 decisions, 328 (74%) were for reduced fee Part B installations with the remaining 113 (26%) decisions for standard (full) fee installations.

Authorities reported having 93 applications on hand at the end of 31st March 2016.

The time taken to make a decision is defined as the time from an application being received to a permit being granted. During 2015/2016, authorities made 328 decisions for the categories of waste oil burners (<0.4MW), service stations, dry cleaners and vehicle refinishing: 70% of these applications were decided in under two months, 25% were decided in two to four months, while the remaining 5% took over four months to decide.

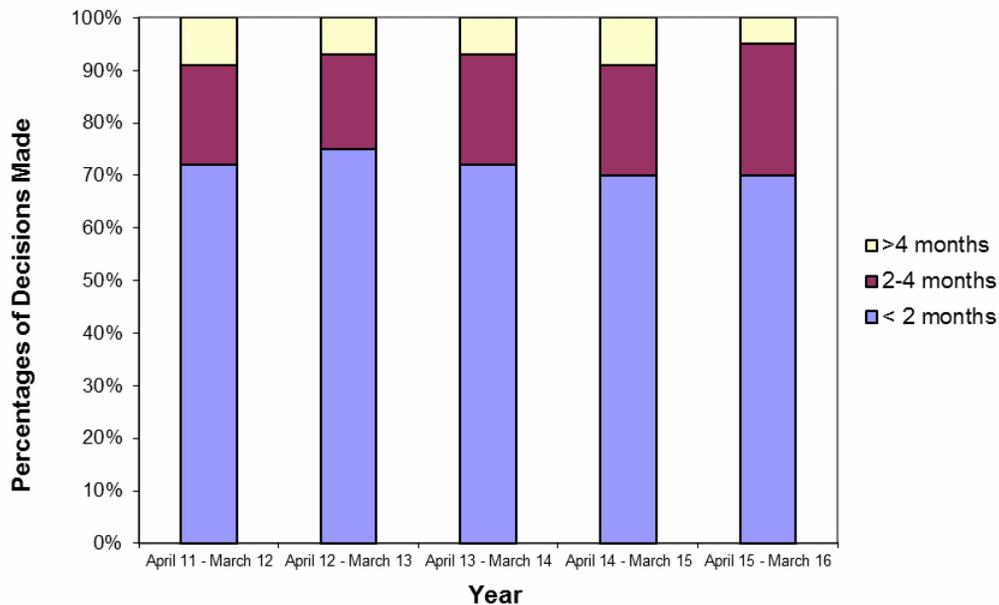


Figure 2.1: Percentages of reported decisions made within specified times on applications for **reduced fee** Part B installations, by year. (chart based on 359 decisions in 2011/12, 263 decisions in 2012/2013, 358 decisions in 2013/14, 379 decisions in 2014/2015 and 328 decisions in 2015/16)

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Between them, the remaining (standard) categories of installation accounted for 113 applications: of these, 73% took less than four months for a decision, 16% took between four and six months, while the remaining 11% of these applications took more than six months for a decision.

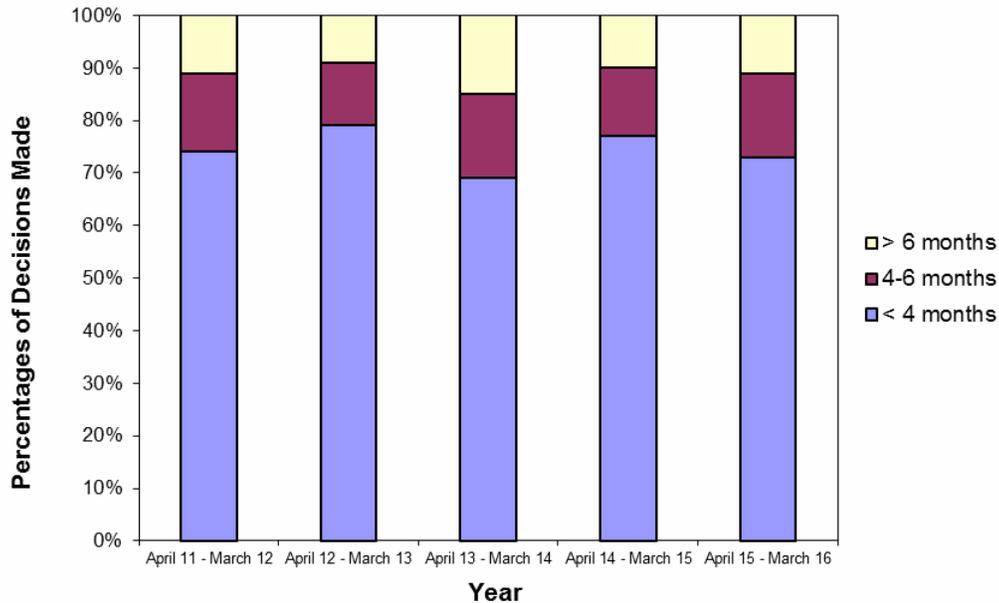


Figure 2.2: Percentages of reported decisions made within specified times on applications for **standard (full) fee** Part B installations, by year. (chart based on 222 decisions in 2011/12, 171 in 2012/13, 126 in 2013/2014, 116 in 2014/2015 and 113 in 2015/16).

### 2.2 Permitted installations (Tables 3 – 6, Annex A)

LAs reported that there were 16,680 permitted Part B installations throughout England and Wales in 2015/2016. Corresponding figures in previous years were 17,368 in 2014/15, 17,787 in 2013/14 and 17,930 recorded in 2012/2013. However, as noted in the opening section of this chapter, the 21 LAs that failed to submit a return this year accounted for nearly 900 B permits in their most recent return.

### 2.3 Notices (Table 11, Annex A)

Authorities that submitted a return across England & Wales served 1,108 notices (excluding revocations) on Part B installations in 2015/2016. Amongst the 1,108 notices served this year, 1,051 were variation notices. The number of reported enforcement and prohibition notices served during the same period was 35.

### 2.4 Enforcement policies (Table 13, Annex A)

99.4% of authorities reported that their LAPPCC enforcement complies with the Regulators Compliance Code. This represents a 0.3% decrease relative to last year's figure of 99.7%. The 2 non-compliant authorities had between 11 and 50 installations, belonged to the English shire districts local authority group, with one apiece in East Anglia and South East regions.

**2.5 Inspections (Tables 15 - 16, Annex A)**

**Inspections – General Data**

In 2015/2016, authorities carried out an average of 1.07 inspections on a new installation prior to a decision being made.

For authorities that submitted a return for 2015/16, the average number of inspections per permitted, full fee installation (excluding such processes as waste oil burners (<0.4MW), service stations, dry cleaning and vehicle refinishing) was 1.19. The average number of inspections for reduced fee activities (such as waste oil burners (<0.4MW), service stations, dry cleaning and vehicle refinishing) was 0.51.

