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PLANNING

Planning for Sustainable Waste Management:
Companion Guide to Planning Policy Statement 10

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On 5th May the responsibility of the Office of the Deputy Prime Minister (ODPM) passed to the Department for Communities and Local Government (DCLG)

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1 Introduction to the Guide

PURPOSE AND ROLE OF THIS GUIDE

- 1.1 This guide supports the implementation of Planning Policy Statement 10 (PPS10) *Planning for Sustainable Waste Management*¹ within the wider context of reforms of the land use planning system flowing from the 2001 Planning Green Paper² and the Planning and Compulsory Purchase Act 2004 (PCPA).
- 1.2 The guide provides advice, ideas, examples of current practice and signposts to further sources of information that will be of relevance to planning authorities, to developers and to communities. Specifically, the guide aims to assist:
 - regional planning bodies in the development of regional spatial strategies;
 - planning authorities in the preparation of local development documents;
 - planning authorities in the consideration of planning applications; and
 - potential developers in understanding the requirements of the spatial planning system for waste management.
- 1.3 The guide's principal aim is to assist in the delivery of the key planning objectives for waste management set out in PPS10³. The document is a companion guide to be used alongside PPS10. It focuses on the 'how to', and does not set or interpret policy.
- 1.4 The guide should be read alongside other relevant Planning Policy Statements and their supporting practice guides, in particular PPS1 (*Delivering Sustainable Development and General Principles*), PPS11 (*Regional Spatial Strategies*) and PPS12 (*Local Development Frameworks*). These set out the overall approach to the delivery of sustainable development through the planning system and are signposted where appropriate.
- 1.5 The guide provides relevant and tailored information to stakeholders in the waste planning process, but it avoids repeating guidance that is provided elsewhere. It will therefore be necessary for the reader to use the signposts suggested in order to access the full range of supporting information that is available.
- 1.6 The use of examples in this guide taken from any development plan prior to its adoption is without prejudice to the Secretary of State's rights of objection or direction in respect of plan policies, or to call in plans for his own determination. The use of any example, whether from an adopted plan or otherwise, is also without prejudice to any decision the Secretary of State may wish to take in respect of any planning application coming before him as a consequence of a policy included in an example in this guide.

¹ ODPM, July 2005.

² Planning: delivering a fundamental change, DTLR December 2001.

³ See Paragraph 3, PPS 10, ODPM, July 2005.

STRUCTURE OF THE GUIDE

- 1.7 The guide has seven main sections, as follows.
- *Section 2* considers the relationships between regional spatial strategies (RSS) and local development documents (LDD) and also between these and other strategies such as community strategies, regional sustainable development frameworks and municipal waste management strategies. Recognition of these links is crucial. Without it, duplication of effort and inconsistency of approach will be difficult to avoid.
 - *Section 3* presents an overview of the application of the principles underpinning the preparation of RSS and LDD and their implementation. Developing sustainable waste management is a key aspect of delivering sustainable communities. *Section 3* provides information on decision-making supported by sustainability appraisal and the role and approach to monitoring and regular review as the means of ensuring that the waste content of regional spatial strategies and local development documents is robust, fit-for-purpose and up-to-date. Further, more detailed comment on the practical application of sustainability appraisal (SA) in planning for waste management is provided in *Annex A*.
 - *Section 4* provides guidance on data gathering and analysis. It is supported by detailed information in *Annexes C* and *D* on sources and methods of data collection and forecasting future waste arisings.
 - *Section 5* presents an overview of the principles of and approaches to stakeholder participation and community involvement, one of the underpinning expectations of the reformed planning system. Further information on community involvement techniques is provided in *Annex B*.
 - *Section 6* provides guidance on issues of particular relevance to planning for waste management at the regional level. It covers the approach to developing the concise waste management strategies required within the RSS, planning for waste management facilities of national, regional or sub-regional significance and the apportionment of annual rates of waste management to be planned for by waste planning authorities (WPA).
 - *Section 7* provides guidance on issues of particular relevance to waste management planning at the local level, including on the content of core strategies and the allocation of sites and areas for waste management in development plan documents.
 - *Section 8* offers guidance to local planning authorities on determining planning applications for waste management and other proposals where there are implications for waste management.
- 1.8 All sections of the guide are followed by a short summary that highlights the key points covered and signposts to relevant paragraphs in the section, as well as providing a list of signposts to other sources of relevant information and a checklist for use by practitioners.

2 Regional Spatial Strategies and Local Development Documents: Relationships

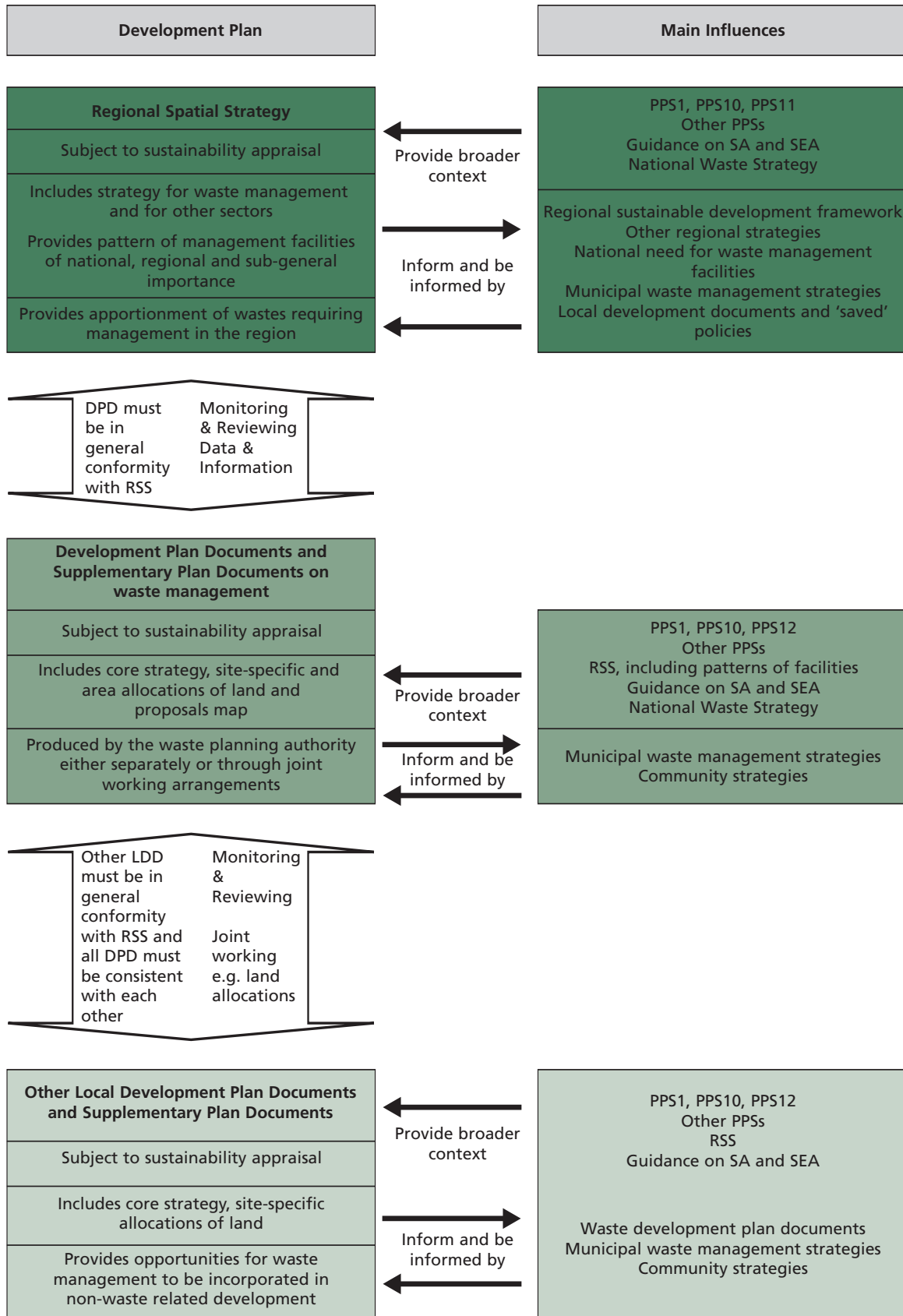
INTRODUCTION

- 2.1 Regional spatial strategies, developed by regional planning bodies, set the strategic context for local planning authorities to produce their local development frameworks.
- 2.2 The local development framework will comprise LDD, which include development plan documents (DPD) that are part of the statutory development plan, and any supplementary planning documents (SPD) that expand policies set out in a DPD or provide additional detail. The local development framework will also include the statement of community involvement, the local development scheme and the annual monitoring report.
- 2.3 In counties where there are districts, county councils prepare minerals and waste DPD which will be included in minerals and waste development frameworks. DPD in unitary authority and national park authority areas should include waste policies, which may be prepared as separate waste DPD. Paragraphs 2.4 to 2.27 of PPS12 explain the roles, relationship and content of LDD and other components of the local development framework.
- 2.4 All local development frameworks will include, as a DPD, a core strategy that sets out the key elements of the planning framework for the area. All DPD should be in general conformity with the RSS and inform, and be informed by, a number of other strategies, including the community strategy and municipal waste management strategy (MWMS). It must also be clear how a particular DPD relates to other DPD in the authority's local development framework, to other relevant DPD prepared by neighbouring authorities and, in two-tier areas, how DPD prepared by the county council and district councils integrate effectively.
- 2.5 *Figure 1* illustrates the key connections between the documents which together provide the framework to enable the delivery of sustainable waste management.

REGIONAL SPATIAL STRATEGIES

- 2.6 The RSS provides an overarching spatial strategy for the region, covering all relevant aspects of land use planning. RSS should include a concise strategy for waste management, including apportionments of annual rates of waste requiring management, a pattern of any waste management facilities of national, regional or sub-regional significance that may be required in the region and their broad locations, and supporting policies. The RSS is a high-level document and will be closely aligned with other regional and super-regional initiatives of relevance to sustainable waste management, coordinated through the regional sustainable development framework. RSS should avoid considering issues that are best dealt with by local authorities, focusing on those where planning at the regional level can enhance the delivery of sustainable communities at the local level.

Figure 1 The Links between Regional Spatial Strategies and Local Development Documents in Spatial Planning for Waste



- 2.7 The RSS revision process should not be top-down. It should draw on existing waste plans and work carried out at the local level in the preparation of LDD. This will include drawing on data collected locally and on which annual monitoring will be based.
- 2.8 Regional planning bodies (RPB) should draw on work carried out by waste collection authorities (WCA) and waste disposal authorities (WDA), particularly in relation to data gathering and analysis carried out in preparation of a MWMS. The RSS will also be able to inform the preparation and revision of a MWMS, by providing a strategic direction across all waste streams and providing a high level picture of the need and opportunities for, and constraints on, future waste management development.

LOCAL DEVELOPMENT DOCUMENTS

- 2.9 The local development framework will provide an overarching spatial strategy and core policies for waste management for the area covered. The core strategy should set out a planning strategy for sustainable waste management that enables sufficient opportunities for the provision of waste management facilities in appropriate locations. The core strategy should be supported by land allocations, sites and areas, for new or enhanced waste management facilities. These allocations should be made in one or more DPD. Detailed policies relating to the delivery of specific allocations should not be included in the core strategy but the core strategy should be clear on how the strategic objectives for the area will be delivered and set out the broad locations for delivering strategic development needs. These will include the pattern of waste management facilities set out in the RSS.
- 2.10 LDD will not generally prescribe the waste management techniques or technologies that will be used to deal with specific waste streams in the area. Rather, the type or types of waste management facility *that would be appropriately located* on the allocated site or in the allocated area should be identified. Specific allocations will be consistent with the core strategy, and the land opportunities (and constraints) that exist in the area, but should normally avoid any detailed prescription of waste management technique or technology that would stifle innovation in line with the waste hierarchy. Exceptions to this are likely to be site allocations to support the pattern of waste management facilities set out in the RSS and in the case of municipal waste, where the MWMS should provide a clear service development strategy requiring sites of a potentially more specific nature.

1. How to..... decide whether to prepare joint LDD for waste?

There may be circumstances where the preparation of one or more joint LDD (i.e. covering more than one WPA) concerned with waste management is sensible:

- the most obvious circumstances would be in the case of the six metropolitan areas (Merseyside, Greater Manchester, West London, North London, East London and Western Riverside) where waste disposal duties are discharged by a statutory Joint Waste Disposal Authority (JWDA) constituted of several WPAs. Examples of work underway include:

continued

- the preparation of a joint waste DPD by the seven WPAs within the North London Waste Authority area, which is intended to include projected waste arisings in North London, a spatial strategy setting out the required mix of waste infrastructure, site allocations and key policies. The authorities have each committed to aiming to jointly adopt the DPD in their individual development schemes; and
- the preparation of a joint LDD (work on which is at an early stage and it is as yet uncertain whether it will eventually have DPD status) by the five WPA comprising the Merseyside Waste Disposal Authority that will identify sites that are broadly suitable for a range of waste management developments.

It is likely that such approaches will add value in JWDA areas, perhaps especially with regard to municipal waste, as JWDA are likely to have a joint MWMS that implies a requirement for sites located across the constituent authorities.

There may be other cases where joint planning for waste management makes good sense. Where a relatively high density of unitary authorities exists (for example, in the case of the six unitary authorities comprising the former Berkshire County, where a joint waste DPD is being developed), economies of scale in LDD preparation may be a benefit. In spatial planning terms, such approaches are also likely to deliver a more realistic planning approach, as it is likely that significant inter-authority flows of waste are inevitable.

Where a unitary authority is likely to rely significantly on sites in a neighbouring county, perhaps particularly where major waste contracts for municipal waste are to be procured jointly, joint planning may also offer benefits (such as in the case of East Sussex County Council and Brighton and Hove City Council, who have produced a joint waste local plan and have jointly procured waste management services through PFI).

A large number of factors will need to be considered by authorities considering the joint LDD route and no particular approach is recommended.

MUNICIPAL WASTE MANAGEMENT STRATEGIES

- 2.11 A MWMS⁴ provides a long-term service development strategy for municipal waste. Although municipal waste represents a relatively small part of the waste that must be planned for by local planning authorities, it is important in a number of respects. Waste generated by consumers is often the ultimate end point of the activities of the producers of the other waste streams (e.g. commercial and industrial, agricultural) and as such policies focused on municipal waste can have an up-stream impact on other sources of waste generation. It is also the waste stream that is under direct control of local authorities and can therefore be planned for through more prescriptive strategies. European legislation places a prescriptive emphasis on management of the municipal waste sector disproportionate to its size and which will continue to be the key driver of our approach to

⁴ Defra has published guidance on developing MWMSs and accompanying practice guidance. See www.defra.gov.uk/environment/waste/localauth/index.htm

the sector for at least the next fifteen years. Significantly, municipal waste is generally also the only waste stream that provides the certainty (through long-term contracts) that allows waste management companies to invest in many of the capital intensive facilities required to drive waste management up the waste hierarchy. It is therefore important for LDD to consider the development needs of the MWMS for both municipal waste and other wastes that could be treated in facilities financed through municipal waste contracts.

- 2.12 The MWMS will have to take into account, as a fundamental consideration, the likely land opportunities when arriving at its preferred service development options. As such, it should draw from the planning for waste management strategy and policies set out in the relevant development plan and be cognizant of emerging revisions to RSS and LDD under preparation.
- 2.13 PPS10, in its decision making principles, requires that planning strategies are integrated effectively with MWMS. In doing so, sequencing and timetabling issues will need to be taken into account. The more involved adoption procedure for LDD will generally mean that MWMS preparation will take significantly less time than LDD preparation and this is not inappropriate, given the role of the MWMS in establishing 'what' will be required in terms of facilities for municipal waste. Waste managers and planners will need to take a project planning approach to establishing where the best opportunities to collaborate may exist, whilst avoiding inappropriate compromise of timetables.