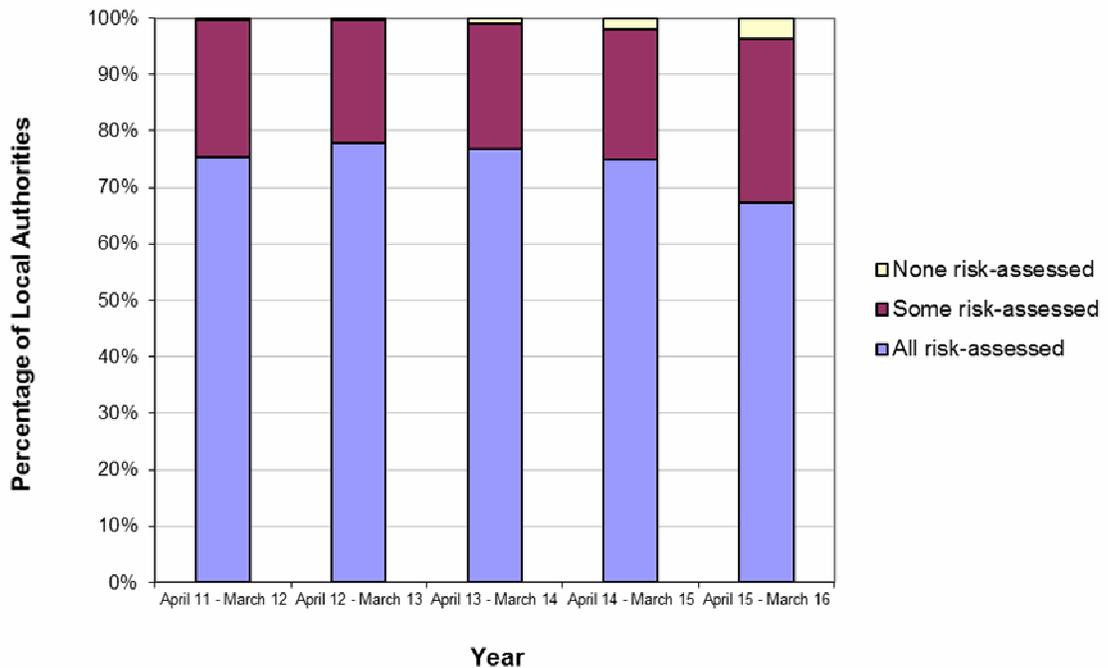
For inspections not in connection with applications, the majority (67%) of inspections last between half an hour and two hours. There was at least one installation requiring inspections over two hours for all process types except Gasification, Asbestos, Reduced fee using PG3/17 only and Reduced fee using PG6/42 only. Two process types incurred inspections lasting longer than two hours for all inspections: Glass & glass fibre and Reduced fee using PG6/19 only.

**Risk Assessment**

Installations are classified into three groups:

- Group I – Standard installations
- Group II – Vehicle refinishing (PG6/34b only) and mobile plant
- Group III – Other reduced fee activities (small waste oil burners, dry cleaners, petrol stations (PVRI and II))

224 authorities (67% of the authorities that submitted a return) reported that they had risk-assessed all of their installations during 2015/2016. In 2014/2015, the corresponding fraction was 75%. Ninety seven (97) authorities reported that they had risk-assessed some (but not all) of their installations during 2015/2016. Twelve (12) authorities reported having risk assessed none of their installations.



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Figure 2.3: Percentage of local authorities, by year, that have risk-assessed all, some or none of their Part B installations. (353 local authorities in 2011/12, 351 in 2012/2013, 350 in 2013/2014, 343 in 2014/2015 and 333 in 2015/16)

15,033 installations had been risk assessed by the end of 2015/2016; this represents 90.1% of all permitted Part B installations, 2.2% lower than the corresponding fraction last year, viz. 92.3%.

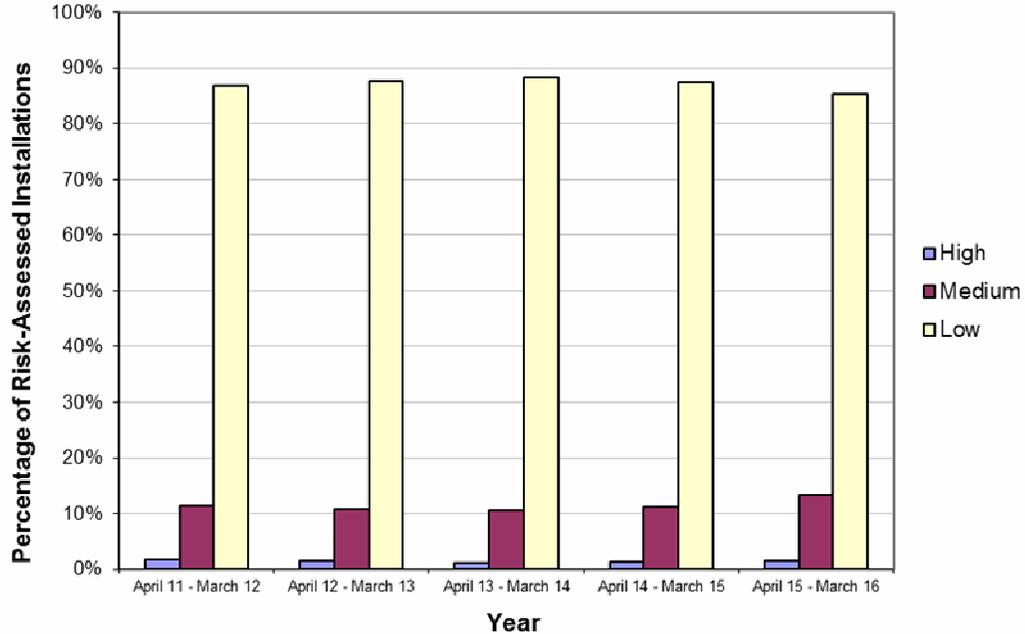


Figure 2.4: Percentages of risk-assessed Part B installations classified as high, medium or low risk, by year. (17,190 risk-assessed installations in 2011/2012; 16,716 in 2012/13; 16,581 in 2013/2014, 16,025 in 2014/2015 and 15,033 in 2015/16)

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Amongst risk-assessed installations in 2015/2016, 16% (2,385) were standard installations (Group I), 23% (3,387) were vehicle refinishers or mobile plant (Group II), while the remaining 62% (9,261) were other reduced fee activities (Group III). The breakdown of risk-assessed installations by category of risk is shown in the following table:

	<b>Group I (previous years in brackets)</b>	<b>Group II</b>	<b>Group III</b>
<b>High</b>	4.7% (5.0% in 2014/2015, 3.7% in 2013/2014, 3.0% in 2012/2013, 3.3% in 2011/12, 3.5% in 2010/2011, 3.4% in 2009/2010, 3.3% in 2008/2009, 3.0% in 2007/2008 and 4.0% in 2006/2007)	1.3% (0.7% in 2014/2015, 0.8% in 2013/2014, 1.1% in 2012/2013, 0.7% in 2011/2012, 0.9% in 2010/2011, 1.2% in 2009/2010)	0.7% (0.6% in 2014/2015 0.6% in 2013/2014, 1.0% in 2012/2013, 1.1% in 2011/2012, 1.2% in 2010/2011, 1.4% in 2009/2010)
<b>Medium</b>	33.8% (31.9% in 2014/2015 29.7% in 2013/2014, 24.2% in 2012/2013, 24.5% in 2011/2012, 25.7% in 2010/2011, 28.6% in 2009/2010, 29.2% in 2008/2009, 32.8% in 2007/2008 and 36.3% in 2006/2007)	9.5% (7.9% in 2014/2015 8.2% in 2013/2014, 7.4% in 2012/2013, 7.7% in 2011/2012, 9.2% in 2010/2011, 11.1% in 2009/2010)	9.4% (6.9% in 2014/2015 5.8% in 2013/2014, 6.2% in 2012/2013, 6.7% in 2011/2012, 6.7% in 2010/2011, 8.7% in 2009/2010)
<b>Low</b>	61.6% (63.2% in 2014/2015 66.9% in 2013/2014, 72.8% in 2012/2013, 72.2% in 2011/2012, 70.8% in 2010/2011, 68.0% in 2009/2010, 67.5% in 2008/2009, 63.2% in 2007/2008 and 59.3% in 2006/2007)	89.2% (91.4% in 2014/2015 91.0% in 2013/2014, 91.5% in 2012/2013, 91.6% in 2011/2012, 89.9% in 2010/2011, 87.6% in 2009/2010)	89.9% (92.4% in 2014/2015 93.6% in 2013/2014, 92.8% in 2012/2013, 92.2% in 2011/2012, 92.1% in 2010/2011, 89.9% in 2009/2010)

### Inspections – Risk-based Data

Authorities carried out a total of 9,685 inspections on risk-assessed installations this year. Of these 8,464 were full inspections, 799 were check inspections and the remaining 422 were extra inspections.

Defra and WAG's guidance stipulates that a high-risk, standard (i.e. Group I) installation should receive two full inspections and one check inspection per year, while all other groups (i.e. Groups II and III) of high risk installation should receive one full inspection and one check inspection per year. A medium risk group I installation should receive one full and one check inspection per year; all other medium risk installations should receive one full inspection per year. The inspection frequency for a low-risk installation also depends on the group, with standard (Group I) installations requiring one full inspection per year, Group II installations requiring one full inspection every two years and Group III installations requiring one full inspection every three years. The inspection performance cannot be assessed for low-risk installations in Groups II and III as there is no fixed number of inspections required in any specific year.

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For standard (Group I) installations of all risk categories, 14% of authorities carried out more full inspections than were required – an increase from last year when the corresponding figure was 12%.

110 authorities carried out fewer full inspections on Group I installations than required, compared to 107 last year. The proportion of authorities that carried out more check inspections than required on Group I installations in 2015/2016 is 8%, less than the corresponding fraction (11%) last year, while the proportion of authorities carrying out fewer check inspections than required has increased to 41% this year from 35% in 2014/2015. The breakdown of inspection performance for Group I installations, by category of risk, is shown in the following table:

	<b>More inspections than required</b>	<b>As many inspections as required</b>	<b>Fewer inspections than required</b>
<b>High Risk</b>			
Full	9%	43%	48%
Check	10%	41%	48%
<b>Medium Risk</b>			
Full	14%	61%	25%
Check	2%	36%	62%
<b>Low Risk</b>			
Full	9%	56%	34%
Check	13%	87%	0%

For group II installations assessed as high or medium risk, 13% of authorities carried out more full inspections than required, 18% conducted more check inspections than required, while 36% conducted fewer full inspections than required and 12% conducted fewer check inspections than required.

For group III installations assessed as high or medium risk, 6% of authorities carried out more full inspections than required, 8% conducted more check inspections than required, while 42% completed fewer full inspections than required and 20% conducted fewer check inspections than required.

Overall, 46% of authorities that submitted a return, carried out fewer full inspections than required. Of these 139 authorities, 37% provided a reason for the shortfall. Amongst those authorities that completed less than 80% of their expected full inspections, the most frequent explanations involved:

- Lack of available staff;
- Processes mothballed or not operating for other reasons;
- Mobile equipment being out of area

Twelve (12) authorities reported having risk-assessed no installations (by virtue of not filling in the classification of risk section of the survey). 5 of these authorities reported having carried out some inspection visits in section 5.6.3 of the survey. However, as they did not fill in any information in section 5.6.2 of the survey (classification of risk), it is not possible to include their inspection performance in the overall percentages.

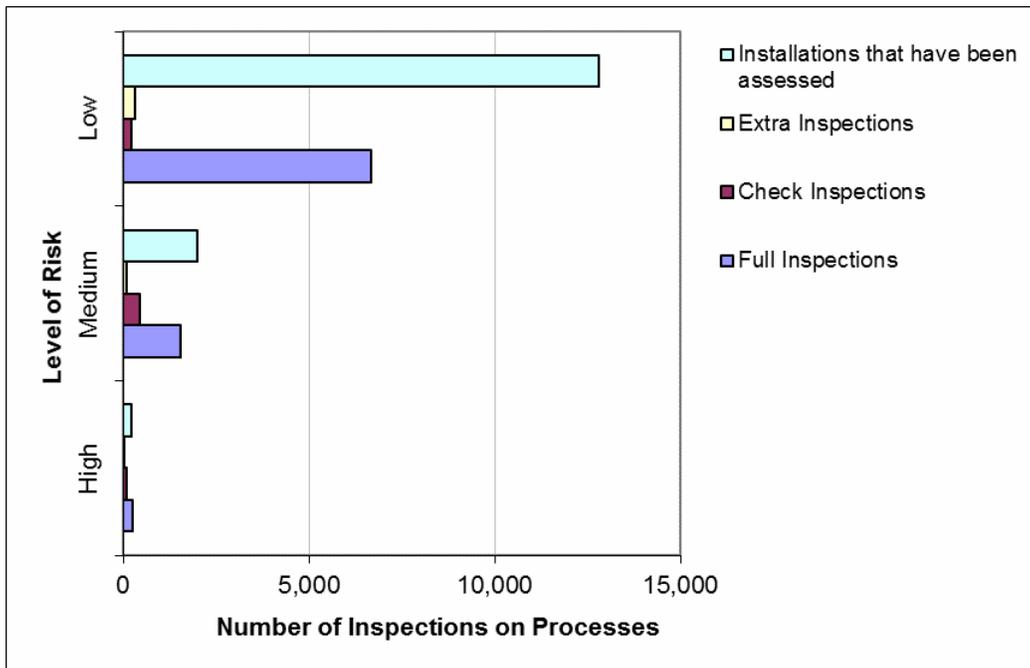


Figure 2.5: Inspections performed on risk-assessed Part B installations, broken down by level of risk. (9,685 inspections; 15,033 risk-assessed Part B installations)

## 2.6 Monitoring (Table 17, Annex A)

Data is reported in only two groupings: standard installations, and reduced fee activities. 52% of the 2,869 standard installations provided monitoring information, with the data from 23.6% of these requiring more than two hours to examine. Among the remaining 13,811 reduced fee activities, 22% provided monitoring information, with authorities having to spend more than two hours examining the monitoring data from 10% of them.

## 2.7 Fees and charges (Tables 19 – 20, Annex A)

Authorities that submitted a return<sup>1</sup> reported their total income received in 2015/2016 as £3.8m. The 2015/2016 figure represents an average of £11,429 for the 334 authorities that reported their income.

<sup>1</sup> The reader is reminded that the figures reported here exclude 21 LAs. These missing authorities reported having nearly 900 B installations when they last submitted a completed survey questionnaire.