SECTION 2 SUMMARY – RSS AND LDD: RELATIONSHIPS

Key relationships

- Regional spatial strategies, developed by regional planning bodies, set the strategic context for local planning authorities to produce their local development frameworks. (2.1)
- County councils prepare minerals and waste development plan documents which will be included in minerals and waste development frameworks. DPD in unitary authority and national park authority areas should include waste policies, which may be prepared as separate DPD. (2.2 to 2.3)
- DPD should be in general conformity with the RSS and inform, and be informed by, other strategies, including the community strategy and municipal waste management strategy. (2.4)

Regional Spatial Strategies

- RSS should include a concise strategy for waste management, including:
 - apportionments of annual rates of waste requiring management;
 - a pattern of any waste management facilities of national, regional or sub-regional significance that may be required in the region and their broad locations; and
 - supporting policies. (2.6)

- RSS should avoid considering issues that are best dealt with by local authorities, and the RSS revision process should not be top-down. It should draw on work carried out at the local level including existing waste plans, data and other work in the preparation of local development documents and municipal waste management strategies (MWMS). (2.6 to 2.7)
- The RSS will also be able to inform the preparation and revision of a MWMS, by providing a strategic direction across all waste streams and providing a high level picture of the need and opportunities for, and constraints on, future waste management development. (2.8)

Local Development Documents

- The relevant core strategy should set out a planning strategy for sustainable waste management that enables sufficient opportunities for the provision of waste management facilities in appropriate locations. It should be supported by land allocations for new or enhanced waste management facilities. (2.9)
- LDD will not generally prescribe the waste management techniques or technologies that *will* be used to deal with specific waste streams in the area. Rather, the types of waste management facility *that would be appropriately located* on the allocated site should be identified. (2.10)
- Exceptions to this are likely to be site allocations to support the pattern of waste management facilities set out in the RSS and in the case of municipal waste, where the MWMS should provide a clear service development strategy requiring sites of a potentially more specific nature. (2.10)

Municipal Waste Management Strategies

- Although a relatively small proportion of overall waste, municipal waste will continue to be of particular importance, not least because many of the key European legislative drivers will continue to have a particular focus on municipal waste. (2.11)
- It is also important for LDD to consider the development needs of the MWMS for both municipal waste and other wastes that could be treated in facilities financed through municipal waste contracts. (2.11)
- Waste managers and planners will need to take a project planning approach to establishing where the best opportunities to collaborate may exist in planning and delivering their strategies, whilst avoiding inappropriate compromise of timetables. (2.13)

Joint Local Development Documents

- Local planning authorities have the option of planning jointly for waste management. This may be of benefit where:
 - waste disposal duties are discharged by a statutory Joint Waste Disposal Authority constituted of several WPAs;
 - a relatively high density of unitary authorities exists; or
 - where a unitary authority is likely to rely significantly on sites in a neighbouring county, perhaps particularly where major waste contracts are to be procured jointly.
- A large number of factors will need to be considered by authorities considering the joint LDD route and no particular approach is recommended. ('How To?' Box 1)

Key signposts

PPS 11 (chapter 1) sets out the purpose, scope, status and format of RSS and is available at <http://www.communities.gov.uk/index.asp?id=1143839>

PPS 12 (paragraphs 2.4 to 2.27) explains the role, relationship and content of LDD, and is available at <http://www.communities.gov.uk/index.asp?id=1143846>

Guidance on Municipal Waste Management Strategies and its accompanying practice guide is published by Defra at <http://www.defra.gov.uk/environment/waste/localauth/planning.htm>

3 Developing and Implementing RSS and LDD

DECISION-MAKING PRINCIPLES

- 3.1 PPS10 provides a set of strategic decision-making principles that should be adhered to in the preparation of planning strategies. These principles are important for the delivery of the Key Planning Objectives for sustainable waste management set out in PPS10. This section considers their application in the context of the development of RSS and LDD.

The Principles require the following

- RPB should prepare RSS which aim to provide sufficient opportunities to meet the identified needs of their area for waste management for all waste streams. In turn, planning authorities should prepare LDD that reflect their contribution to delivering the RSS.
- Waste management should be considered alongside other spatial planning concerns, such as transport, housing, economic growth, natural resources and regeneration, recognising the positive contribution that waste management can make to the development of sustainable communities, and should be integrated effectively with other strategies including MWMS.
- The planned provision of new capacity and its spatial distribution should be based on clear policy objectives, robust analysis of data and information, and an appraisal of options. Policy objectives should be in line with the planning policies set out in the PPS and be linked to measurable indicators of change.
- Sustainability Appraisal (incorporating strategic environmental assessment) should be applied so as to shape planning strategies that support the Government’s key planning objectives for waste management set out in the PPS.
- Indicators should be monitored and reported on in the RPB’s and the WPA’s annual monitoring reports. Such monitoring should be the basis on which the RPB and the WPA periodically review and roll forward their waste planning strategies. Reviews should reflect any changes to the national waste strategy and occur at least every five years, or sooner if there are signs of under-provision of waste management capacity or over-provision of disposal options where these would undermine movement up the waste hierarchy.

- 3.2 There should be a clear link between:
- the approach to adhering to the decision-making principles through a robust appraisal of options; and
 - the monitoring of performance against key indicators.
- 3.3 The process of developing, implementing and reviewing local and regional planning strategies is a continuous one. This is a feature of the new arrangements following the PCPA. Therefore the procedures for strategic decision-making, monitoring and review should be designed and aligned so as to facilitate their delivery as a single, seamless process.

DEVELOPING PLANNING STRATEGIES FOR WASTE

- 3.4 The RSS and LDD should help deliver sustainable waste management by giving effect to the Key Planning Objectives in PPS10. These objectives, and the supporting policy in PPS10, define the role of the planning system in delivering sustainable waste management and contribute to the implementation of the Waste Framework Directive⁴ in England.

[Paragraph 3, PPS10] [Paragraph 6, PPS10] [Paragraph 16, PPS10]

- 3.5 Regional and local planning strategies should help implement the Key Planning Objectives, where necessary by including policies tailored to the local circumstance. These policies should not slavishly repeat the content of PPS10, and should be widely applicable rather than providing individual policies for every eventuality.
- 3.6 Consultation on issues and options will allow RPBs and planning authorities to develop policies that will respond to the needs of industry and reflect the concerns of communities and enable them to take more responsibility for their own waste. Stakeholder involvement in the development of options and policies is covered in *Section 5*. The development of options will be assisted, and their adequacy tested, through SA, as described in paragraphs 3.10 to 3.30 below.
- 3.7 In developing regional and local planning strategies, consideration should be given to all the levels of the waste management hierarchy. It will be helpful for these to be dealt with sequentially and to be linked, in order to address the Key Planning Objective of driving waste management up the waste hierarchy and addressing waste as a resource. Policies will need to be particularly supportive of the upper end of the hierarchy if they are to be effective in practice.

[Annex C, PPS10] [Paragraph 3, PPS10]

- 3.8 Provision for the delivery of waste management infrastructure will require policies that reflect the needs of the relevant MWMS developed in accordance with Defra's guidance, and policies that shape non-waste-related development in relation to spatial planning concerns such as transport, housing, economic growth, natural resources and regeneration. This means that waste planning concerns must go wider than the main waste development policies set in LDD prepared by the WPA. Such concerns will include, for example, on-site re-use of construction & demolition (C&D) wastes, support for community composting schemes, and the provision of reduction and/or recycling infrastructure in housing or retail development.

[Paragraph 33, PPS10]

⁵ Council Directive 75/442/EEC as amended by Council Directive 91/156/EEC.

- 3.9 Policies should be framed positively. The aim is to engender an environment that encourages progress and that delivers the Key Planning Objectives. An example would be to draft policies that indicate that ‘... planning permission will be granted for...’ developments in line with the Key Planning Objectives, rather than ‘... development will not normally be permitted...’ This promotes clarity and encourages applicants to ensure that their proposals are consistent with all of the relevant policies in the development plan.

[Paragraph 2, PPS 10] [Paragraph 38, PPS 10]

SUSTAINABILITY APPRAISAL AND THE KEY PLANNING OBJECTIVES

- 3.10 SA, which incorporates the requirements of the Strategic Environmental Assessment (SEA) Directive, is pivotal in ensuring that RSS and LDD help to deliver sustainable development and are consistent with the Key Planning Objectives. Using SA to shape planning strategies that support the Government’s planning objectives for waste management is one of the decision-making principles in PPS10. Further detail on the practical application of SA for waste management is to be found in Annex A, along with details of other sources of guidance and information.

2. How totest planning strategies against the Key Planning Objectives in PPS10?

The SA should draw from the Key Planning Objectives in its Scoping Phase. In order to ensure, for example, that the planning strategy embraces the objective of driving waste management up the waste hierarchy, the SA might include a specific criterion that directly examined this issue. Alternatively, it might develop criteria that examined, *inter alia*:

- a) the promotion of waste reduction; and
- b) the aggregate level of the hierarchy at which wastes would be managed over time.

In appraising options against such criteria, the SA helps in the development of the preferred option and identifies any need for adjustment so as to secure planned outcomes in line with sustainable development.

[Paragraph 7, PPS10]

Up-to-date MWMS will provide a steer in appraising the extent to which RSS and LDD documents help drive municipal waste management up the waste hierarchy.

[Paragraph 16, PPS10]

The RSS or LDD would be tested against the other Key Planning Objectives in the same way. Annex A contains suggestions for topics and issues for the appraisal framework in Table 1.

TRANSITIONAL ISSUES

- 3.11 Where a Best Practicable Environmental Option (BPEO) assessment of waste management options has been recently completed, it may make the best use of resources to incorporate the results of that assessment within the SA.
- 3.12 The SA process is founded on the same general principles as BPEO, those of:
- systematic testing of options against criteria;
 - incorporation of stakeholder and community engagement; and
 - seeking an optimal outcome taking account of a range of different impacts.
- 3.13 It should be possible to draw from a thorough BPEO assessment to identify consistency with the Key Planning Objectives in PPS10. This is particularly likely to be the case for those assessments that reflected the approach set out in *Strategic Planning for Sustainable Waste Management*⁶ which was based on sustainable development objectives.
- 3.14 The most likely opportunities to carry forward results from a previous BPEO assessment will be those cases where there is a good correlation between both the process and the objectives of a BPEO assessment and those of SA and PPS10.
- 3.15 To ensure consistency between a BPEO assessment and the expectations of SA in the context of PPS10, it may be helpful to undertake a simple mapping exercise of the BPEO undertaken and the requirements of SA so as to reveal any omissions or gaps. These would need to be addressed in completing the SA, for example through development or refinement of the SA objectives, or further appraisal of options by the SA to cover any objectives that were not addressed by the BPEO assessment.

[Paragraph 23, PPS10]

- 3.16 In carrying out SA, consideration should also be given to whether there have been significant developments since the BPEO assessment was undertaken which could cast doubt on the continued reliability of the BPEO outcome. If this is the case, options will need to be reappraised through the SA.
- 3.17 In general, the SA should seek to incorporate, not to repeat, BPEO assessment work where this is still considered to be valid. Where there are gaps because the SA includes additional criteria that were not included in the BPEO assessment, the SA will need to appraise the relevant impacts. In such circumstances, the SA should look to build on the BPEO where practicable.

⁶ Strategic Planning for Waste Management: Guidance on option development and appraisal. ODPM, October 2002.

SUSTAINABILITY APPRAISAL IN PRACTICE

- 3.18 SA should inform the planning strategy development process and influence land allocations so as to ensure these accord with the objectives of sustainable development. To have this effect, the SA should be integrated with the strategy or plan development process, as opposed to being a ‘stand alone’ procedure. Guidance is given in ODPM’s *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents*⁷ on ways to achieve this integration.

Links with other appraisals

- 3.19 In carrying out an SA, it is important that account is taken of the vertical links between planning strategies and the horizontal links with other strategies. This applies in particular to:
- links between the SA of the RSS and an SA of LDD, including opportunities for portability between appraisals; and
 - at the local level to the MWMS and the supporting SEA.
- 3.20 In both cases, making the most of opportunities for portability between appraisals will avoid duplicated effort and improve consistency.
- 3.21 These links are discussed in more detail in paragraphs 3 to 5 of *Annex A*. Opportunities for, and limitations to, portability between appraisals at regional and local level are presented in *Box 1 of Annex A*.

3. How to..... inform planning strategies through SA?

- Integrating SA with planning strategy development will improve the RDD and LLD, for example through;
 - making planning strategy development iterative;
 - ensuring that the right people input to the process;
 - helping the community better understand the plan so that they are able to make more useful comments; and
 - assessing impacts so that they can be managed and mitigated and policies revised as necessary.
- An SA carried out removed from, or subsequent to, the planning strategy development process is not in accordance with the Regulations, and may lead to the plan being determined as unsound.

- 3.22 The SA will be important in testing the compatibility of the emerging planning strategy with the Key Planning Objectives in PPS10 and in considering the extent to which identified options contribute to their delivery. Options that make an inadequate

⁷ Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents. ODPM 2005. <http://www.communities.gov.uk/index.asp?id=1161341>.

contribution to meeting the Key Planning Objectives are unlikely to be acceptable. The Key Planning Objectives should therefore be central to the SA scoping phase and the SA should include appraisal criteria that draw from them so as properly to test the planning strategy.

Taking account of available data

- 3.23 The SA should make use of available and relevant data in order to describe the sustainability baseline and to assess the likely impacts of the plan or strategy. Impacts should be quantified where possible. Where quantification is not possible, a qualitative assessment may be made.
- 3.24 An important task for the SA is to identify where there is a lack of data upon which to be able to predict significant effects. Recommendations should be made through the SA for monitoring in order to fill any gaps in current data and to allow any anticipated adverse effects in implementation to be assessed and appropriate responses developed. These should inform the approach to monitoring and review of data and information covered in *Section 4*.
- 3.25 The general principles on precision set out in *Section 4* apply equally to the use of data within the strategic decision-making process.

Identification of reasonable alternatives

- 3.26 The SA should consider “reasonable alternatives taking into account the objectives and the geographical scope of the plan or programme” and these should be clearly “identified, described and evaluated”⁸. The SA report will give “an outline of the reasons for selecting the alternatives dealt with”⁹. Options put forward should be reasonable, realistic and relevant. Options should also be sufficiently distinct in order to highlight the different implications of each for sustainable development, so that meaningful comparisons can be made. Further advice on developing options is contained in Annex A.
- 3.27 In the case of planning strategies for waste management, it is likely that a variety of sufficiently distinct options will be identifiable to address each key issue. It is important that the process by which issues and options are identified, and options are appraised, is transparent and that it involves communities and stakeholders to the appropriate extent at the right time.

Appraisal of annual rates apportioned in regional spatial strategies

- 3.28 The development and consideration of apportionment data and options (see paragraphs 6.40 to 6.52 on the apportionment process) should be appraised as part of the SA of the

⁸ Article 5.1, SEA Directive.

⁹ Annex 1(h), SEA Directive,

RSS. The SA should feed into the setting and moderation of annual rates. Feedback from the SA should inform the monitoring and revision of annual rates.

Appraisal of sites

- 3.29 The site appraisal process (see *Section 7* for further details) will constitute a part of the SA undertaken in the development of DPD relating to waste management. The site appraisal exercise will address the question of site alternatives that is an essential part of SA.

SA and determining planning applications

- 3.30 SA is a strategic level appraisal, undertaken in developing RSS and LDD. SA is not required at the planning application stage, but the conclusions of the SA can be built into policies for determining planning applications (see *Section 8*).

[Paragraph 22, PPS10]

MONITORING

Monitoring: underpinning strategy development

- 3.31 Monitoring is critical in developing and implementing a sound policy framework to achieve the overall waste planning strategy for an area. It helps address two central questions:
- are policies being applied?
if not, is this because the policy is faulty in some way and needs to be reviewed or is it because implementation procedures need to be changed?
 - are they the right policies?
if not, can the policies be revised or are new policies needed?
- 3.32 Monitoring should be integral to policy development and review. Information collection and the monitoring of trends is seldom useful in itself. An effective monitoring system should:
- inform the development of policies in RSS and LDD; and,
 - provide an early warning when policies are not being implemented, not meeting objectives or are being overtaken by events.
- 3.33 Annual monitoring and regular review is also the key to managing data uncertainties. Baseline information and forecasts can be refined in the light of monitoring
- 3.34 Guidance on monitoring at the local level can be found in *Local Development Framework Monitoring: A Good Practice Guide*, and at the regional level in *Regional Spatial Strategy: A Good Practice Guide*, with further useful information on implementation on the ground in Annual Monitoring Reports – FAQs and Emerging Best Practice 2004/5, all of which are available on the DCLG website.

Monitoring: approach

- 3.35 Effective monitoring requires active co-operation between the partners involved in the development of the RSS or LDD. There should be clarity of the information to be monitored, when, by whom and how it will be reported. Questions to be asked include:
- what is to be monitored?
 - what information needs to be collected?
 - how reliable is the information and how should it be interpreted?
 - how will the information collected be reported?
- 3.36 There are likely to be two generic types of indicator used in monitoring:
- performance indicators reflecting the delivery of the RSS or LDD; and
 - contextual indicators that report on the effects of the RSS or LDD against impacts identified through the SA.
- 3.37 Co-ordination of local monitoring by the RPB, working through the Regional Technical Advisory Body (RTAB) will help promote consistency and the efficient use of resources. It will also contribute to confidence at the local level in the evolution of, for example, the apportionment process. It is therefore important for the RPB and the WPA which share information to adopt a common approach to monitoring, and for there to be consistency in recording permissions and changes in the stock of waste management facilities. Paragraphs 4.19 to 4.23 provide further advice on handling data in monitoring.
- 3.38 It will be helpful for the RPB to co-operate with neighbouring regions so as to promote consistency in estimates and forecasts.

[Paragraph 41, PPS10]

Monitoring: delivering apportionments

- 3.39 By monitoring planning permissions, waste planning authorities can identify the potential amount of new waste management capacity for future years. Comparison between completed capacity and permissions granted can help to give a broad indication of trends in waste management.
- 3.40 A robust understanding of delivery rates is an important element of sound planning strategies. Planning authorities can assess the delivery rate of permissions – that is the amount of waste management capacity that a stock of permissions is likely to generate and over what time. By building up a picture of trends in delivery rates, a planning authority is in a better position to understand the scale of land allocations required to deliver the planning strategy, including the wastes to be managed set out in RSS.
- 3.41 Comparing delivery rates for different types of sites and areas adds to the understanding of the amount of land (and what sort of land) that needs to be made available to achieve a desired level of waste management capacity over a period of time.