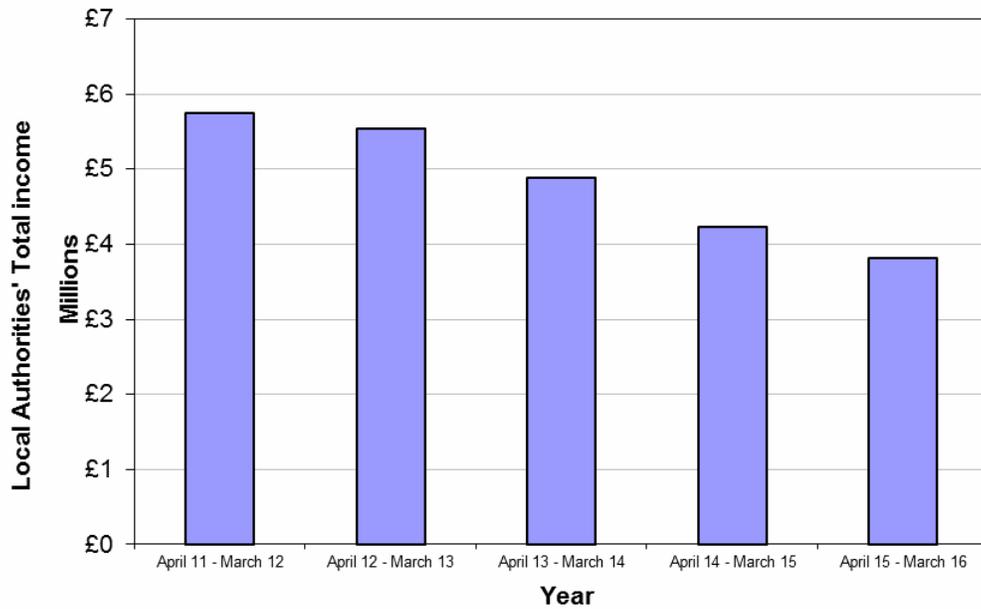


Figure 2.6: Total income from application fees and annual charges for Part B installations for local authorities across England & Wales, by year (2011-2016)

### 2.8 Cost accounting (Table 22, Annex A)

301 (90% of authorities that submitted a return) accounted separately for costs and income associated with LAPP by 31st March 2016. The corresponding figures in previous years were as follows: 92% of authorities in 2014/15, 91% of authorities in 2013/2014, 91% of authorities in 2012/2013, 92% of authorities in 2011/2012, 90% in 2010/2011, 90% in 2009/2010, 91% in 2008/2009, 86% in 2007/2008, 82% in 2006/2007 and 83% in 2005/2006.

### 3 Key findings from analysis of the Common Questions

#### 3.1 Prosecutions and cautions (Tables 1a and 1b, Annex B)

During 2015/2016, nine (9) prosecutions were reported and six (6) formal cautions were issued. As of 31st March 2016, one (1) of the prosecutions was pending, two (2) of the prosecutions were withdrawn and the remaining six (6) prosecutions had been successful. The successful prosecutions had resulted in fines totalling £201,205, with the largest being for £110,600. This is an increase from last year's figure of £61,130 for total fines; in 2013/2014 the corresponding total fines figure was £130,000.

#### 3.2 EU Legislation Data (Tables 2a-2e, Annex B)

All (100%) of the authorities that submitted a return think that their installations comply completely or substantially with the legislation on Minimum Inspection Criteria. 119 (36%) authorities carried out more inspections during 2015/2016 than they had planned, whereas 116 (35%) carried out fewer than planned.

As in recent years' surveys, over nine tenths (95%) of authorities that submitted a return reported that they draw up an inspection plan at the beginning of the reporting year. 16% of authorities carry out visits that are co-ordinated with other agencies.

The majority (84%) of authorities communicate their inspection reports to the site operators both orally and in writing. A further 13% of authorities communicate their inspection reports just in writing. 91% of authorities now make their inspection reports available to the public.

#### 3.3 Solvents Emissions Directive (Table 3a, Annex B)

There were 2,307 Solvent Emissions Directive (SED) installations holding permits, with twenty one (21) having been withdrawn. 26.4% of SED installations holding a permit use the reduction scheme, 8% did not submit a solvent management plan and 4% of operators are breaching SED requirements.

#### 3.4 Paints Directive (Table 3b, Annex B)

There was one reported instance of non-compliance with the Paints Directive during 2015/2016. The instance was due to mislabelling. There were no reported litres of non-compliant paint.

#### 3.5 Costs of running the service

There is considerable interest in whether there is any obvious relationship between direct and indirect costs; it was suspected that indirect costs in particular may not be recorded correctly. Figure 3.1 shows (non-zero) direct costs plotted against (non-zero) indirect costs, excluding four outliers with very large costs. If a correlation exists, the data would lie roughly on a straight line. Given how scattered the points on the chart are, there would appear to be little correlation between direct and indirect costs. This informal conclusion is reinforced by the regression line shown superposed on the data points; the relatively low value of the accompanying  $R^2$  indicates that the straight-line relationship is a poor fit to the data. [ $R^2$  values close to one indicate a good fit; values closer to zero indicate a poor fit.]

A second graph provides an expanded view of the region closest to the origin of the graph. Again, there appears to be little evidence for a linear relationship between direct and indirect costs.