Monitoring and review: land allocations

- 3.42 As part of the regular monitoring and review process, consideration should be given to why any allocated sites and areas have not been taken up as anticipated. If there are doubts about the prospects of particular land allocations coming forward, and this would damage the planning strategy, consideration will need to be given to bringing forward alternative, or additional, allocations.
- 3.43 Monitoring should also take into account any new site-specific data relevant to the original site appraisal process, as well as any additional considerations, such as changes in environmental legislation or new waste treatment technologies.

SECTION 3 SUMMARY – DEVELOPING AND IMPLEMENTING RSS AND LDD

Developing planning strategies for waste

- PPS10 (paragraph 4) provides a set of decision-making principles that should be adhered to in the preparation of planning strategies. These principles are important for the delivery of the Key Planning Objectives set out in PPS10 (paragraph 3). (3.1)
- The process of developing, implementing and reviewing local and regional planning strategies is a continuous one. Strategic decision-making, monitoring and review should be designed and aligned to facilitate delivery as a single, seamless process. (3.3)
- Early consultation on issues and options will allow RPBs and planning authorities to develop policies that will respond to the needs and concerns of communities of industry. (3.6)
- It will be helpful for the tiers of the hierarchy to be dealt with sequentially, starting from the top, in order to address the Key Planning Objective of driving waste management up the waste hierarchy and addressing waste as a resource. (3.7)
- Waste planning concerns must go wider than the waste development policies set by WPAs; for example, on-site re-use of construction and demolition wastes or the provision of recycling infrastructure in housing or retail development. (3.8)

PPS 10 Key Planning Objectives

- Helping to implement the Key Planning Objectives should be central to planning strategies. However, policies should not slavishly repeat the content of PPS 10, and should be widely applicable rather than providing individual policies for every eventuality. (3.5 and ‘How To?’ box 2)
- Options that make an inadequate contribution to meeting the Key Planning Objectives are unlikely to be acceptable. The Key Planning Objectives should therefore be central to the Sustainability Appraisal scoping phase and the SA should include appraisal criteria that draw from them so as properly to test the planning strategy. (3.22)

Sustainability Appraisal

- An SA carried out removed from, or subsequent to, the planning strategy development process is not in accordance with the Regulations, and may lead to the plan being determined as unsound. ('How to?' box 3)
- There may be opportunities to carry forward results from a previous BPEO assessment into SA, and in general, the SA should seek to incorporate, not to repeat, BPEO assessment work where this is still considered to be valid. In practice, this will only be viable in cases where there is a good correlation between both the process and the objectives of a BPEO assessment and those of SA and PPS10. Where there are gaps because the SA includes additional criteria that were not included in the BPEO assessment, the SA will need to appraise the relevant impacts. (3.11 to 3.17)
- Making the most of opportunities for portability between appraisals both vertically (e.g. between RSS and LDD) and horizontally (e.g. between LDD and MWMS) will avoid duplicated effort and improve consistency. (3.19 to 3.21)
- Impacts should be quantified where possible. A role of SA is to identify where significant gaps in data exist. The SA should make recommendations for monitoring in order to fill data gaps and to allow anticipated adverse effects to be assessed and responses developed. (3.23 to 3.24)
- The SA should evaluate reasonable alternative options. Options put forward should be reasonable, realistic and relevant. Options should also be sufficiently distinct in order to highlight the different implications of each for sustainable development, so that meaningful comparisons can be made.(3.26 to 3.27)
- The development and consideration of apportionment data and options should be appraised as part of the SA of the RSS. The site appraisal process will constitute a part of the SA undertaken in the development of DPD relating to waste management. The site appraisal exercise will address the question of site alternatives that is an essential part of SA. (3.28 to 3.29)
- SA is a strategic level appraisal, undertaken in developing RSS and LDD. SA is not required at the planning application stage, but the conclusions of the SA can be built into policies for determining planning applications. (3.30)
- Up-to-date MWMS will provide a steer in appraising the extent to which RSS and LDD documents help drive municipal waste management up the waste hierarchy. ('How To?' box 2)

Monitoring

- Monitoring should be integral to policy development and review. It should inform the development of policies in RSS and LDD and provide an early warning when policies are not being implemented, not meeting objectives or are being overtaken by events. (3.31 to 3.32)

- Adopting common approaches to monitoring will facilitate effective information sharing and consistency in recording permissions and changes in the stock of waste management facilities between the RPB and constituent WPAs. It will also be helpful for the RPB to co-operate with neighbouring regions so as to promote consistency in estimates and forecasts. (3.37 to 3.38)
- By monitoring planning permissions, WPAs can estimate the amount of new waste management capacity for future years. (3.39)
- Planning authorities can assess the delivery rate of permissions. Comparison between completed capacity and permissions granted can help to give a broad indication of trends in waste management. (3.40)
- Building up a picture of trends in delivery rates and comparing delivery rates for different types of sites and areas adds to the understanding of the amount of land (and what sort of land) that needs to be made available to achieve a desired level of waste management capacity over a period of time, including the wastes to be managed set out in RSS. (3.40 to 3.41)
- If monitoring reveals doubts about the prospects of particular land allocations coming forward, consideration will need to be given to bringing forward alternative, or additional, allocations. (3.42)
- Monitoring should also take into account any new site-specific data relevant to the original site appraisal process, as well as any additional considerations, such as changes in environmental legislation or new waste treatment technologies. (3.43)

Checklist

- Have you planned adequately to build the PPS10 key planning objectives (paragraph 3) and decision making principles (paragraph 4) into preparing your planning strategy?
- Have you designed your decision making, monitoring and review processes to deliver a 'seamless' read-across between them?
- Is early consultation on issues and options adequately catered for in your planned approach?
- How will you be dealing with the waste hierarchy in your considerations? Will you consider each tier sequentially?
- Is sustainable waste management adequately addressed within the wider spatial planning context for the area?
- Are the changes to Waste Strategy 2000 concerning BPEO properly reflected in your approach?

- Do your SA options all offer realistic prospects of delivering the PPS 10 Key Planning Objectives?
- Is the SA procedure well integrated with the strategy development and decision making processes?
- Have common approaches to monitoring been developed between the RPB and local planning authorities in the region?
- Has an adequate system for monitoring and analysing delivery rates been built into the monitoring and review procedure?
- Is the approach to monitoring designed to highlight and in future help to address key gaps in available data?

Key Signposts

The ODPM's *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents* is available at <http://www.communities.gov.uk/index.asp?id=1161341>

Local Development Framework Monitoring: A Good Practice Guide and Local Development Framework Core Output Indicators available at <http://www.communities.gov.uk/index.asp?id=1143905>

Regional Spatial Strategy Monitoring: A Good Practice Guide sets out a step by step approach to developing monitoring frameworks and is available from the DCLG at <http://www.communities.gov.uk/staging/index.asp?id=1162809>

Annual Monitoring Report – FAQs and Emerging Best Practice 2004/05 is available at <http://www.communities.gov.uk/index.asp?id=1143846>

Appendix 1 of this Guide provides more detailed advice on SA for waste planning strategies. *Section 4* covers data issues relating to monitoring and review.

4 Data Collection and Use

INTRODUCTION

- 4.1 RSS and LDD should be founded on a sound evidence base provided by the best available data on the waste streams for which provision is being made. Collection of data more than once should be avoided and existing sources of data and expertise used wherever possible. Data on waste arisings should be provided by the most appropriate source.
- 4.2 For the RSS, data and information will be collated by the RPB, working through the RTAB, which will co-ordinate inputs from representatives of the principal data providers, notably the Environment Agency (EA) and WDA. For LDD, collaboration with representatives of the same organisations will be necessary, and their active input should be sought wherever possible. Data collection will be most efficient, and consistency enhanced, if an emphasis is given to ensuring the portability of data from RSS to LDD, and from MWMS to both.

[Paragraph 7, PPS10] [Paragraph 15, PPS10] [Paragraph 16, PPS10]

- 4.3 Whilst individuals will have different skills and access to data, their close interaction will help to deliver a better RSS or LDD, and to provide the skills needed for effective monitoring and review. Further detail on gathering and analysing data, and on forecasting future waste arisings can be found in *Annex C* and *Annex D* respectively.
- 4.4 The SA of a RSS or LDD entails the collation of baseline data, as described in *Section 3* and *Annex A* of this Guide. Planning for the requirements of the SA from the start of the planning strategy development process will deliver efficiencies. It will also improve the integration of the SA and the strategy development process, leading to a better RSS or LDD.

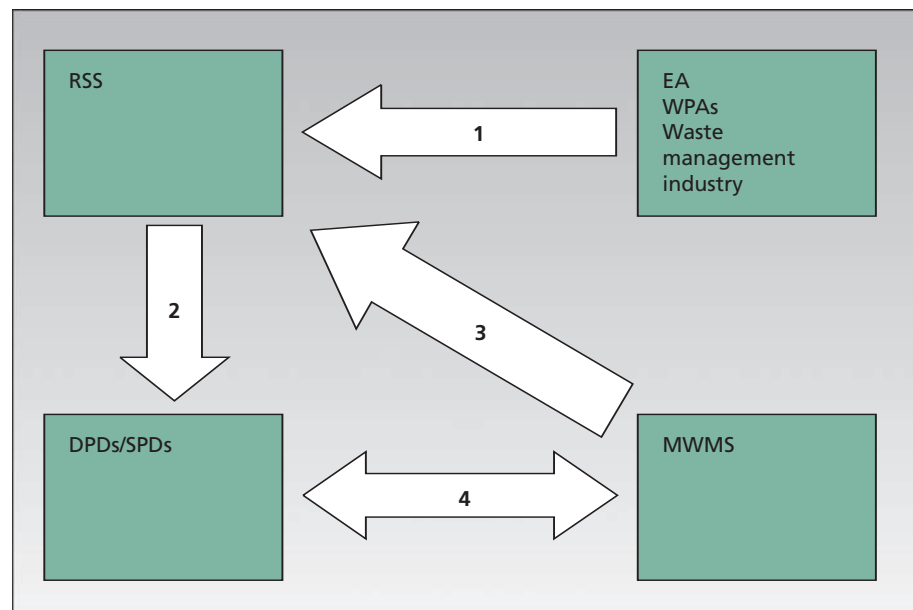
SOURCES OF DATA

- 4.5 The sources of data on arisings for different waste streams are summarised in *Annex C*. Data on municipal waste will come from the WDA. The EA will contribute information on C&I wastes and other controlled waste streams. A schematic diagram showing the generalised flows of information in the development of RSS and LDD is presented below in *Figure 2*.

[Paragraph 41, PPS10]

- 4.6 *Annex C* also deals with recording and predicting information on waste management capacity. Collation of information on capacity, and efficient monitoring and review, requires effective partnership at the regional level. For the WPA, the development of strong relationships with other parties possessing data, and the involvement of them through consultation will be an important aspect of the planning process.
- 4.7 For the RSS, information on waste management sites and their throughput will come initially from the EA. Further information, particularly on sites in planning, will be provided by the WPA, and potentially from the waste management industry.

Figure 2 Generalised Flows of Waste Data in the Development of Plans/Strategies



1. Input from members of RTAB, including the WPA, to RSS.
2. Portability of data from RSS to LDD.
3. Flow of information from MWMS to RSS.
4. Dialogue at a local level between the WPA and the WDA in preparation of DPDs and MWMS.

- 4.8 Once a data set has been compiled, it can be maintained locally by the WPA feeding in changes through annual review, without requiring a return to the EA's databases (as described in *Annex C*). A continuing dialogue between the EA and the WPA will ensure that a common and fit for purpose data set is employed, with periodic reconciliation necessary to avoid any diversification in the information used.
- 4.9 Collation of capacity information for the RSS at a suitable resolution will make the data directly portable to LDD, and ensure consistency. Likewise, annual monitoring reports at the local level that are portable to the evidence base underpinning RSS will allow a fit for purpose data set to be maintained for the region.

FORECASTING

- 4.10 An understanding of future waste arisings for the principal waste streams for which provision must be made across the region, sub-region or WPA will be required in order to assess the need for additional capacity and to determine the changing scale of the

requirement for capacity over time. *Annex D* provides guidance on forecasting future waste arisings. The uncertainty associated with forecasting should be recognised explicitly.

- 4.11 Information on current arisings, and trends in growth will be important in informing forecasts. However, it is important to examine the reasons behind historic growth rates, as these may not be perpetuated. For example, growth in municipal waste may have been experienced due to the introduction of garden waste collections, but the rise in the annual rate of increase that results will not be continued in the following year.
- 4.12 In due course, Defra proposes to publish central advice on forecasting for other waste streams that will inform the preparation of RSS. This will build on work examining the interrelationships between economic growth and waste arisings. In the interim, the EA's National Waste Production Survey (NWPS), and annual output forecasts for individual business sectors from the Regional Development Agency provide trend information upon which to base forecasts.

[Paragraph 7, PPS10]

- 4.13 In making forecasts, account should be taken where possible of the impacts of commercial and legislative drivers of waste production, recognising that these are not certain. Such measures include the landfill tax, the Aggregates Levy, the Waste Electrical and Electronic Equipment Directive and the introduction of the Hazardous Waste Regulations in July 2005.

PRECISION

- 4.14 The assumptions made in handling data, and their impact on forecasting, should be recognised explicitly in the process of developing the RSS or the LDD. Suggestions of undue precision should be avoided. Provided these uncertainties are acknowledged explicitly, they can be managed and reduced through annual monitoring and regular review.

[Paragraph 10, PPS10]

- 4.15 In practice, data quoted to more than two or three significant figures will not be helpful, and spurious accuracy stemming from precise figures should be avoided. For example, 365,211 tonnes might be assumed to be 365,000 tonnes. An appropriate level of significance will also ensure that effort is not expended on examining an unwarranted level of detail.
- 4.16 Where a figure is an aggregate of a series of subsidiary waste streams, for example municipal waste or hazardous wastes, it may be necessary to quote each of these to the same number of significant figures because of their particular importance or because they need to be managed separately. For clarity, it will be helpful to note the effects of rounding in published data.

- 4.17 Providing an appropriate commentary on the precision of the data used will assist those examining or referring to the RSS or the LDD. The same will be true of any calculated results, such as forecasts of future waste arisings.
- 4.18 Uncertainties are themselves difficult to quantify with any precision, and a detailed investigation would itself entail suggesting a false level of accuracy. A scenario-building approach could be used to examine the likely effect on modelling results of uncertainties associated with key parameters such as waste growth and the availability of sites in planning. A sensitivity analysis could also be conducted to demonstrate the impact of potential errors linked to other issues such as assumed conversion factors or the continued capacity of registered exempt sites.

MONITORING

Monitoring: updating the evidence base

- 4.19 Monitoring is important in keeping the evidence base for the RSS or the LDD up-to-date. As the accuracy and coverage of waste data sources is likely to improve over time, monitoring will also help improve the accuracy of the evidence base. With these improvements in waste data sources (see *Annex C*), data revision will become increasingly less onerous.

Monitoring: updating data on capacities

- 4.20 It will be important to consider both permissions granted and additions to the stock of waste management facilities, both by waste management type and by waste stream. Account should be taken of any sites that have been closed, completed, or that have reached the end of their lifetime. Monitoring should address the capacity of permitted and registered exempt sites.
- 4.21 Monitoring permissions produces information about whether policies are 'biting' and highlights early on if policies are proving difficult to implement or producing unwelcome and/or unexpected outcomes. Monitoring the number and waste management type of new capacity demonstrates the scale and type of new waste management capacity being added to the current stock of facilities. It must always be remembered that additions to the stock can be the product of out-of-date policies, and are not always by themselves a reliable barometer of current policy.

4. How tocollect data on new waste management facilities?

The information provided with the planning application is key to collecting data on new waste management facilities. The aim should be for the planning application to provide the information required for regional and local monitoring and for this to align with the information on development control collected by the ODPM. Definitions should be consistent, the definitions below are able to be mapped to those used in Defra’s National Waste Data Strategy. Applicants can be asked which of the following description of facility type best describes their proposed development.

Inert landfill	Metal recycling sites	Sewage treatment works
Non-hazardous landfill	Transfer stations (note c)	Other treatment (note f)
Hazardous landfill	Material recovery / recycling facilities (MRFs) (note d)	Recycling facilities construction, demolition and excavation waste
Energy from waste incineration (note a)	Household civic amenity sites	Storage of waste (note g)
Other incineration (note b)	Open windrow composting	Other waste management (h)
Landfill gas generation plant	In-vessel composting	Other developments not adding to capacity for waste (note i)
Pyrolysis / gasification	Anaerobic digestion	
	Any combined mechanical, biological and/or thermal treatment (MBT) (note e)	

(a) – Where the incineration of waste will generate electricity and/or district heating (combined heat and power (CHP)). Where there will be no energy utilisation from incineration use Other Incineration.

(b) – Where there will be no energy utilisation from the incineration of waste.

(c) – Where the main activity will be the bulking up of waste for treatment or disposal elsewhere. May include some sorting, baling, compaction for recycling but where this is the main activity use MRFs.

(d) – Where the main activity will be the receipt and sorting of waste for recycling and recovery. May include centralised MRFs, community MRFs and as well as small scale recycling bring banks.

(e) – Where a single application proposes a mix of technologies to treat a single waste stream on one site. Where a single technology is proposed use the most specific waste facility type.

(f) – Where a more specific waste treatment type does not describe the proposed activity. Examples may include separation technologies, vitrification, autoclaving etc.

(g) – Where the proposal is for medium to long-term storage of waste. Where waste will move to recycling, recovery or disposal in the short-term use Transfer Stations or MRFs.

(h) – Including the recovery of waste to land under an exemption from waste permitting.

(i) – To include incidental development proposals on existing sites such as leachate treatment plant and weighbridges where these do not add waste management capacity.

Capacity definitions could include:

– for landfill capacity ‘the total capacity of the void to be filled in cubic metres (m3), including engineering surcharge and making no allowance for cover or restoration material. Where the void is still to be created under a mineral extraction permission the total void space figure should reflect the anticipated void created”

– for non-landfill capacity ‘the maximum annual operational throughput in tonnes (or litres if liquid waste)’

- 4.22 Recording changes to capacity provided for by new planning permissions should include committee decisions (and the details of the application to which they relate), together with permissions granted under delegated powers. In monitoring permissions, care must be taken to avoid the double-counting that may arise from different types of permission (outline/reserved matters, etc.) relating to the same development proposal or through a site benefiting from a number of permissions which are mutually exclusive.

Monitoring: updating forecasts

- 4.23 Forecasts of future municipal waste arisings can be updated annually as data becomes available from the WDA, and this flow of information should be encouraged. Regular updates of C&I waste forecasts will also be valuable as data becomes available through Defra's Data Hub. Other waste arisings data will be taken into consideration at the point at which the results of surveys become available.

[Paragraph 41, PPS10]

SECTION 4 SUMMARY – DATA COLLECTION AND USE

Collecting Data

- Collection of the same data more than once at different tiers of the planning system should be avoided and existing sources of data should be used wherever possible. Data on waste arisings and management arrangements should be provided by the most appropriate source:
 - Data on municipal waste will come from the WDA;
 - The EA will contribute information on C&I wastes and other controlled waste streams;
 - For the RSS, information on waste management sites and their throughput will come initially from the EA; and
 - Further information, particularly on sites in planning, will be provided by the WPA, and potentially by the waste management industry. (4.1 to 4.2)
- Planning for the requirements of the SA from the start of the planning strategy development process will deliver efficiencies. It will also improve the integration of the SA and the strategy development process, leading to a better RSS or LDD. (4.4)

Forecasting

- An understanding of future waste arisings will be required in order to assess the need for additional capacity and changing scale of the requirement for capacity over time. (4.10)
- Information on current arisings and trends in growth will be important in informing forecasts. However, it is important to examine the reasons behind historic growth rates, as these may not be perpetuated. (4.11)

- Defra plans to publish advice on forecasting that will inform the preparation of RSS. (4.12)
- In making forecasts, account should be taken of the impacts of commercial and legislative drivers of waste production, whilst recognising that these are not certain. (4.13)

Precision

- Suggestions of undue precision should be avoided. In practice, data quoted to more than two or three significant figures will not be helpful, and spurious accuracy stemming from precise figures should be avoided. An appropriate level of significance will also ensure that effort is not expended on examining an unwarranted level of detail. (4.15)
- Assumptions made in handling data, and their impact on forecasting, should be recognised explicitly. Provided any uncertainties are acknowledged explicitly, they can be managed and reduced through monitoring and review. (4.14)
- Uncertainties are themselves difficult to quantify with any accuracy. A scenario-building approach and sensitivity analysis could be used to examine the likely effect on modelling results of uncertainties associated with key parameters and the impact of potential errors. (4.18)

Monitoring

- The information provided with a planning application is key to collecting data on new waste management facilities. The aim should be for the planning application to provide the information required for regional and local monitoring. (4.20 and 'How to?' box 4)
- Data from monitoring will be a significant factor in driving improvement in the accuracy and coverage of the evidence base over time. (4.21)
- It will be important to consider both permissions granted and additions or reductions to the stock of waste management facilities, both by waste management type and by waste stream. (4.20 and 'How to?' box 4)
- Monitoring permissions produces information about whether policies are 'biting' and highlights early on if policies are proving difficult to implement or producing unwelcome and/or unexpected outcomes. Additions to the stock can be the product of out-of-date policies, and are not always by themselves a reliable barometer of current policy. (4.21)

Checklist

- Has spurious accuracy been avoided in your analysis and presentation of data?
- Is data being collected and provided by the right stakeholders in your area? Have arrangements for data gathering been agreed between the RPB and WPAs?
- Have assumptions and uncertainties been clearly highlighted, especially those to which the strategy is particularly sensitive?
- Is data gathering and analysis well integrated with monitoring, as well as with strategic decision making?
- Has data gathered and analysed in the context of MWMS development been drawn in to LDD and RSS preparation?
- Have assumptions on waste composition been reviewed to ensure that data for one waste stream is not inappropriately used for another?
- Have forecasts based on historic data used a long enough time series and have attempts been made to explain variances in historic data? Are limitations acknowledged with transparency?
- Do forward projections take account of household/population forecasts and planned initiatives in respect of reduction and re-use, and changes in waste management systems?
- Has adequate sensitivity analysis been employed?

Key Signposts

Defra's National Waste Data Strategy will deliver an increasingly coordinated approach to provision of waste data, in particular via the proposed Data Hub. It will also deliver some key improvements in the interim. For further information, see <http://www.defra.gov.uk/environment/waste/wip/data/index.htm>

The practice guide accompanying Defra's *Guidance on Municipal Waste Management Strategies* is a source of more detailed advice on collecting and analysing data on municipal waste. It is available at <http://www.defra.gov.uk/environment/waste/localauth/planning.htm>

Annex C of this guide provides guidance on collecting and analysing waste data. *Annex D* provides guidance on forecasting future waste arisings.

5 Stakeholder Participation and Community Involvement

BACKGROUND

- 5.1 Community engagement is central to the planning process set out by the PCPA and, in particular for waste planning, by PPS10. The RPB and the WPA are required to ensure early and effective public participation *before decisions are made*. This will ensure the public can express, and decision-makers take account, of opinions and concerns, leading to:
 - outcomes that should reflect the views, aspirations and needs of communities;
 - decisions that draw on local knowledge and avoid unnecessary conflict;
 - more cohesive communities as a result of people being offered a tangible stake in decision-making; and
 - improved understanding amongst all participants of one another’s needs
- 5.2 There is substantial new policy and guidance on stakeholder participation and community involvement. It is a core theme of PPS1, PPS11 and PPS12, as well as being the subject of a specific guidance document, *Community Involvement in Planning: the Government’s Objectives*. Annex B of this guide provides further information on approaches to delivering stakeholder participation and community involvement initiatives, as well as details of further sources of guidance.
- 5.3 The way communities will be involved should be set out at the regional level in the regional participation statement (RPS) and locally in the statement of community involvement (SCI). The two boxes below provide guidance on involving communities in the preparation and revision of RSS and LDD.

5. How tocontribute to the revision of Regional Spatial Strategies?

As the RSS is not a local strategy and will not make decisions that are more appropriately made by local authorities, there will be a tendency for the RPB to focus on representative and stakeholder groups, rather than individuals. However, it is expected that opportunities should be created for interested individuals to be involved.

The RPB are expected to consider at the outset who should be informed of an impending RSS revision, and are encouraged to take advice from organisations such as Local Strategic Partnerships on involving hard-to-reach groups. The RPB also have a statutory duty to produce a regional participation statement, setting out how the interest groups identified will be involved in the revision process.

The RPB are expected to use a range of methods for facilitating public participation at different stages of the RSS revision process and various sources of guidance on possible methods have been made available to them. The key stages at which the RPB are expected to involve communities are as follows:

- 1) initial communication of, and consultation on, the key issues to be addressed by the revision, as well as the regional participation statement;

continued

- 2) the development of options and policies, culminating in the production of a draft revised RSS, which must itself be subject to certain statutory consultation prior to submission to the Secretary of State;
- 3) submission of draft RSS to the Secretary of State triggers a formal public consultation of at least 12 weeks (except for minor amendments, where the minimum is six weeks). Alongside the draft RSS, the RPB is also required to send the Secretary of State a 'pre-submission consultation statement', outlining the approach to, and results of, consultation initiatives prior to submission of the draft;
- 4) the EiP provides invited members of the community with an opportunity to make their case to an independent panel. Given that the numbers of participants in the EiP are inevitably limited, groups with similar interests and concerns should consider indicating a preferred representative to make their shared case;
- 5) following the EiP, the Secretary of State will issue proposed changes to the draft RSS revision and these will be subject to a formal consultation period of at least eight weeks; and
- 6) in between formal revisions of RSS, the RPB will monitor progress against the adopted RSS and are expected to maintain dialogue with the community through this process. The production of formal Annual Monitoring Reports is a statutory requirement and the RPB are encouraged to summarise these to facilitate community and stakeholder comment that can inform the next revision of RSS.

6. How tocontribute to the preparation of Local Development Documents?

A new requirement following the PCPA is for LPA to produce a statement of community involvement, outlining how each authority will involve local communities in the preparation and implementation of LDF. There is a requirement for this document itself to be formally consulted upon and it is also subject independent examination by a Planning Inspector acting on behalf of the Secretary of State, who can make changes to the statement if it is considered to be inadequate in relation to the standards set out in legislation and regulations.

The statement sets out the minimum level of consultation and community involvement that the relevant authority must undertake and should:

- 1) set out clearly the authority's vision and standards for community involvement, and how these link with other local initiatives, eg the community strategy;
- 2) recognise and express the need for front loading (in other words, involving communities in the early stages of LDD preparation, before key decisions have been made);
- 3) reflect community needs, identifying the range of local groups who need to be involved;
- 4) show that the authority understands how communities can be involved in a timely and accessible way;
- 5) identify suitable involvement techniques that are appropriate to the level of planning;
- 6) be clear about the different stages of involvement: information; consultation; participation; feedback etc. – and demonstrate that these will be carried out in different ways at different stages and appropriate to the particular communities;
- 7) show that the authority can resource and manage the process effectively – this should include a clear understanding of the roles of members and officers;
- 8) show how the results of community involvement will feed into the preparation of LDD and associated SA reports;
- 9) set out the authority's policy for community involvement on planning applications; and
- 10) set out how the authority will learn from the experience and improve the arrangements where necessary.

- 5.4 However, community involvement is not an activity that should be restricted to the strategic planning process. Up-front engagement with communities is becoming increasingly common prior to the submission of planning applications for waste management facilities, either by WPAs or applicants – or ideally, both.

Viridor West Sussex MRF

- Viridor Waste Management sought planning consent for a 100,000 tonne per annum capacity Materials Recycling Facility at Ford Airfield, West Sussex in 2004. The site was identified in the Local Waste Plan, although local concerns regarding traffic and location remained. The initial planning application was rejected in January 2005, but a revised proposal was granted consent in December that year. Stakeholder engagement and consultation activities began early at the time that the outline proposals were being formulated, and consisted primarily of the following:
- Stakeholder Briefings – outline plans of the proposed development presented to an audience of elected members, officers, media and other interested parties;
- Community Seminars – independently facilitated seminars involving local residents and stakeholders considered the proposals in detail and provided recommendations for the developer to incorporate within the application;
- Public Exhibitions – widely advertised and held in a community venue within Ford. These were attended by Viridor representatives and local authority waste officers. These events provided vital feedback on the key issues of concern that could be addressed within the application;
- Regular Updates – provided by way of written briefings to all stakeholders throughout the preparation period, and;
- Follow-Up Public Meetings – to discuss in detail the final proposals prior to submission.

Biffa Leicester Case Study

Biffa Leicester signed a 25 year PFI contract for municipal waste collection, recycling, treatment and disposal in June 2003. The contract was in part based on the development of an initial 100,000 tonne throughput 'ball mill' as the front end of an MBT process. This technology was new to the UK at the time and the site chosen was urban and allocated in the local plan for industrial development, with residential and commercial/industrial neighbours in close proximity. A year after the site was identified and planning work commenced, a planning application was submitted by Biffa in December 2002 and was approved 14 weeks later. Biffa believes that the most important factor in the process was the partnership approach taken by the applicant and Leicester City Council, which ensured that both parties were sure that the application combined the right site and the right proposal, allowing them both to present the project positively to stakeholders and decision makers. Specific initiatives undertaken by Biffa in engaging with local communities prior to and following the submission of the application included:

- Pre application community engagement and, following the application, organising a trip for local community representatives to visit similar facilities in Germany, allowing concerned individuals to see plant in operation with their own eyes;
- Developing and implementing a communications strategy, which included active engagement with the local press through both pre and post application stages;
- Tailoring information provided to interested parties, including more general information and detailed information where it was requested.

KEY REQUIREMENTS FLOWING FROM THE PLANNING AND COMPULSORY PURCHASE ACT 2004

- 5.5 Through new requirements, guidance and resourcing, support has been provided to help to overcome barriers to effective participation in decision-making by local communities. The key requirements flowing from the PCPA are:
- SA, which includes stages where consultation is required and/or where the wider engagement of stakeholders is recommended;
 - the requirement for the RPB to produce a participation statement explaining how the public will be involved in revisions of RSS and a pre-submission consultation statement setting out the results of consultation prior to submission of a draft revision to the Secretary of State; and
 - the requirement for the LPA to produce an SCI explaining how they intend to secure participation by local communities at all stages of the planning process.

Leicestershire County Council and Leicester City Council

The two WPA in Leicestershire have utilised a Community Advisory Panel comprising a cross-section of residents from across Leicestershire. The Panel has developed a set of criteria that have been used to inform the preparation of the Waste Development Framework and SEA criteria for the revised MWMS. They have also devised a set of weighted criteria for the evaluation of a 'long list' of sites and areas identified as potentially suitable for waste management use.

PRINCIPLES

- 5.6 Formal consultation has been a fundamental component of the land use planning system, both in development planning and development control. The recent reforms have introduced the concept of community involvement. Involvement means more than the provision of information and the invitation to respond to consultation documents, although both of these still have a role to play. It should mean the early opportunity to participate in shaping the RSS or LDD, before the independent examination. The Government's key principles for community involvement outlined in PPS1 are:
- community involvement that is appropriate to the level of planning - arrangements need to be built on a clear understanding of the needs of the community and to be fit for purpose;
 - front-loading – there should be opportunities for early community involvement in the process;
 - using methods which are relevant to the experience of communities;
 - clearly articulated opportunities for continuing involvement – community involvement is not a one-off event;
 - transparency and accessibility; and
 - planning for involvement – community involvement should be planned into the process for revising or developing RSS and LDD from the start.
- 5.7 The rationale for investing time and resources in effective community involvement is clear. By doing so, communities will be allowed to take greater responsibility for the space around them and the impacts of their activities. Greater ownership of the results of the planning process by those most affected can increase the chances of successful implementation and make the system more effective.

[Paragraph 3, PPS10]

- 5.8 Community involvement does not mean essential decisions are delayed. PPS11 and PPS12 respectively set out clear timetables for the preparation of RSS and LDD. To deliver timely decisions and effective community involvement that has the confidence of communities,

the roles of stakeholders must be clear from the outset, and the decision-making process, including its timescale, made transparent.

SECTION 5 SUMMARY – STAKEHOLDER PARTICIPATION AND COMMUNITY INVOLVEMENT

Stakeholder participation and community involvement are fundamental to the planning system as a whole and more detailed guidance is provided elsewhere (see signposts at the end of this summary). (5.1 to 5.2)

Rationale

- The rationale for investing time and resources in effective community involvement is clear:
 - By doing so, communities will be allowed to take greater responsibility for the space around them and the impacts of their activities; and
 - Greater ownership of the results of the planning process by those most affected can increase the chances of successful implementation and make the system more effective. (5.7)

Principles

- The way communities will be involved should be set out at the regional level in the regional participation statement (RPS) and locally in the statement of community involvement (SCI). (5.5)
- The RPB and the WPA are required to ensure early (front-loaded) and effective public participation *before decisions are made*. (5.6)
- Community involvement methods should be appropriate to the level of planning. Arrangements need to be fit for purpose, using methods which are transparent and relevant to the experience of communities. (5.6)
- Community involvement is a continuous process, not a one-off event, with opportunities clearly articulated and accessible. (5.6)
- Stakeholder participation and community involvement initiatives should be planned into processes in some detail from the start. (5.6)

Practice

- As the RSS is not a local strategy and will not make decisions that are more appropriately made by local authorities, there will be a tendency for the RPB to focus on representative and stakeholder groups, rather than individuals. However, it is expected that opportunities should be created for interested individuals to be involved. ('How To?' box 5)

- Statements of community involvement, to be produced by planning authorities, will set out how communities will be engaged in the preparation and revision of local development documents and consideration of planning applications. The statement must ensure the active, meaningful and continued involvement of local communities and stakeholders throughout both processes. ('How To?' box 6)
- Community involvement does not mean essential decisions are delayed. To deliver timely decisions and effective community involvement that has the confidence of communities, the roles of stakeholders must be clear from the outset, and the decision-making process, including its timescale, made transparent. (5.8)
- Up-front engagement with communities prior to the submission of planning applications for waste management facilities, by WPAs and applicants, can be a key to improving the quality of applications and their acceptability to stakeholders. (5.4)

Checklist

- Have you planned to use an appropriate range of methods for facilitating public participation at different stages?
- Do you have a clear strategy for involving hard-to-reach groups?
- Is front loading addressed within your plans?
- Have you identified, at an early stage, the range of local groups who need to be involved?
- Have you identified involvement techniques that are appropriate to the groups involved, the stage in the process and to the level of planning concerned?
- Has a clear plan been agreed to resource community and stakeholder participation initiatives that are envisaged?
- Do you have a clear plan as to how the results of all involvement initiatives will be used and presented?
- Are adequate plans in place for feedback to be provided to interested stakeholders?