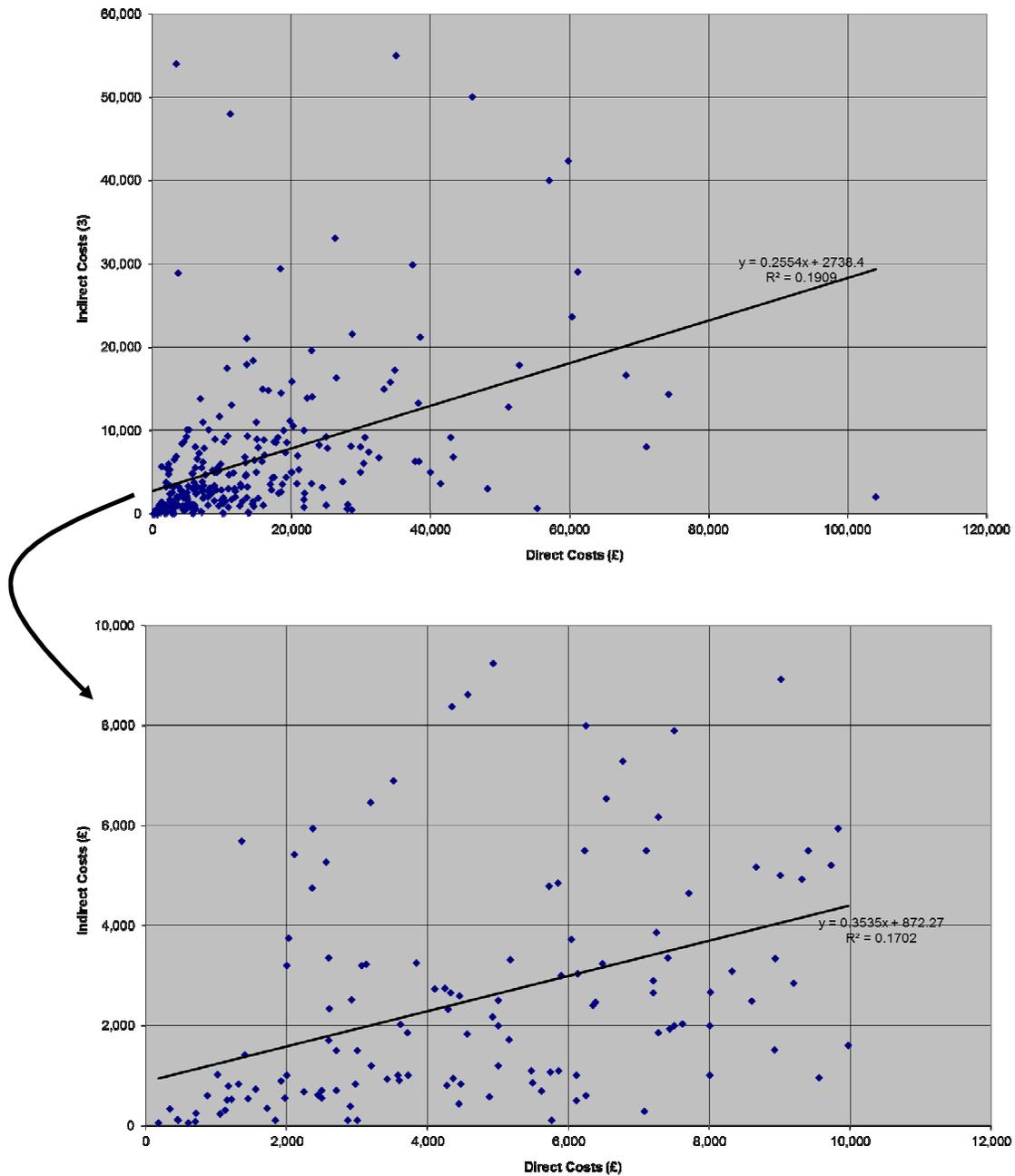


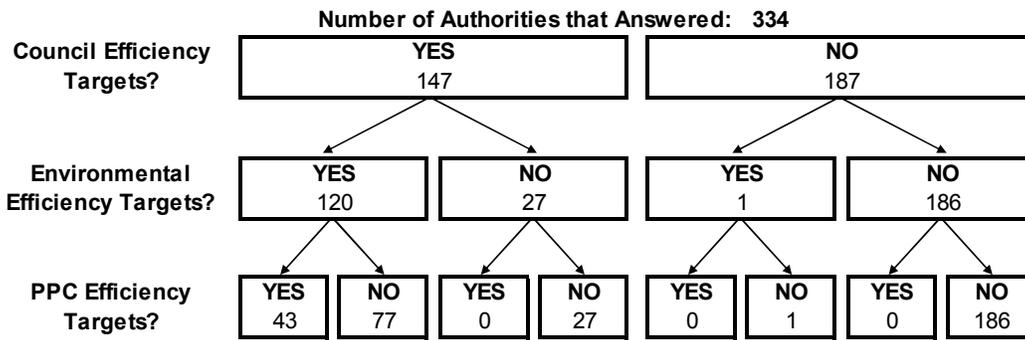
Figure 3.1: Direct and Indirect Costs (Excluding Outliers) with a superposed regression fit and an expanded view of the area around the origin of the plot.

Thirty (30) of the authorities that provided a value (greater than zero) for their direct costs stated that their indirect costs were zero.

### 3.6 Efficiency Savings (Tables 5a-5d, Annex B)

The diagram below shows the number of authorities with efficiency savings targets for 2015/2016 at council, environmental services and PPC function levels.

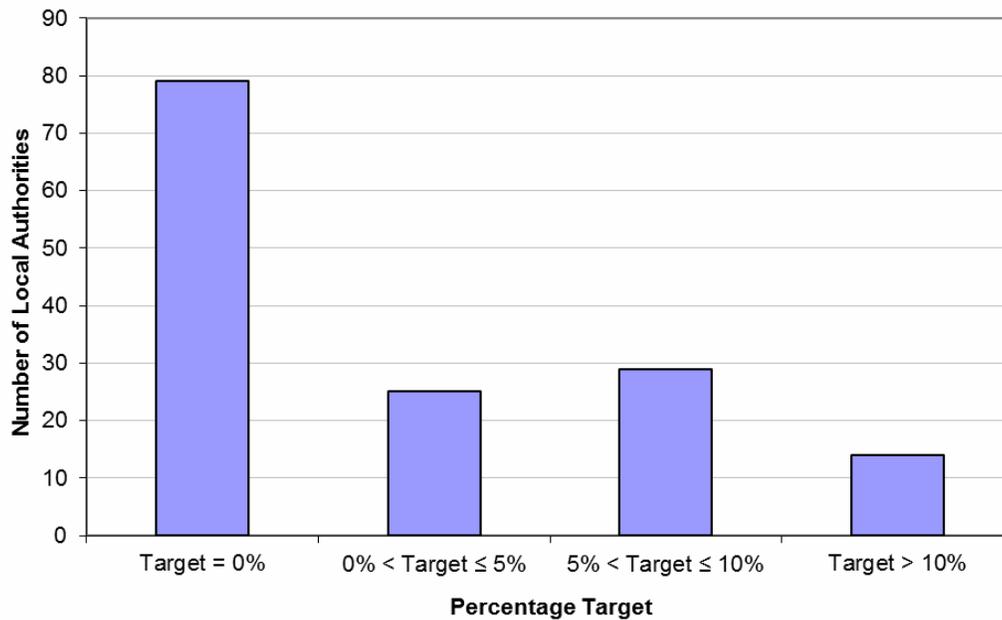
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43 authorities (13%) reported having efficiency savings at all three levels. 77 (23%) authorities had targets for council and environmental services but not for the PPC function. 27 (8%) authorities had efficiency savings only at the level of all council services.

79 authorities reported a 0% target at the council level. 95 authorities reported no efficiency target (as opposed to a 0% efficiency target) at the council level.

Amongst the 68 authorities reporting an efficiency target greater than 0% at the council level, the most frequently reported figure (i.e. the mode) for all council service targets was 10%, the same as last year.



*Figure 3.2: Numbers of local authorities with percentage targets for efficiency savings, at the level of all council services for 2016/2017, within specified intervals (147 local authorities with council-level targets)*

Most (79%) of the 43 authorities that gave a percentage target for each level specified the same figure in all three cases. Of the 77 authorities that gave a percentage target just for the council and environmental services levels, 64 (83%) gave the same percentage target figure.

The survey asks authorities what percentage of their efficiency savings is cashable as opposed to non-cashable. Cashable efficiency savings mean increasing the production or maintaining current production with reduced resource inputs. This represents a direct financial saving which can be recycled into the service or put elsewhere in the local authority. Non-cashable efficiency savings mean