Key Signposts

PPS 1 (paragraph 40 onwards) sets out the general principles for community involvement following the Planning and Compulsory Purchase Act. It is available from the DCLG at <http://www.communities.gov.uk/index.asp?id=1143804>

PPS 11 (paragraphs 2.17 to 2.20) describes the role and process of participation in RSS revision and is available at <http://www.communities.gov.uk/index.asp?id=1143839>. Annex D provides more in-depth guidance.

PPS 12 (paragraphs 3.1 to 3.13) sets out the Government's policies on community involvement in the LDD preparation process and is available at <http://www.communities.gov.uk/index.asp?id=1143846>. Chapter 7 of the companion guide to PPS 12, available from the same web address, provides detailed guidance on managing community involvement.

Community involvement is the subject of a specific guidance document published by the DCLG, *Community Involvement in Planning: the Government's Objectives*. It is available at http://www.communities.gov.uk/embedded_object.asp?id=1144472

Annex B of this guide provides further information on approaches to delivering stakeholder participation and community involvement initiatives, as well as details of further sources of guidance.

6 Regional Considerations

REGIONAL PLANNING BODIES

- 6.1 The PCPA places significant emphasis on delivering policy better at the regional level as a means of facilitating the cultural change necessary to deliver sustainable communities. This is particularly through:
- the introduction of a spatial approach to regional planning;
 - the requirement that LDD at the local level are produced in ‘general conformity’ with RSS; and
 - the inclusion of the RSS within the development plan against which planning applications are tested.
- 6.2 PPS11 provides the policy framework for the delivery of regional planning. The RPBs have a critical role in assisting in the delivery of better planning at the local level, particularly where, as is the case with waste management, significant levels of new development are required.
- 6.3 PPS10 places specific requirements on the RPBs with regard to waste and the RSS, stating that the RSS should include:
- a concise strategy for waste management that looks forward fifteen to twenty years;
 - a distribution of waste tonnages requiring management, apportioned by WPA area;
 - a pattern of waste management facilities of national, regional or sub-regional significance, including broad locations; and
 - supporting policies.

[Paragraph 6, PPS 10]

Partnership Working

- 6.4 The greater weight given to RSS within the new arrangements increases the importance of partnership working between the RPB and other RSS stakeholders, especially the WPA. The RPB are in a unique position to coordinate the delivery of the Government’s Key Planning Objectives for sustainable waste management, but can only be successful in doing so if the WPA feel a strong sense of ownership of RSS. This will be best achieved by:
- the RPB focusing its role on those matters where regional planning genuinely adds value;
 - maintaining a high level of engagement with constituent WPA at all stages of the RSS revision process, such as by:
 - involving WPA (and other local authorities) in the gathering and evaluation of data and information;
 - ensuring consistency of data and information and, where the best data is available at the local level, using data provided by WPA and WDA;

- avoiding setting objectives, targets or policies that unnecessarily conflict with adopted plans or strategies at the local level by actively taking them into account at an early stage;
- engaging actively in dialogue, particularly on the aspects of RSS that impact most on WPA, such as distributions of waste to be managed and broad locations of facilities of national, regional or sub-regional significance; and
- providing information or support that is perceived to be of genuine value by WPA;
- where appropriate, either enlisting the help of individual WPA or jointly commissioning studies or other work that is of mutual benefit; and
- maintaining the ongoing and active involvement of WPA in the subsequent formal and informal monitoring of the impact of RSS revisions.

6.5 In particular, it is important that strategies at the regional and local levels are consistent with one another. The potential for conflict between them is thereby minimised. RPBs should be mindful of local level policies, both adopted and emerging, provided that they are in conformity with PPS10 and other Government policy on sustainable waste management. This is particularly the case during the transitional period to the end of the first full revision of RSS.

[Paragraph 7, PPS 10]

6.6 The ideal sequence, particularly where significant changes are required, will be for RSS to be revised prior to major revisions to LDD of constituent planning authorities. This may not always be feasible but over time it should be possible for the RPB and WPA to coordinate their activities in such a way as to allow this logical sequence to predominate. This could be the focus of a jointly owned long-term project plan outlining the transition towards an ideal sequencing of RSS and LDD revision.

[Paragraphs 13 and 14, PPS 10]

6.7 RPB may also be in a position to add value to delivery at the local level by providing a more informal co-ordinating role. This might take the form of a 'forum' where constituent authorities can gain an overview of issues at the regional and sub regional level. Alternatively, the RPB might be more active in terms of facilitating or even brokering agreement between constituent authorities to ensure that the objectives and policies of RSS are delivered effectively. Such activity may be particularly valuable where:

- significant differences exist in waste arisings and management capacity amongst WPA areas where imports or exports are involved;
- policy initiatives or management strategies exist that have effects on other areas with no reciprocal proposals; or
- competing requirements exist for facilities.

- 6.8 In developing the RSS, RPB will also need to work with or involve other colleagues at the regional level, both within their own region (e.g. with the RDA) and with neighbouring regions (e.g. authors of waste related elements of RSS of neighbouring regions).
- 6.9 Government policy requires that a proliferation of uncoordinated regional strategies must be avoided. The regional sustainable development framework (RSDF - or equivalent) has a key role in identifying and resolving any conflicts between the RSS and other regional strategies to ensure a fully integrated approach to sustainable development.
- 6.10 Advice on RSDF is set out in ‘*Guidance on Preparing Regional Sustainable Development Frameworks*’, published by the then DETR in February 2000. The RSDF, as the vision for a region for achieving sustainable development should, in any case, provide the starting point for RSS revision.
- 6.11 Neighbouring RPBs should work together to arrive at coordinated solutions to inter-regional issues. This will be particularly important where significant inter-regional imports or exports of waste are likely to occur. This is considered below in paragraphs 6.53 to 6.54.

Regional Technical Advisory Bodies

- 6.12 It will generally be the case that RPBs will delegate most of the supporting work in monitoring and revising the waste management elements of RSS to their RTAB. PPS 10 requires that the RTABs be broadly based and it outlines their role in the RSS revision and implementation process.

[Paragraph 15 and Annex D, PPS 10]

- 6.13 However the RTAB is structured, and whatever its precise role on behalf of a particular RPB, the RTAB is likely to provide a key forum for the facilitation of partnership working between technical officers (both planners and waste managers) of constituent local authorities, as well as the waste management industry. This indirect but important role should be borne in mind in the convention and setting of terms of reference of the RTABs.

REGIONAL SPATIAL STRATEGIES

- 6.14 RSSs should include a concise, focussed, long-term strategy for delivering the objectives of sustainable waste management through regional planning. The development of such a strategy will require the RPB to:
 - use and build on the data and information gathered by the RPB or constituent WPA or provided by the EA;
 - address all wastes that arise or are managed or are otherwise of relevance in the region; and

- achieve transparency and consistency of approach to issues within the region and, as far as reasonable, with neighbouring or other regions that have impact on the waste management of the region.
- 6.15 Content should focus on *what* the strategy is, not *why* the strategy is like it is. It must include the apportionments of waste tonnages to be managed by WPA area and any relevant pattern of waste management facilities of national, regional or sub-regional significance and supporting policies. It should attempt to do no more than this.
- 6.16 The policy areas of significance to the preparation of RSS are set out in Chapter 2 of PPS 11, with general procedural guidance on regional policy development in paragraphs 2.34 to 2.40. The PPS 10 Key Planning Objectives set out the principal policy objectives for sustainable waste management. These, along with the general sustainability objectives within the region's RSDF, should provide the starting point for policy and options development.

[Paragraph 3, PPS 10]

- 6.17 In developing the strategy for waste management in RSS the RPB will need to ensure that each of the Key Planning Objectives has been addressed. This does not mean that the RSS need include policies on each of the objectives nor should it require undue uniformity across the region. There should be scope where consistent with the strategy for LDD policies to be tailored to local circumstances.
- 6.18 When the RSS is subjected to examination-in-public, the members of the examination panel will need to satisfy themselves that it is sound. The main criteria for assessing soundness are set out in paragraph 2.49 of PPS11 (see box below). The following will be of particular concern:
- the extent to which the RSS addresses, and is consistent with, national policies and delivery of national targets;
 - the extent to which the strategy for waste integrates with other policy areas within the RSS and thereby avoids internal conflicts;
 - the extent to which the RSS is consistent with waste strategies in RSS for other relevant regions;
 - the extent to which the RSS builds from local policies and addresses and resolves disparities between them.

[Paragraphs 11 and 12, PPS 10]

The Examination in Public – Criteria for the Test of Soundness (Paragraph 2.49, PPS11)

The RPB should ensure that the RSS is sound when submitted for examination. The Panel will need to satisfy themselves that it is sound. The main criteria for assessing soundness are:

- 1) whether it is a spatial plan, including in particular, does it properly take into account related policy initiatives and programmes relevant to meeting regional economic, environmental and social needs, where these directly impact on the development and use of land, and does it contain policies which sufficiently link with those related policy initiatives and programmes to deliver the desired spatial change;
- 2) whether it meets the objectives for a RSS, as set out in paragraph 1.7 of this PPS;
- 3) whether it is consistent with national planning policy and if not whether the case has been adequately made for departing from national policy;
- 4) whether it is consistent with other relevant regional strategies for the region, including the regional housing, economic and cultural strategies, and with RSSs for neighbouring regions where cross boundary issues are relevant. Any major inconsistencies will need to be justified;
- 5) whether the policies in it are consistent with one another;
- 6) whether it is founded on a robust and credible evidence base;
- 7) whether community involvement and partnership working have been satisfactory, including whether the RPB has taken proper account of the views expressed;
- 8) whether it is realistic, including about the availability of resources, and is able to be implemented without compromising its objectives;
- 9) whether it is robust and able to deal with changing circumstances;
- 10) whether it has been subject to a satisfactory SA and whether alternative options were correctly ruled out taking account of the SA findings;
- 11) whether in all other respects it has been prepared following the proper procedures, as set out in the Act, Regulations, this PPS and related guidance; and
- 12) whether it has clear mechanisms for monitoring and implementation.

- 6.19 The panel will need to have access to the evidence base that underpinned the development of the strategy in order to be assured that the proposals are robust.
- 6.20 The most sensible approach to presenting this evidence base would be in the form of a series of supporting documents. Whilst these would not form part of the RSS, they would provide a clear audit trail and evidence base for it. *Figure 3* below illustrates what might be included as supporting documents. These might also include a report of any waste-specific

Figure 3 Illustration of RSS Waste Policies and Supporting Documentation



consultation or community involvement that was undertaken, or any other relevant consultant’s reports that have a direct bearing on the content of the strategy.

- 6.21 It is likely that other stakeholders will have an interest in the supporting information to the RSS. This should therefore be both accessible (at the very least published on the RPB’s website) and clear as to its purpose and significance.
- 6.22 All of the English regions have a regional waste strategy which is likely to include information that is relevant to the RSS revision process. Where an existing regional waste strategy contains a part or parts that could be retained as supporting documentation to revised RSS, the ideal approach would be to extract those parts and re-publish them as specific supporting documents. This would avoid potential for confusion with parts that are not being retained as supporting documents.

7. How to..... present information in annexes and supporting documents?

The waste strategy contained within RSS will be concise, including the elements clearly specified in PPS10. Further information, particularly the supporting evidence base for the strategy, should be made available to stakeholders and will clearly be of importance to the Panel. The significance of a particular piece of supporting information will help to determine whether it is presented as an annex to the RSS itself, or as a separate supporting document:

- information that is fundamental to the specific elements of the RSS required by PPS10 might be included as annexes to the RSS. For example, a summary of the method used to calculate apportionments or the evidence of need for facilities for which a pattern is provided in RSS might appropriately be annexed; but

continued

- information of a more detailed or technical nature, details of community and stakeholder involvement that informed the revision of RSS and any more discursive reporting of the context of the strategy would generally be presented in supporting documentation outside of the RSS itself. This will also be important where background documents are likely to be updated prior to scheduled revision of the RSS (e.g. contextual data) for them to be presented as separate documents.

Scope and Detail

- 6.23 As discussed above, the strategy for waste management within the RSS will need to consider all wastes that arise, or are managed, within the region. However, it should be focused and concise, with detailed analysis and other supporting information made available within supporting documents. Whilst it is essential that RSS sets a direction for the whole region that can be translated into local policy, its remit is quite clear.
- 6.24 The RSS and its supporting documentation should avoid encroaching on or duplicating work that is best delivered at the local level, either in terms of scope or level of detail. Paragraph 1.5 of PPS 11 states that “RSS should confine itself to matters of genuine regional and, where appropriate, sub-regional importance.” It goes on to say that “Policies in the RSS will need to be sufficiently detailed to provide clear guidance for LDDs, LTPs and/or other regional or local strategies and programmes. However, it is important that they strike the right balance between providing a clear strategic framework and avoiding unnecessary or inappropriate detail”.
- 6.25 Whilst the appropriate level of detail will vary from region to region and issue to issue, decisions that either have to be made, or are best made, at the local level should not be a matter for the RSS. In the context of waste management, this is likely to mean that decisions on the detail of implementation of the PPS 10 Key Planning Objectives (for example, driving waste up the waste management hierarchy) should be left for local authority core strategies. In particular cases however, the decision as to the precise nature of a nationally, regionally or sub-regionally significant facility is best determined in RSS (for example, where a specialised treatment facility is required to deal with a specific waste stream).
- 6.26 RPB are required to identify circumstances where a sub-regional approach to spatial policy development is required and to consider the desirability of making different provision in relation to different parts of the region. Guidance on the application of sub-regional approaches to RSS is provided in paragraphs 1.13 to 1.15 and chapter 2 of PPS11. This is likely to be of particular relevance in the waste context in regions where sub-regions larger than single WPA obviously identify themselves in terms of geography or where strong interrelationships exist between WPA in terms of existing waste flows. PPS10 envisages apportionment to more than one waste planning authority area where waste planning authorities have indicated that they intend to work jointly on DPD.

- 6.27 The most obvious area where RSS should not encroach on the remit of local planning authorities concerns the issue of site specificity. PPS 10 places a requirement on WPA that specific sites or areas for new or enhanced waste management facilities must be identified in a DPD. It continues that the sites or areas identified must be realistically capable of delivering the apportioned rates of waste to be managed included in RSS.

[Paragraph 18, PPS10]

- 6.28 The RSS should not identify any specific sites itself. However, there are likely to be occasions where it is appropriate to identify a broad location for a required facility of national, regional or sub-regional significance (for example, a hazardous waste disposal facility; see paragraphs 6.34 to 6.39 *below*). Even where such broad locations are identified as a result of knowledge of specific development opportunities sites should not be identified specifically in the RSS.

Driving waste management up the waste hierarchy

- 6.29 The RSS should provide for the movement of waste management up the hierarchy. As part of the development plan of all local planning authorities within that particular region, the waste strategy in RSS is able to influence both county and district council planning strategies in two-tier areas as well as those of unitary authorities.
- 6.30 Any articulated policy should be of direct relevance to spatial planning. For example, it will be difficult for RPB to directly influence the waste management choices made by most waste producers and will not be appropriate for RPB to frame policies on the practices of waste collection and disposal authorities.
- 6.31 However, the RSS can have a direct influence on planning strategies and decisions on planning applications at the local level in ways that drive waste management up the hierarchy. For example, significant opportunities are likely to exist to increase the extent of on-site recovery of commercial and industrial wastes, in many cases leading to the avoidance of waste requiring management in an off-site waste management facility. This would reduce the need for new land allocations for waste management facilities but delivery of the opportunities for on-site recovery will be dependent on local policies for the development of employment land. In such instance it is important that they are shaped by policy in the RSS.
- 6.32 Similarly, all local planning authorities will be in a position to set policy on design and layout in new development to encourage the minimisation and recovery of waste during and after construction, as well as providing for appropriate waste separation facilities.
- 6.33 It may be helpful for RPB to identify the range of types of land opportunities that will be required within WPA, to deliver a realistic and responsible approach to waste management. This approach may help to ensure that the right mixes of sites are identified in order to maximise the potential for driving waste up the hierarchy.

8. How to.....use RSS to encourage appropriate site allocations?

In the South East the RPB promoted a policy that encourages WPA to “provide for an appropriate mix of development opportunities to support the waste management facilities

In bringing forward and safeguarding sites for waste management facilities, waste planning authorities should consider the type, size and mix of facilities that will be required, taking into account:

- activities requiring largely open sites, such as aggregate recycling and open windrow composting;
- activities of an industrial nature dealing with largely segregated materials and requiring enclosed premises, such as materials recovery facilities, dis-assembly and re-manufacturing plants, and reprocessing industries;
- activities dealing with mixed materials requiring enclosed industrial premises, such as mechanical-biological treatment, anaerobic digestion and energy from waste facilities
- hybrid activities requiring sites with buildings and open storage areas, including re-use facilities and enclosed composting systems.
- In areas of major new developments, consideration should be given to identifying sites for integrated resource recovery facilities and new resource parks accommodating a mix of activities where they meet environmental, technical and operational objectives.

9. How toset waste management targets in RSS?

If targets are adopted within RSS, care should be taken in their development to minimise the potential for inconsistency or conflict between targets at the regional level and those in LDD and MWMS. Targets set at the regional level that provide a clear direction of travel (e.g. recycling targets) can add value, but RSS should generally avoid requirements that targets are effectively ‘transposed’ to the local level. Regions are likely to include some WPA that are more and some less able to meet any particular target. It will be unhelpful to impose targets that some may meet easily (and thereby under perform against their potential), but which others fail to meet.

For municipal waste, the MWMS should provide the detailed strategy and objectives and it will be unhelpful for the RSS to contradict that unless there is good reason. For other waste streams, the RPB in setting any targets in RSS should be cognizant of what is capable of direct influence through land use planning decisions and the likely impact of other strategies. For example, it is unlikely to be helpful for RSS to adopt ambitious targets for the recovery of commercial and industrial wastes if they cannot realistically be delivered within the likely conditions within the region. This would be likely to adversely affect the type of site identified by WPA and undermine the delivery of sufficient waste management facilities of the right type.

NATIONALLY, REGIONALLY AND SUB-REGIONALLY SIGNIFICANT FACILITIES

- 6.34 The RSS should establish the pattern appropriate for any nationally, regionally or sub-regionally significant waste management facilities required in the region. PPS 11 requires that the RSS should do this only where LDD needs the strategic framework.
- 6.35 PPS 10 requires that the broad location of such development should also be identified in the RSS itself. “Broad location” is defined by PPS 11 as the “... *area of search suitable for the development in question, consistent with criteria set out in the RSS, within which a number of suitable sites may exist.*” These are clearly distinct from areas in the context of specific ‘sites or areas’ identified in LDDs, as defined in section 7 below.

10. How toidentify facilities of national, regional or sub-regional significance?

The need for some facilities may be identified by Government policy statements either in broad terms or with greater specification of type and spatial distribution. Otherwise, the test is whether the facility is needed to serve more than one WPA area (or the combined area where two or more WPA have come together to produce joint LDD).

In particular, it is likely that specialist facilities for wastes that arise in relatively small quantities, or that have wide geographic dispersal and require specialist treatment technologies, will require co-ordination through RSS. The more hazardous these wastes are, the more necessary it may be to ensure that provision of treatment or disposal facilities is co-ordinated at the regional level, or in some cases at the pan-regional level.

Additionally, it is likely that planning for capacity for final disposal of waste will require co-ordination across WPA boundaries. This is particularly likely to be the case for landfill, which is a diminishing resource. Co-ordination at the regional level will be necessary to avoid unplanned shortages of disposal capacity resulting from treatment technology choices at the local level that result in the production of significant residues requiring final disposal.

Identifying a Pattern of Facilities

- 6.36 The pattern of waste management facilities will be driven by the likely distribution of arisings, which for many wastes would be expected to be very similar to the existing and anticipated settlement morphology. The anticipated pattern of facilities will be influenced by the likely catchment and necessary flows of waste for the type of facility in question. It must also be remembered that significant flows of some industrial wastes, and particularly hazardous industrial wastes, may arise at clearly defined locations, and have specific treatment and disposal needs. In identifying the broad location for such facilities the factors listed in paragraph 21 of PPS10 and its supporting Annex E should be taken into account.

- 6.37 In heavily constrained parts of a region, the likely opportunities for accommodating such facilities may influence the overall pattern identified.
- 6.38 In identifying the broad location the RSS should indicate the WPA area involved. Where appropriate because of the waste concerned, this in turn would affect the apportionment of rates of wastes to be managed to the WPA, with apportionment taking broad account of the tonnages involved in those facilities, especially where tonnages are significant.
- 6.39 In considering the broad locations for the pattern of waste management facilities care should be taken, particularly for the smaller scale waste streams, to avoid limiting market flexibility.

APPORTIONMENT OF WASTE TONNAGES TO BE MANAGED

- 6.40 PPS 10 requires that RSS includes an apportionment of municipal and commercial and industrial ‘wastes to be managed’ to WPA in the region¹⁰. Apportionments provide a benchmark for the preparation of LDD and a basis for annual monitoring. WPA core strategies will plan for apportionments through their policies. These in turn will be translated into identified sites and areas for waste management facilities.

[Paragraphs 9, 10 and 17, PPS 10]

- 6.41 The basic objectives of the apportionment process are to arrive at a distribution of wastes requiring management by WPA that supports the intended strategy for waste management and takes account of:
 - municipal and commercial and industrial waste arising in each WPA;
 - the likely scale of opportunities for development of waste management facilities within each WPA; and
 - the likely scale and point of entry of waste imports to the region.

Adding value through apportionment

- 6.42 There is no need for the apportionment process to become either complicated or time consuming. Apportionment should be conducted in such a way as to optimise value in the delivery of the right facilities in the right places and at the right time. Apportionment will add value in the following ways:
 - by encouraging communities to take responsibility for their own waste;
 - by requiring the sufficient and timely provision of waste management facilities to meet the needs of communities;

¹⁰ or working jointly as identified in the local development scheme

- by providing a benchmark for the preparation of LDD, indicating, annually, the scale of waste management provision required;
 - through benchmarking, providing part of the basis for annual monitoring and regular review; and
 - by reflecting the responsibility that each WPA should take for waste from other areas, including from outside the region.
- 6.43 Apportionments are not intended to make decisions that are more appropriately made at the WPA level. The apportionment process should not:
- be based on an excessively detailed or precise forecast of waste arisings; or
 - prescribe a mix of technologies to the WPA for dealing with waste types.
- 6.44 The RSS should not attempt to underpin the apportionment of wastes to be managed with a level of detailed analysis that is more appropriate for the local level to undertake. The process of annual monitoring and regular review will allow for adjustments to be made to apportionments over time.

11. How todevelop apportionments?

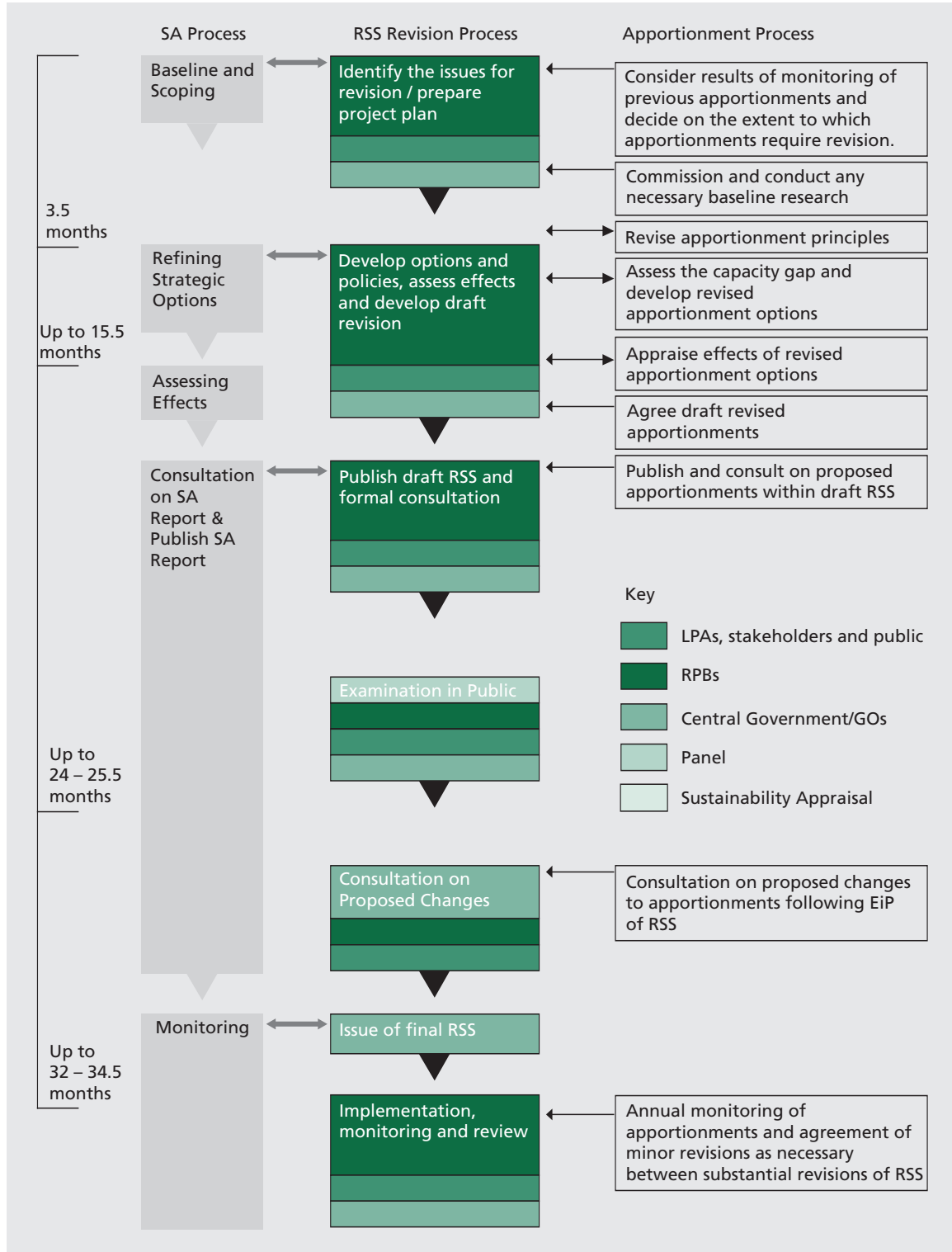
Apportionment should be based on transparent assumptions and a sound evidence base. The following should be taken into account:

- available baseline data;
- estimates of waste arising, reflecting the direction of change envisaged in the emerging waste strategy in RSS;
- the overall spatial framework in RSS;
- the effect of other spatial planning considerations such as economic and housing growth, regeneration and transport;
- a broad analysis at the regional level of planning constraints on waste facility development now and anticipated in the future;
- the commercial considerations and constraints of the waste management industry;
- for municipal waste, the potential impact of Landfill Allowance Trading Scheme (LATS) and, where appropriate, commitments for the longer-term in municipal waste management contracts; and
- where a pattern of facilities of regional or sub-regional significance is to be included in the RSS, the apportionments need to reflect these commitments expected of the WPA.

Developing Apportionments

6.45 As a central part of the strategy for waste management in RSS, apportionments should be built from partnership between the RPB and the WPA, and between WPA, within a region. The RPB should aim for the process to be founded on consensus, where all parties feel an

Figure 4 The Apportionment Process as part of the development of RSS



equal sense of ownership of the process and the assumptions underpinning it (i.e. it is at least as much a bottom-up process as it is top-down). This can be helped by establishing 'ground rules' for the process, in the form of apportionment principles. *Figure 4* below provides an illustration of the apportionment process. There may be occasions where the RPB has to drive the apportionment process in the face of hostility from one or more WPA. Whilst this will be regrettable it will be essential for the RPB to deliver meaningful apportionments to provide benchmarks for sensible plan-making at the local level. The examination-in-public will provide an opportunity to discuss the proposed apportionments and resolve conflict.

- 6.46 The status of apportionments is out in PPS 10. The WPA are required to plan for at least ten years' worth of annual rates and must set policies and identify in DPD sites or areas that are realistically capable of delivering the apportioned capacity on the ground. The adequacy of the overall strategy and the extent to which it is line with the RSS will be considered at the independent examination.

12. How toset principles for apportionment?

Any principles should be consistent with the Key Planning Objectives in PPS10. They might include:

- that WPA should manage waste arising within their own area whilst at the same time not restricting the movements of waste across borders where this meets other objectives (eg movement of waste up the hierarchy) or is otherwise considered appropriate in planning terms;
- that sub-regional net self-sufficiency in waste disposal capability should be sought where this is consistent with the Key Planning Objectives in PPS10;
- that WPA with little or no opportunities for landfill should contribute to the overall strategy by accommodating more treatment capacity than otherwise might be planned for, where consistent with the Key Planning Objectives in PPS10; and
- that apportionments are kept broad but under regular review as informed by annual monitoring.

Identifying the capacity gap

- 6.47 The WPA will need to plan for the delivery of sites and areas suitable for waste management to fill the gap between existing and required waste management capacity. As discussed in *Annex D*, this gap will tend to grow the further ahead one looks, as existing facilities reach the end of their useful lives. Apportionments should therefore be dynamic, in the sense they should consider the need to replace or substitute for existing capacity as well as the need for capacity to manage 'new' wastes. In considering the need for replacement capacity, RPB should work from broad assumptions which are soundly based and transparent and avoid overly complex investigation subject to diminishing returns on invested effort. RPB should continually bear in mind that:

- apportionments provide high-level benchmarks for local planning, and are subject to annual monitoring and regular review;
- existing facilities may close sooner or later than predicted; and,
- capacity may be developed at a slower or faster rate than predicted.

13. How toidentify the 'capacity gap'?

The following are useful rules of thumb:

- the baseline data upon which apportionments are based should be understood and agreed by the RPB and all constituent WPA. This can be best achieved by ensuring that it is derived from the same sources as, or is at least consistent with, data supporting work at the local level.
- the starting point for apportionments should be the equivalent of current waste arising in each WPA area. Approaches to assessing current waste arisings for municipal and commercial and industrial wastes are discussed in *Section 4* and *Annexes C* and *D*.
- where information is incomplete, such as on cross-boundary movements of non-hazardous commercial and industrial waste, it may be necessary to commission specific studies to provide an estimate that is robust enough to support the apportionments.
- waste arisings in line with the anticipated strategy should be forecast to create a series of annual rates of wastes to be managed for each WPA and hence for the region as a whole for each of the two waste sectors. *Annex D* considers forecasting issues in detail. For any forecast, it is important that it has a clear rationale and that the process of estimation is transparent.
- to estimate the gap between the forecast need and current and planned capacity, 'current capacity over time' should be estimated. Doing this by waste management technique would assist with annual monitoring but is not necessary for apportionments. *Annex C* considers the sources of and approaches to collecting and analysing this data in greater detail. *Figure 5* below illustrates the output of this type of exercise.
- the forecast should be overlaid over the estimate of existing and planned capacity to reveal the capacity gap for each WPA and for the region as a whole over the RSS period, as illustrated below in *Figure 6*.