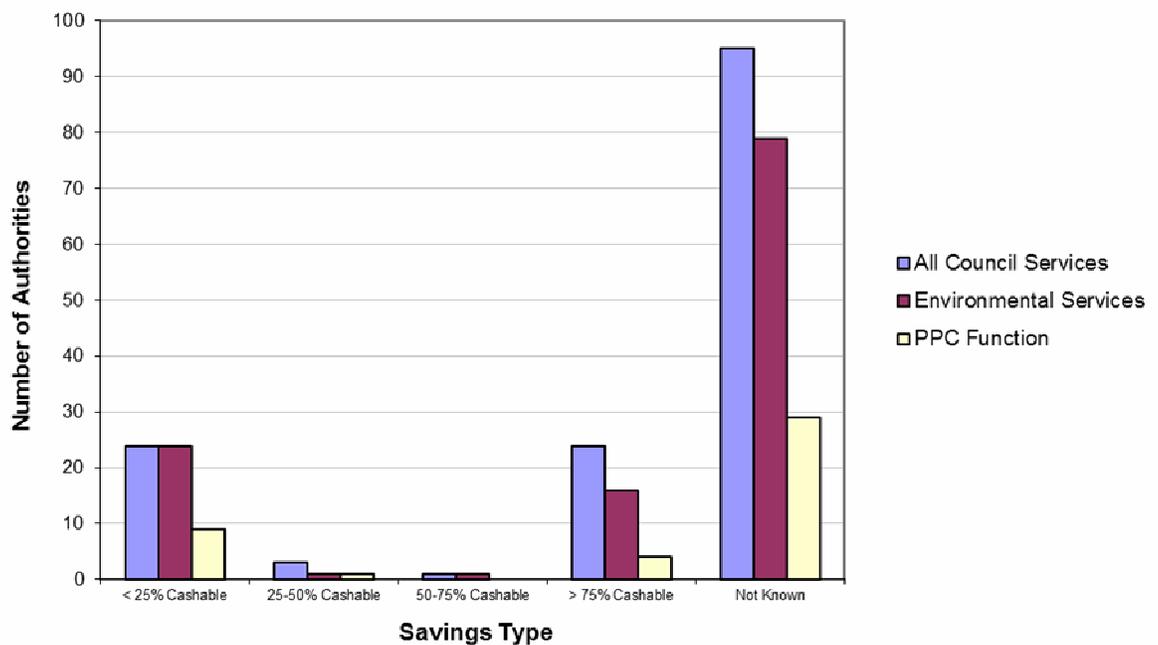
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increasing production or improving the quality of the service with the same resource inputs. There is no direct financial saving even though it is still an efficiency saving.

At the level of the Council as a whole, 65% of authorities did not know the cashable percentage, 16% had <25% cashable, 16% had >75% cashable, 2% had 25-50%, while the remainder (<1%) fell into the 50-75% cashable bracket. The splits for environmental services were similar (65%, 20%, 13%, <1% and <1%).

For the PPC function, 67% did not know the cashable percentage, 21% had <25% cashable, and 9% had >75% cashable. 2% were in the 25-50% bracket while no authorities reported a split of between 50% and 75% cashable savings.

The continuing high percentage of “not known” suggests that the concepts of cashable and non-cashable efficiency savings have yet to filter down to frontline officers.



*Figure 3.3: Numbers of local authorities with specified levels of cashable savings targets at the levels of council, environmental services and the PPC function (147 LAs with targets for all council services; 121 LAs with targets for environmental services; 43 LAs with targets for the PPC function).*

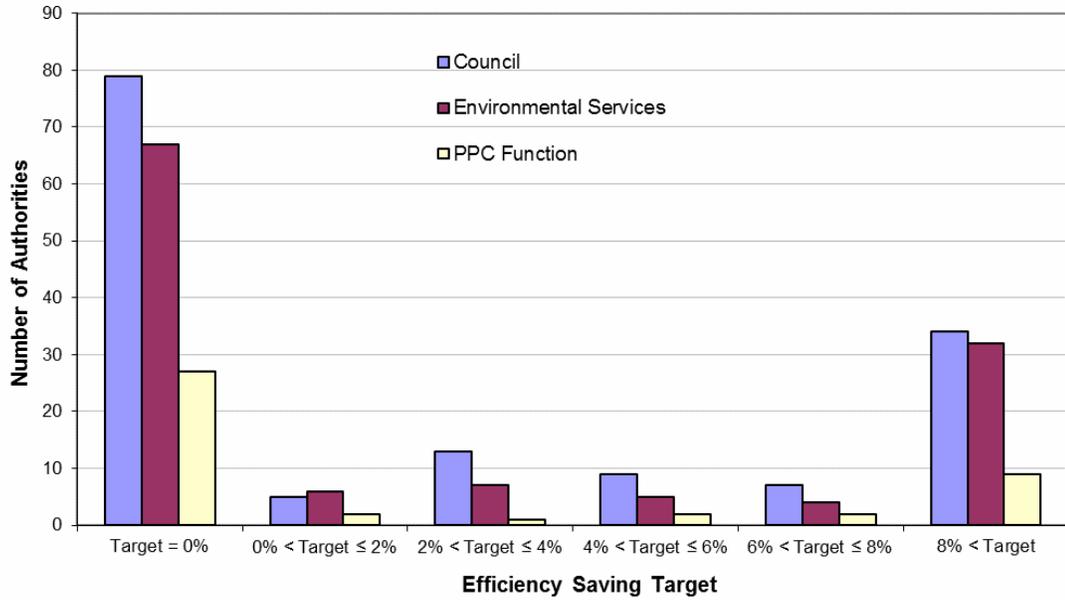


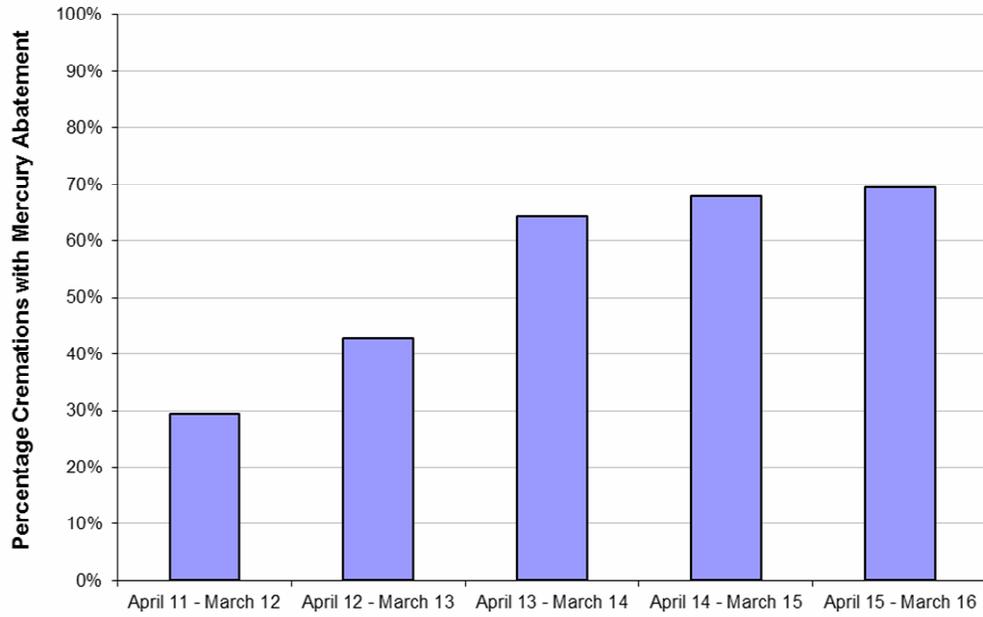
Figure 3.4: Numbers of authorities with specified levels of efficiency savings targets at the levels of council, environmental services and PPC function.

### 3.7 Cremations in Regulated Crematoria (Table 6, Annex B)

In 2015/2016, 186 authorities across England & Wales reported regulating 230 crematoria, with their cremators performing 373,017 cremations. 259,007 (69%) of these cremations took place in cremators fitted with mercury abatement.

As shown in the figure below, there has been a marked shift towards the use of mercury abatement techniques in cremations since 2011/12. In 2011/2012, just 29% of cremations made use of mercury abatement; by 2015/2016 that percentage has risen to 69%. The annual number of reported cremations since 2011/12 across England & Wales had remained at around a third of a million with a slight upward trend over the last three years. The total for 2015/16 was 373,017 and the reader should bear in mind that this total does not include the 21 LAs that failed to submit a return.