Figure 5 Example of Existing and Planned Waste Management Capacity Over Time

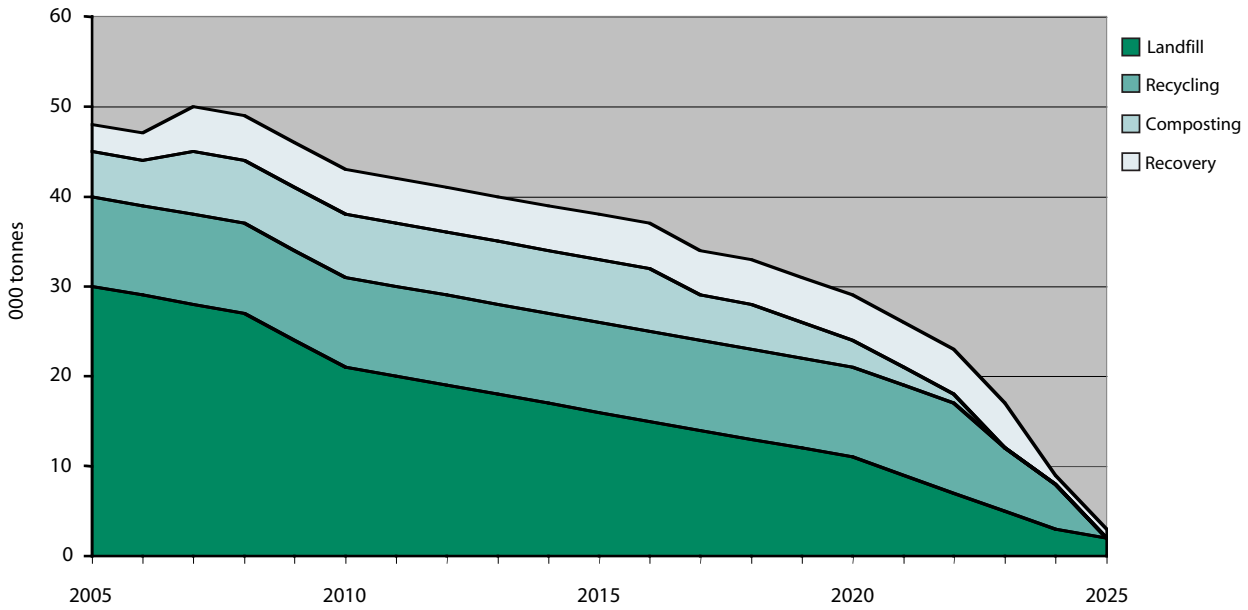
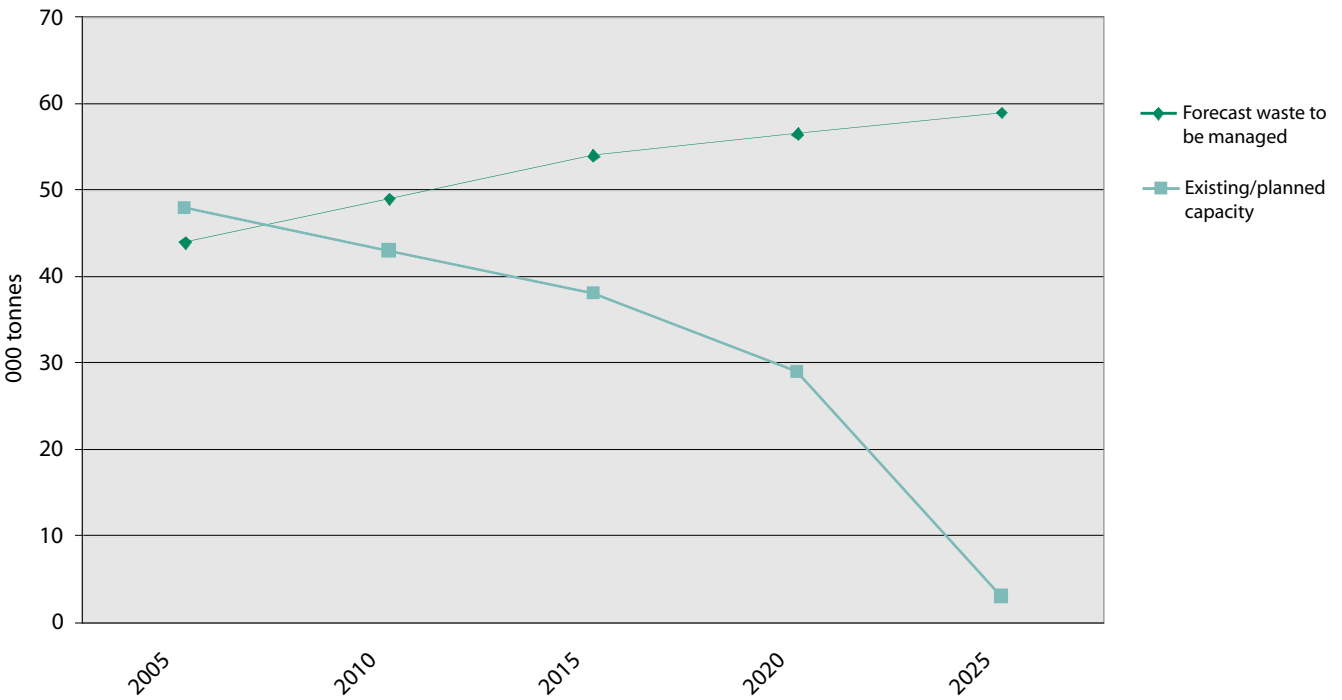


Figure 6 Example of Existing Capacity vs. Forecast Need Over Time



Distributing rates to be planned for

6.48 The process of establishing the capacity gap will have revealed both the regional gap that will need to feed into apportionments and the WPA level gap, which will provide a starting point from which consensus can be developed. A number of factors will have to be taken into consideration to ‘moderate’ the results of the capacity gap analysis before final apportionments can be identified, including the following.

Evident physical and environmental constraints on the development of waste management facilities within the WPA area.

- 6.49 In some areas, there are constraints on the development of waste management facilities that should be taken into account in the annual rates of wastes to be managed. For example, development opportunities in a particular WPA could be heavily constrained by national landscape or nature conservation designations. Some urban authorities may have limited opportunities to accommodate some types of waste management facility but with the move away from landfill to process orientated waste management this should become less of an issue.
- 6.50 At the plan-making stage it will be necessary for the WPA to provide for a mixture of site types, dependent upon the combined factors of their own strategic policies and priorities and the range of opportunities available. Overall, within any region one or more WPA are likely to need to cater for the following range of activities:
- activities largely requiring open sites, such as aggregate recycling and open windrow composting;
 - activities of an industrial nature dealing with largely segregated materials and requiring enclosed premises, such as materials recovery facilities, dis-assembly and re-manufacturing plants, and reprocessing industries;
 - activities dealing with mixed materials requiring enclosed industrial premises, such as mechanical-biological treatment, anaerobic digestion and energy from waste facilities;
 - hybrid activities requiring sites with buildings and open storage areas, including re-use facilities and enclosed composting systems;
 - the development of integrated resource recovery facilities and new resource parks accommodating a mix of activities, where they meet environmental, technical and operational objectives; and
 - landfilling of residues from waste treatment.

Reflecting the pattern of waste management facilities.

- 6.51 Where a pattern is proposed, the apportionments should reflect this pattern. Reflecting the pattern may require an increase to the annual rates to be managed for the sector.

Phasing of apportionments.

- 6.52 The annual rates will need to reflect the current availability of waste management facilities. In WPA areas where the annual rates far exceed the current management capacity, there will be a need to allow for the phasing-in of new waste management facilities. The annual rates will need to be adjusted accordingly, increasing over time. Similarly, in WPA areas where current management far exceeds the forecast annual rates, it is expected that these rates begin at a higher level, decreasing over time. For municipal waste it may be necessary for the annual rates to reflect certain binding contractual commitments.

14. How to ‘moderate’ raw forecasts of waste to be managed to establish annual rates?

- The influences on the moderation of annual rates and must be clear and transparent. They should include: delivery of the Key Planning Objectives in PPS10;
- fit with the emerging strategy for waste management guided by the SA.

Other influences may include:

- any agreed principles for apportionment;
- the extent to which different WPA are likely to be able to find opportunities for identifying sites for final disposal;
- the extent to which WPA are likely to be able to accommodate facilities of an industrial nature.

INTER-REGIONAL FLOWS

- 6.53 It should be the objective of the RPB and the WPA to move towards a situation where communities take responsibility for the waste they produce. Different ranges of land opportunities for waste management facilities will always exist in different areas and these will need to be taken into account in developing strategies for moving towards this aim. Within regions, through the apportionment process, these factors will be taken into consideration. It will also be necessary, in developing apportionments to take into account anticipated flows across the region’s boundaries. This will require discussion with neighbouring RPB and should aim to achieve sensible fit between RSS in adjoining regions.

15. How to.....work across regional boundaries?

One example is the three regions of London, the South East and East of England which commissioned a joint study in 2004 to examine the implications of their existing policies on waste management generally and inter-regional importation and exportation specifically. It provided an independent assessment of the implications of each regions policies on its neighbours and is informing the revision of policies and discussion between the three RPB on the issue.

- 6.54 In situations where net imports into a region are a significant consideration in revising RSS, the disposal of ‘imported’ wastes is likely to be a complicating factor in setting apportionments. The apportionment of imported wastes need not necessarily be treated any differently from wastes arising in the region, but where this is considered appropriate the apportionment principles may be set in such a way as to take it into account.

16. How to.....plan for 'imported' waste?

SERA commissioned a study, in response to an approach suggested in the EiP Panel Report following examination of the region's waste strategy, to develop a basis for apportioning waste imported from London to the region's sub regions. It took into account the following criteria:

- surplus of void space over that required to meet the sub region's own needs at 2015;
- suitability of geology and/or engineering;
- proximity to London;
- ability to use sustainable transport modes;
- the availability of and potential for alternative recovery methods;
- existing contracts;
- historical patterns of movement;
- forecasts of future exports from London; and
- other land use, environmental and economic factors.

SECTION 6 SUMMARY – REGIONAL CONSIDERATIONS

Partnership

- Regional planning for waste management is not a 'top down' process and the role of the RPB is not to dictate policy or strategy to local authorities. The RPB should focus its efforts on those matters where regional planning genuinely adds value and should avoid encroaching on or duplicating work that is best delivered at the local level. (6.4)
- Good regional planning is only likely to be achieved where a high level of engagement with constituent WPAs is maintained throughout the RSS revision process. In particular, it will be important to:
 - engage in active dialogue, particularly on aspects of RSS that impact most on WPAs;
 - involve local authorities in the gathering and evaluating data, ensuring consistency and that best data, whatever its source, is used;
 - avoid strategies that unnecessarily conflict with plans or strategies at the local level;
 - work practically with WPAs, e.g. by jointly commissioning work of mutual benefit; and
 - maintain the involvement of WPAs in the monitoring of the impact of RSS revisions.
- The ideal sequence will be for RSS to be revised prior to major revisions to LDD and the RPB and constituent planning authorities should look to coordinate their activities with the aim of achieving this sequencing. (6.6)

Regional Spatial Strategies

- RSS should include a concise, focussed, long-term strategy for delivering the objectives of sustainable waste management through regional planning. Content should focus on *what* the strategy is, not *why* the strategy is like it is. It must include:
 - the apportionments of municipal and commercial and industrial waste tonnages to be managed by WPA area (or areas if working jointly);
 - any relevant pattern of waste management facilities of national, regional or sub-regional significance including broad locations; and
 - supporting policies. (6.14 to 6.15)
- The evidence base underpinning RSS waste policies should be robust and accessible. The most sensible approach would be present it in the form of a series of supporting documents. Previous work (e.g. regional waste management strategies) may provide a source for such supporting documents. (6.20 to 6.22 and ‘How To?’ box 7)

PPS 10 Key Planning Objectives

- RSS will need to address all of the PPS 10 Key Planning Objectives. This does not mean that specific policies on each of the objectives nor should it require undue uniformity across the region. There should be scope where consistent with the strategy for LDD polices to be tailored to local circumstances. (6.17)
- The RSS should provide for the movement of waste management up the hierarchy. As part of the development plan of all local planning authorities within that particular region, the waste strategy in RSS is able to influence both county and district council planning strategies in two-tier areas as well as those of unitary authorities. (6.29 to 6.32)
- If targets are adopted within RSS, care should be taken in their development to minimise the potential for inconsistency or conflict between targets at the regional level and those in LDD and MWMS. For example, it is unlikely to be helpful for RSS to adopt ambitious targets for the recovery of commercial and industrial wastes if they cannot realistically be delivered within the likely conditions within the region. This would be likely to adversely affect the type of site identified by WPA and undermine the delivery of sufficient waste management facilities of the right type. (‘How To?’ box 9)

Nationally, Regionally and Sub-regionally Significant Facilities

- PPS 11 requires that the RSS should only identify such a pattern of facilities where LDD needs the strategic framework. In particular, this is likely to be in the case of specialist facilities for wastes that arise in relatively small quantities, or that have wide geographic dispersal and require specialist treatment technologies. (6.25 and ‘How To?’ box 10)
- Additionally, it is likely that planning for capacity for disposal of waste will require co-ordination across WPA boundaries. This is particularly likely to be the case for landfill, which is a diminishing resource. (‘How To?’ box 10)

- The pattern of facilities will be driven by the distribution of arisings and influenced by the likely catchment for the type of facility in question. In heavily constrained parts of a region, the opportunities for accommodating such facilities may influence the pattern identified. (6.36)
- In identifying the broad location the RSS should indicate the WPA area involved. This in turn would affect (as appropriate) the apportionment of rates of wastes to be managed to the WPA, with apportionment taking broad account of the tonnages involved in those facilities. (6.38)

Apportionment

- Apportionments provide a benchmark for the preparation of LDDs and a basis for annual monitoring. WPA core strategies will plan for apportionments through their policies. These in turn will be translated into identified sites and areas for waste management facilities. (6.40)
- Apportionments are not intended to make decisions that are more appropriately made at the WPA level. The apportionment process should not be based on excessively detailed or precise forecasts or prescribe specific technologies to the WPA for dealing with waste types. (6.43)
- The process of annual monitoring and regular review will allow for adjustments to be made to apportionments over time. (6.44)
- Apportionments should be the result of a participative process involving all constituent WPA in the region and should, where possible, be based on a consensus. It may be helpful to agree a set of apportionment principles for the region in advance of detailed analysis. (6.45 and 'How To' box 12)
- Apportionments will have to take account of:
 - municipal and commercial and industrial waste arising in each WPA;
 - the likely scale of opportunities for development of waste management facilities within each WPA; and
 - the likely scale and point of entry of waste imports to the region. (6.41 and 'How To?' box 11)
- Apportionments should be dynamic and should consider the need to replace or substitute existing capacity as well as the need for capacity to manage 'new' wastes. This will be achieved by evaluating the 'capacity gap' in future years, taking into account anticipated waste arisings and the lifetime of existing facilities. (6.47 and 'How To?' box 13)
- It will also be necessary, in developing apportionments to take into account anticipated flows across the region's boundaries. This will require discussion with neighbouring RPB and should aim to achieve sensible fit between RSS in adjoining regions. (6.53)
- It may be necessary in some regions for criteria for apportioning imported waste to be developed, so that a transparent approach can be taken. (6.54 and 'How To?' box 16)

Checklist

- Is the RPB clear as to the role and scope of RSS relative to the work of WPA?
- Does RSS adequately cover PPS 10's requirement for a concise strategy with apportionments and a pattern of facilities of national, regional or sub-regional significance? Does it avoid doing more than this?
- Is the evidence base for the RSS presented clearly and transparently? Are all supporting documents directly relevant to the RSS waste policies?
- Have broad areas for facilities of national, regional or sub-regional significance been identified? Are these areas clearly designated by WPA?
- Have apportionment principles been developed in collaboration with constituent WPA?
- Does apportionment provide an annual rate of waste to be managed for at least ten years from the planned date of adoption?
- Do apportionments reflect the planning realities of each area of the region? Is adequate realistic provision made for final disposal?
- Do apportionments incorporate the pattern of waste management facilities of national, regional or sub-regional significance?

Key Signposts

PPS 11 is the key planning policy statement covering RSS revision and is available at <http://www.communities.gov.uk/index.asp?id=1143839>.

Regional Spatial Strategy Monitoring: A Good Practice Guide and *Core Output Indicators for Regional Planning* are available from the same web page.

All of the RPB (the regional assemblies and the GLA) have published a significant amount of material on their web sites in the context of waste policy development for RSS revision.

The ODPM's *Guide to Improving the Economic Evidence Base Supporting Regional Economic and Spatial Strategies* is available at http://www.communities.gov.uk/embedded_object.asp?id=1144492

7 Local Development Documents

INTRODUCTION

- 7.1 Managing the relationships between the waste management strategy in RSS and the content of LDD and MWMS at the local level will be key to the successful delivery of sustainable waste management. The role of the core strategy produced by a WPA, both in setting the policy framework for the allocation of sites and in development control, will be particularly important, as will the site allocation process itself.

Transitional Arrangements

- 7.2 Chapter 5 of PPS12 and Section 5.3 of *Creating Local Development Frameworks*, the Companion Guide to PPS12, provide advice on the transitional arrangements for moving to the system of LDD. In short, adopted waste local plans retain their development plan status (as 'saved' policies) for a period of three years from commencement of the PCPA. During the three year period, the WPA are expected to bring forward LDD to replace saved policies. It is possible to extend the three year period, but only with the agreement of the Secretary of State. Work undertaken for plans in preparation, and not to be taken forward to adoption under the transitional arrangements, should be adapted to assist in the preparation of LDD.

RELATIONSHIPS

Integration of waste planning with other land use concerns

- 7.3 Waste management is fundamental to the delivery of sustainable communities. Planning for sustainable waste management requires integration with other areas of spatial planning. Waste should not be considered in isolation from other planning concerns, even when addressed through thematic LDD. Early and ongoing dialogue between relevant local authorities will promote consistency and the integration of waste management with other spatial planning matters. This is important both in two tier areas and where WPA are working together on joint LDD.
- 7.4 Area action plans (AAP) can help foster joined-up thinking in delivering sustainable development. AAP, in looking in detail at an area undergoing change or new development, can be a useful tool for integrating waste management needs with wider spatial concerns. Section 3.6 of the PPS12 companion guide underlines the potential for AAP to "set out proposals for major new waste management capacity in order to ensure adequate provision".
- 7.5 Supplementary Planning Documents (SPD) can also be used positively to integrate waste management with other development proposals. An interesting example is from Bedfordshire, where SPD is currently being produced by the WPA in partnership with the other LPA, WCA and the WDA to provide detailed guidance on delivering waste local plan policies.

17. How to integrate the need for waste management with other spatial concerns in LDD preparation?

The need for land opportunities for waste management should be built into the preparatory work for LDD. For example:

- suitable previously-developed land, including industrial land, provides opportunities for new waste facilities, but may also be suitable for other development. It is important for the full range of land uses to be considered when looking at development opportunities;
- as Employment Land Reviews are undertaken, it is important to build in the needs of waste management before releasing land to housing development
- it is important to bear in mind in considering land resources that some of the best opportunities for driving waste management up the waste hierarchy are likely to exist through on-site management of C&I, C&D and agricultural wastes; and
- the integration of local waste management opportunities in new development should be integral to promoting good urban design.