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*Figure 3.5: Percentage of cremations across England & Wales using mercury abatement techniques.*

## 4 Key findings from analysis of Part A2 installations<sup>1</sup>

### 4.1 Applications and decisions (Tables 1-3 and 7-8, Annex C)

In 2015/2016, authorities across England & Wales that submitted a return received forty four (44) applications for A2 permits.

In addition to new applications, authorities had sixty two (62) applications on hand at the beginning of 2015/2016. Three (3) applications were withdrawn and eighty seven (87) decisions were made on applications during 2015/2016. The number of decisions this year (87) is a factor of ten higher than in previous years (7 in 2014/15, 9 in 2013/14, 8 in 2012/13 and 8 in 2011/12). 60 (69%) of this year's decisions were made in less than six months; 14 (16%) took between six and nine months; the remaining 13 (15%) decisions took over nine months. Sixteen (16) applications were still on hand at 31st March 2016.

Year	Number of Decisions	< 6 months	6-9 months	> 9 months
April 11 - March 12	8	2	3	3
April 12 - March 13	8	3	0	5
April 13 - March 14	9	5	1	3
April 14 - March 15	7	5	1	1
April 15 - March 16	87	60	14	13
<b>Total</b>	<b>119</b>	<b>75</b>	<b>19</b>	<b>25</b>

*Table 4.1: Number of decisions made within specified times on applications for Part A2 installations, by year.*

There have been 132 applications for new installations since 2011/2012, 4 applications have been withdrawn and 119 decisions have been made. Up until last year, the number of decisions made by authorities had kept pace with application levels. There was then a sharp increase in applications received last year, leading to a much higher number of decisions being made this year, presumably in order to clear the backlog. The backlog has been substantially reduced, with only 16 remaining on hand at the end of 2015/16.

### 4.2 Permitted and revoked installations (Tables 4, 5, 6 and 8, Annex C)

Authorities that submitted a return reported having 413 permitted A2 installations in England and Wales at the end of 2015/2016, an increase<sup>2</sup> from 336 at the end of 2014/2015. The West Midlands region reported having the most authorised A2 installations (79), with North Wales reporting the fewest (16).

Eight (8) A2 permits were revoked or surrendered during 2015/2016; no installations were partially surrendered or revoked.

### 4.3 Notices, prosecutions and cautions (Table 10, Annex C)

There were 55 notices (excluding revocations) issued to A2 installations during 2015/2016, compared to 48 in the previous year<sup>2</sup> and 46 in 2013/2014. There was an increase in the number of variations<sup>2</sup>, from 45 in 2014/2015 to 54 in 2015/2016. There was one (1) enforcement notice issued in 2015/2016, compared to three (3) the previous year<sup>2</sup>.

Prosecutions and cautions are dealt with in the common questions part of the survey form.

<sup>1</sup> The reader is reminded that the figures reported here exclude 21 LAs. Eight of these missing authorities reported having at least one A2 permit (totalling 13 permits) when they last submitted a completed survey questionnaire.

4.4 Fees and charges (Tables 12 and 13, Annex C)

The total income received in 2015/2016 relating to A2 installations was £678,868, i.e. an average of around £4,000 for those authorities reporting on fees and charges for Part A2 permits. This represents an increase of 4% relative to the corresponding average of £3,900 in 2014/2015.

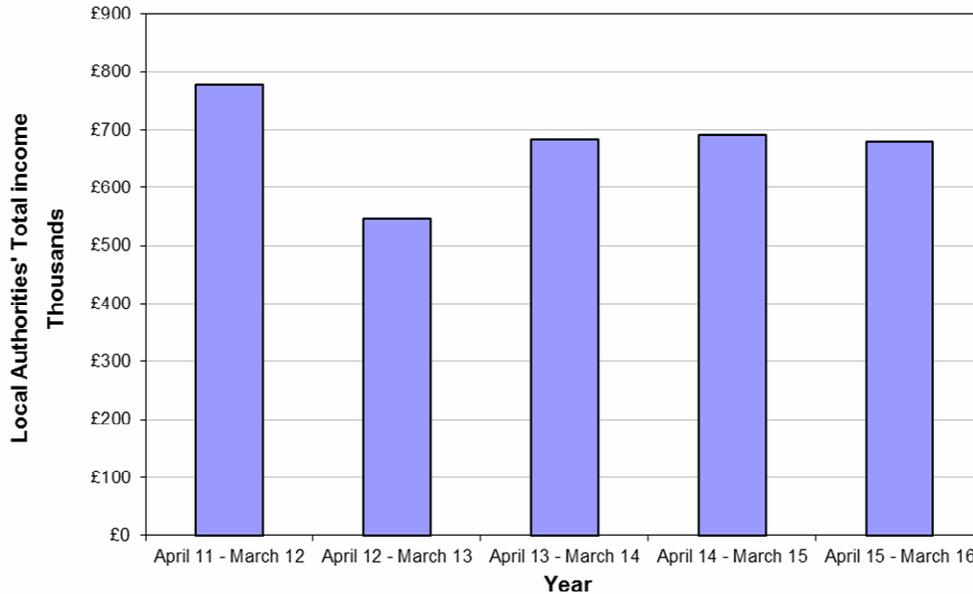


Figure 4.2: Total income from application fees & annual charges for Part A2 installations across England & Wales, by year (2011-2016)

The Port Health Authorities now have the highest average income at £9,748, while London Boroughs have the lowest reported average income (£1,413). In previous years<sup>1</sup>, Metropolitan districts had the highest average and Port Health Authorities had the lowest. However care should be taken when considering these averages due to the small number of authorities involved and the lower than usual response rate this year.

In 2015/2016, the West Midlands region received the highest income (£163,391) with 24% of the total; at the opposite extreme, the North Wales region received (£25,001) which is 4% of the total income.

4.5 Inspections (Tables 16 and 18, Annex C)

In 2015/16 there were 139 inspections carried out in connection with applications for A2 permits; this equates to 1.6 inspections per application decided upon. In 2014/15 there were 73 inspections for the 7 applications, giving an average of 10.4 inspections per application. The average number of inspections per application received in 2015/16 was 3.2.

For those categories of process in which at least one decision was made: Schedule 13A Small waste incineration plant received the most inspections per decision (7). The other categories ranged between 0 and 2.75 inspections per decision. Of the 139 visits in connection with applications, the majority (100) were for "Timber preservation activities". A total of 883 inspections were carried out after a permit had been granted: 537 (61%) of these were for routine or programmed inspections; 299 (34%) were in response to complaints and 47 (5%) were for other reasons.

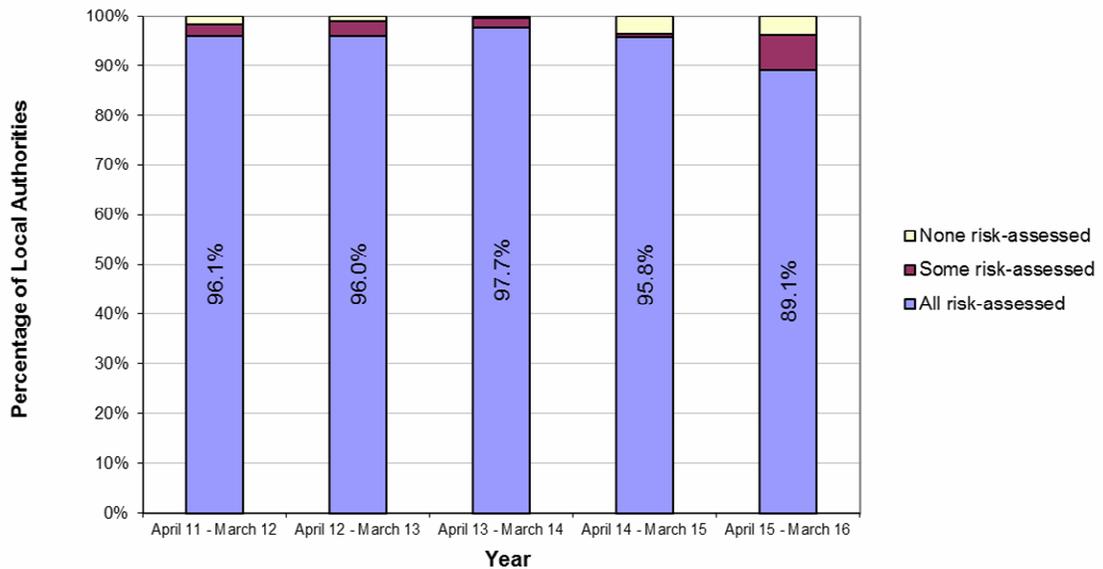
<sup>1</sup> The reader is reminded that the figures reported here exclude 21 LAs. Eight of these missing authorities reported having at least one A2 permit (totalling 13 permits) when they last submitted a completed survey questionnaire.

55% of inspections at A2 installations conducted in respect of applications took longer than two hours; 41% took between half an hour and two hours; 4% took less than half an hour. For inspections not in respect of applications, 43% took more than two hours, 52% took between half an hour and two hours, while 5% took less than half an hour.

The 883 inspections (not in connection with applications) conducted at the 413 permitted installations gives an average of 2.1 inspections per installation, a lower rate than that reported in last year's survey, viz. 2.8 inspections per installation.

**Inspections – Risk-based Data**

Amongst the 183 authorities that completed the relevant section of the A2 questionnaire, 163 reported having risk-assessed all of their installations, with a further 13 authorities reporting that they had risk-assessed at least some of their installations. Seven (7) authorities reported having risk-assessed none of their installations.



*Figure 4.3: Percentages of local authorities that have risk-assessed all, some or none of their Part A2 installations, by year. (179 risk-assessed installations in 2011/12, 175 in 2012/13, 171 in 2013/2014, 166 in 2014/2015 and 183 in 2015/2016).*

183 authorities had at least one permitted installation at the end of 2015/2016. Of these, only 7 (Ashford, Ceredigion, Maldon, New Forest, Ribble Valley, South Staffordshire and St Edmundsbury) had not risk assessed any of their installations. 3 of those authorities (Ashford, Maldon and New Forest) gave reasons for the shortfall. The reasons included mothballed installations and new permits only just coming on line.

In total, 387 installations had been risk assessed and 7% of these were assessed as high risk, 32% were medium risk and the remainder (62%) were low risk. The corresponding figures last year were 9% (high), 34% (medium) and 57% (low)

A total of 391 full inspections were carried out during 2015/2016, along with 132 check inspections and 334 extra inspections. Overall, for A2 installations of all risk categories, 10% of authorities carried out more full inspections than were required, with 22% carrying out fewer full inspections than expected. For check inspections, 14% carried out more than expected, while 18% carried out fewer than expected.

Of the 38 authorities carrying out fewer full inspections than expected, 19 provided reasons for the shortfall in inspections.

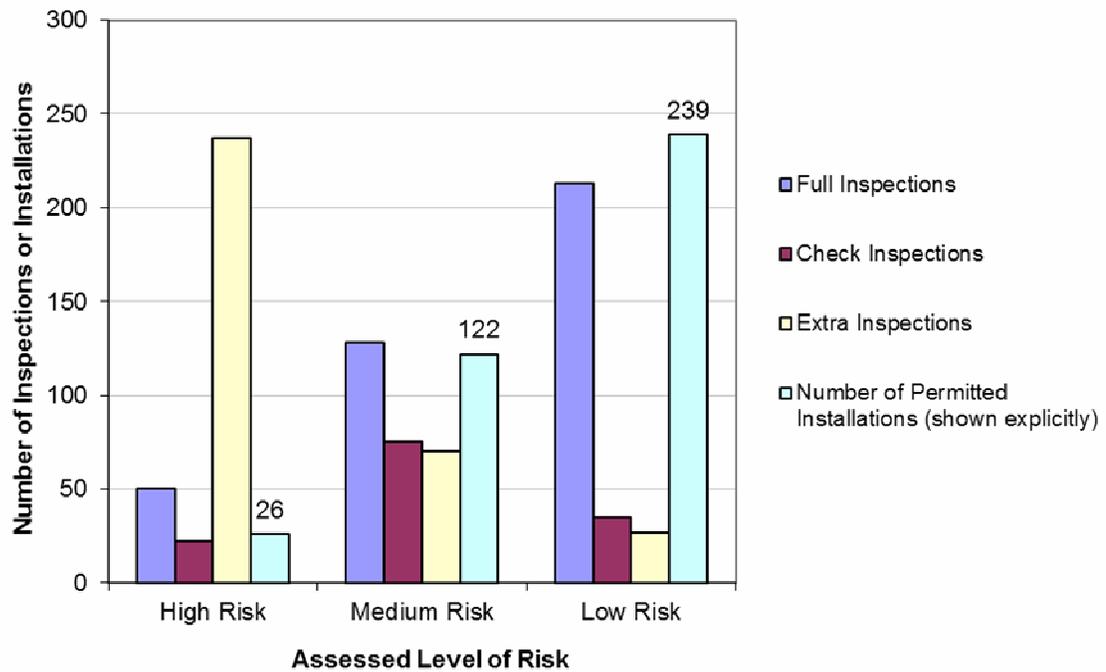


Figure 4.4: Number of inspections of risk-assessed Part A2 installations, broken down by type (i.e. full, inspection or extra inspections), with numbers of risk-assessed installations shown explicitly above final columns.

At a more detailed level, amongst the 21 authorities with high risk A2 installations, 10% conducted more full inspections than required while 29% conducted fewer full inspections than expected. When it came to check inspections, 10% conducted more than were required, with 19% conducting fewer check inspections than required.

Amongst the 73 authorities regulating medium-risk A2 installations, 12% of authorities conducted more full inspections than required, and 12% conducted fewer than required. For check inspections on medium-risk installations, 4% conducted more than the required number, with 45% conducting fewer than required.

Amongst the 136 authorities regulating low-risk A2 installations, 5% conducted more full inspections than required, with 21% conducting fewer than required (check inspections are not required for low risk installations). For check inspections on low-risk installations, 17% conducted more than the required number, with no authority conducting fewer than required.

The table in Annex E details the full and check inspection rates, in terms of risk, achieved by each individual authority.

#### 4.6 Monitoring (Table 17, Annex C)

70% of A2 installations were required to provide monitoring data in 2015/2016. Of these, 7% produced data that was examined for less than half an hour over the year, 45% was examined for half an hour to two hours over the year, while the remaining 48% was examined for more than two hours.