18. How to..... consider climate change?

Planning strategies and decisions taken on planning applications should contribute to the delivery of sustainable development, including global sustainability. Policies should take account of the need to mitigate the effects of, and adapt to, climate change through, for example, the reduction of greenhouse gas emissions, the use of renewable energy and taking climate change into account in the location and design of development.

Mitigation

Delivering the Key Planning Objectives in PPS10 will help reduce the impact of waste management on the environment, including through the reduction of greenhouse gases. SA should help shape planning strategies to deliver these planning objectives. Within SA, life-cycle assessment tools, such as those developed by the Environment Agency, can help assess the greenhouse gas emissions for different waste management options.

Adaptation

Climate change will be relevant when considering appropriate locations for some types of waste management, landfill in particular. A discussion on possible impacts of climate change on waste management can be found in the Environment Agency research report *The Potential Impacts of Climate Change on Waste Management*¹¹.

Further advice on planning and climate change is contained in *The Planning Response to Climate Change: Advice on Better Practice* (ODPM 2004)

¹¹ research report X1-042 <http://publications.environment-agency.gov.uk/pdf/SX1-042-TR-e-p.pdf>

19. How tosecure opportunities for waste management in new development?

An example is the approach taken by Bedfordshire County Council in their adopted Minerals and Waste Local Plan (January 2005) in the policies shown below. Supporting text amplifies these policies and underlines in particular the essential role of the districts in their implementation.

Management of wastes at source: Waste Audits

Proposals that are likely to generate significant volumes of waste through the development or operational phases will be required to include a waste audit as part of the application. This audit should demonstrate that in both construction and operational phases of a proposed development, waste will be minimised as far as possible and that such waste as is generated will be managed in an appropriate manner in accordance with the Waste Hierarchy. In particular, the waste audit should include the following information:

- a) the anticipated nature and volumes of waste that the development will generate;
- b) where appropriate, the steps to be taken to ensure the maximum amount of waste arising from development on previously developed land is incorporated within the new development;
- c) the steps to be taken to ensure effective segregation of wastes at source including, as appropriate, the provision of waste sorting, storage, recovery and recycling facilities; and
- d) any other steps to be taken to manage the waste that cannot be incorporated within the new development or that arises once development is complete.

Before granting planning permission, the LPA will need to be satisfied that the measures identified in the waste audit represent appropriate waste management solutions in light of the Waste Hierarchy. Where appropriate, the LPA may require additional waste management measures in order to facilitate the movement of waste management up the Hierarchy.

Management of wastes at source: Provision of facilities with new development

The LPA will require the provision of appropriate waste sorting, recovery and recycling facilities for the following developments:

- a) development areas for 100 or more dwellings;
- b) new development, redevelopment or refurbishment of shopping centres or facilities where the floorspace of existing and new development amounts to 500m² or more;
- c) major transport, leisure, recreation, tourist or community facilities; and
- d) appropriate smaller developments which frequently attract a significant number of people (e.g. community or shopping schemes).'

7.6 There may be advantages in establishing formal working arrangements between authorities. The scope for joint working on LDD is set out in PPS12 (paragraphs 2.34 to 2.38) and Section 3 of its companion guide. Further, more detailed, advice is available from the DCLG's Planning Directorate. The benefits of joint LDD include:

- the pooling of resources;
- the development of a consistent policy framework over a larger area; and
- efficiency in integrating waste management alongside other spatial planning concerns to deliver sustainable development

7.7 A formal safeguard to secure integration is the requirement on district planning authorities (PPS12 paragraph 2.22) to include on their adopted proposals map any waste allocations that are adopted in a DPD prepared by the county council. It is preferable for there to have been close cooperation between authorities in their plan-making so as to ensure sensible integration of land use concerns.

20. How to.....decide whether to plan for minerals and waste in combined LDD?

The decision on whether to integrate waste and minerals considerations in combined LDD is for the WPA concerned.

The advantages will include:

- identification of the joint use of sites;
- clearer integration of policies on minerals extraction and aggregates recycling;
- resource efficiencies in developing policy relevant to minerals and waste;
- avoiding overload in community engagement.

The disadvantages will include:

- difficulties in demonstrating a move away from reliance on landfill and integration of waste planning with other spatial concerns;
- a level of focus on landfill inconsistent with moving waste management up the waste hierarchy;
- focused resources on producing an up-to-date waste strategy; and
- effective community engagement through focusing on one complex issue at a time.

Interaction with Municipal Waste Management Strategies

7.8 As MWMS are subject both to SEA and to a requirement to engage with communities, they are being produced in a process with similarities to the development of planning policy. The guidance provided by Defra on preparation of MWMS is consistent with the Key Planning Objectives in PPS10. This presents opportunities to align the processes at key stages in order to optimise the use of resources, to minimise the potential for 'consultation fatigue' and to avoid potential for conflict between these two inter-dependent delivery routes for sustainable waste management.

21. How tojoin up the development of waste LDD and MWMS?

There are a number of ways, for example:

- include a representative from the WDA in key discussions within the WPA throughout preparation of LDD (and vice versa);
- co-ordinate the timetable for production of both LDD and MWMS;
- design community involvement, stakeholder participation and SA/SEA initiatives with one another’s needs in mind and where practicable, seek to integrate; and
- co-ordinate monitoring.

- 7.9 PPS10 requires the core strategies of WPA to inform, and to be informed by, the MWMS. The core strategy, in setting out policies and proposals for waste management, should avoid prescribing particular waste management solutions for particular waste streams unless a sound reason exists for doing so.
- 7.10 The precise nature of proposals that come forward for new waste management will be heavily influenced by market needs. The core strategy should focus on delivering the Key Planning Objectives in PPS10 and ensuring sufficient opportunities for the provision of waste management facilities in line with the objectives. An exception to this may be in the case where an up-to-date MWMS, developed in line with Defra’s 2005 policy guidance, provides a clear set of land requirements for the management of MSW and associated wastes.

[Paragraph 16, PPS10]

- 7.11 Major capital intensive waste treatment facilities have generally only been developed by the waste management industry where they have been underwritten by ‘guaranteed tonnage’ in the form of municipal waste management contracts. Where the MWMS identifies preferred technology options for municipal waste, and potentially for some commercial and industrial waste that is underwritten by WDA contracts, sites could (and should) be identified that are specifically tailored to those technologies.
- 7.12 Equally, in developing the MWMS, waste management officers should draw from the approved development plan, and review work underway, as well as engaging in a dialogue with the WPA, in developing preferred options for the MWMS. Otherwise there is a real risk of options developed in isolation being inconsistent with the spatial strategy for an area and ultimately unsuccessful in gaining planning permission.

22. How toplan in LDD for municipal waste?

There will be no one set way, but useful pointers include:

- the core strategy could support specific waste management technologies as identified in the MWMS where these help drive waste management up the waste hierarchy, with similar support for other wastes where the MWMS sets out a strategy for facilitating non-municipal capacity
- land allocations to support the apportionment for municipal waste could reflect the solutions that WCA and WDA have proposed
- taking into account local strategies for the Landfill Allowance Trading Scheme (LATS). The Scheme implements the Landfill Directive requirement for reduction of biodegradable municipal waste going to landfill, obliging WDA to put in place waste management facilities to achieve this. Defra have produced policy and practice guidance on preparing MWMS which includes the relationship between local planning strategies and MWMS. This will be relevant even where an exemption to the statutory duty to produce an MWMS is in place; and
- where there is no up-to-date MWMS setting out the planning strategy for waste management, the core strategy should avoid constraining the operational detail of the options under consideration for managing municipal waste when these options are consistent with the strategy in RSS and the Key Planning Objectives in PPS10.

THE CORE STRATEGY

- 7.13 The general purpose and scope of a core strategy is described in the companion guide supporting PPS12 (Sections 3.1 and 3.4). For WPA, particular expectations are set out in PPS10.
- 7.14 The core strategy should set out policies and proposals for waste management in line with the RSS and ensure sufficient opportunities for the provision of waste management facilities in appropriate locations including for waste disposal. The core strategy should both inform and in turn be informed by any relevant MWMS. It should look forward for a period of at least ten years from the date of adoption and should aim to look ahead to any longer-term time horizon that is set out in the RSS.

[Paragraph 16, PPS 10]

- 7.15 The core strategy should not reopen consideration of either the principles set out in RSS or the annual rates of waste to be managed. It is not anticipated that land allocations will be made through the core strategy, but it should provide sufficient spatial guidance so as to ensure there will be sufficient and suitable land allocations to support the waste strategy set out in RSS and its own policies for waste management.

23. How toprepare LDD without up-to-date RSS?

Where the RSS is being revised, it may not be sensible to prepare LDD in line with existing RSS. Account should be taken of the RSS’s progression through the statutory procedures. The weight to be attached to emerging RSS will increase as progress is made through these procedures (see paragraph 4.19 of PPS12).

Where RSS does not yet provide the concise strategy for waste management expected by PPS10, the core strategy of a WPA should be prepared to give effect to the Key Planning Objectives in PPS10. WPA will need to make and justify their own judgements on land allocations required to ensure sufficient opportunities for the provision of waste management facilities in appropriate locations, including for waste disposal.

These judgements should be reached in the context of advice from the RPB, information from the RPB’s and the WPA’s monitoring reports, comments from other stakeholders and advice from the Government Office. They will need to be reviewed when up-to-date RSS is available and, where necessary, changes made to LDD to ensure local implementation supports the delivery of RSS.

- 7.16 The core strategy should set out how it will support the provision of new or enhanced waste management facilities in line with the RSS and consistent with the Key Planning Objectives in PPS10. The core strategy could usefully articulate and frame these objectives within and for the local context.
- 7.17 The core strategy should reflect the vision set out by the community strategy and, where appropriate, be cognisant of the community strategies of interacting authorities. It should provide the local spatial delivery tool, as described in PPS1, for delivery strategies bearing on waste management including, but not solely, the relevant MWMS. Other interactions will include those with local strategies for transport, housing, economic growth and regeneration.

24. How toprovide clarity before the core strategy is completed?

It can be helpful to identify those elements of an existing waste local plan that will form the basis of the core strategy. For example, the Lancashire County Council Minerals and Waste Development Scheme points to those policies in the adopted Lancashire Waste Local Plan which will be reflected in the emerging Core Strategy.

IDENTIFYING LAND FOR WASTE MANAGEMENT FACILITIES

- 7.18 WPA are expected to identify in DPD sites and areas suitable for new or enhanced waste management facilities for the waste management needs of their area. In particular they are asked to:

- Allocate sites to support the pattern of waste management facilities set out in the RSS in accordance with the broad locations identified in the RSS; and
- Allocate sites and areas suitable for new or enhanced waste management facilities to support the apportionment set out in the RSS

[Paragraph 17, PPS10]

- 7.19 Wherever practicable, the WPA should identify sites because of the increased confidence this will bring for all stakeholders in the planning process. However, there will be occasions when a WPA will wish to identify particular areas as suitable for waste management to provide for more flexibility for the market. Such areas could include, for example, particular industrial estates where the WPA is satisfied that any of a number of individual sites would be suitable for waste management.
- 7.20 Paragraphs 2.15–2.16 of PPS12, and Section 8 of its companion guide, set out the general expectations for producing site specific allocations in DPD, including useful checklists covering, for example, integrating site allocations with policy in other DPD.

DEMONSTRATING SUFFICIENT PROVISION IN LINE WITH THE REGIONAL SPATIAL STRATEGY

- 7.21 In identifying land for waste management facilities, WPA are expected to be able to demonstrate how capacity equivalent to at least ten years of the annual rates set out in the RSS could be provided.

[Paragraph 18, PPS10]

- 7.22 In considering the extent of the land allocation required, and to be able to demonstrate that the land allocation is sufficient, a WPA will need to assess the capacity of operational sites based on available data and information (*see Section 4*), supplemented as appropriate by consultation with the waste industry, WDA and WCA. In doing so, it could be helpful to consider contractual commitments at individual sites where this information is publicly available, for example for municipal waste, so as to be clear on actual available capacity. The ‘capacity gap’, between available capacity and that needed to meet the annual rates set through RSS, will be met by carrying forward existing land allocations where available and suitable and fresh land allocations.

25. How toassess waste management capacity?

Examples of assessments in practice include:

- In Kent where the County Council commissioned consultants to produce an assessment of waste management requirements for municipal, commercial and industrial, and inert waste to inform the preparation of LDD. The assessment is intended to inform decision-making rather than being the ‘plan’ itself and is available at www.kent.gov.uk. It includes scenarios for future waste facility requirements, including types and numbers, varying according to whether the preference is for centralised larger-scale facilities or smaller-scale dispersed facilities, the type of waste process selected, and whether more than one facility can be located on one site;
- In Cornwall where the County Council’s assessment of future needs fed into the adopted Waste Local Plan, which can be viewed at www.cornwall.gov.uk. The assessment considered existing waste management arrangements for the main waste streams and was the basis for the County’s estimate of ‘capacity gaps’; and
- In Surrey, where the County Council has assessed the need for waste management facilities up to 2020. The assessment included a number of scenarios for how waste streams may grow over this period, which fed through to options for required facilities. The report can be viewed at www.surreycc.gov.uk

- 7.23 In allocating sites and areas, PPS10 underlines the importance of avoiding unrealistic assumptions on their prospects for development for waste management facilities. Ownership constraints are identified in particular because of the concern that sites may not in reality come forward for waste management without willing land owners, or the use by the WPA of compulsory purchase powers.
- 7.24 The WPA may wish to consider the use of compulsory purchase powers where a suitable site has the backing of the local community but where land ownership constraints hold it back from development. Compulsory purchase can be pursued where development or redevelopment is likely to contribute to the achievement or promotion of the economic, social and environmental well-being of an area. See ODPM Circular 06/2004 “Compulsory Purchase and The Crichel Down Rules” for further guidance.

26. How to.....estimate the size of site needed?

'Planning for Waste Management Facilities: A Research Study' published by the ODPM (August 2004) is a useful source. The study draws on real examples and provides indicative site sizes/building footprints/throughput capacities for a range of waste management facilities. It identifies the key operational characteristics likely to be relevant in considering suitable locations and draws these together through a scoping matrix that correlates with the locational criteria set out in Annex E of PPS10. It can be viewed at http://www.communities.gov.uk/embedded_object.asp?id=1145713

The Environment Agency's Waste Technology Data Centre, which provides advice on different types of waste management facilities and technologies, may also be of use. The centre is updated on a regular basis and is located at <http://www.environment-agency.gov.uk/wtd/>

In the case of landfill, waste planning authorities will have to convert tonnages of municipal and commercial/industrial waste requiring management into cubic metres. For the purposes of demonstrating sufficient capacity this does not have to reflect the specific composition of the waste or the processes the waste has gone through. The density of waste delivered to the landfill is the most appropriate measure and for this a density factor of 0.85 tonnes of municipal or commercial/industrial waste per cubic metre could be used.

- 7.25 All sites and areas allocated for waste management should be suitable for their intended use. This is why PPS10 expects the type or types of waste management facility that would be appropriately located on the allocated site or in the allocated area to be identified. However, care should be taken to avoid unnecessary prescription, particularly where, as stated in PPS10, this could stifle innovation in line with the waste hierarchy. Prescription is only likely to be justified where necessary to ensure:
- The delivery of the core strategy in line with the Key Planning Objectives set out in PPS10 or the delivery of facilities required by the MWMS; and
 - The suitable use of sites given their location or other constraints, ie a site may be suitable for only one particular type of waste management facility.
- 7.26 In demonstrating that the stock of allocated land does provide sufficient opportunities in line with the core strategy, consideration should be given to any identified constraints to site deliverability. This will include marketability to the waste management industry and the 'lead in' times that may arise from new infrastructure required to service sites, which although capable of resolution during the forward look of the plan (otherwise the allocation should not have been made) could affect deliverability. In such situations, and where there is significant reliance on 'area' allocations, the WPA will wish to avoid planning for a 'close fit' of land allocations with planned waste management capacity.
- 7.27 The 'demonstration' sought by PPS10 is a broad test intended to ensure sufficient opportunities for waste management. It is not intended as a rigid cap on the development of waste management capacity in line with the core strategy.

7.28 Where a WPA provides a range of site opportunities which in aggregate exceed planned waste management capacity, they should consider including in LDD policies to help steer land releases (ie the grant of planning permission) in line with the core strategy. All WPA should be alive to the possibility of early review of LDD where monitoring indicates that a persistent, and significant, gap exists between what has been planned for and what is occurring in reality and that this is risking delivery of the core strategy.

27. How to..... evaluate the likelihood of a proposal coming forward on a particular site

It will be clear, in the case of some sites, that the likelihood of them being developed is high, particularly where the site owner has a clear intention to do so at the point of allocation. In the case of some other types of site, this may be less certain. A simple method for assessing the likelihood of a site coming forward might be on the basis of the following examples:

A site may be being considered that is appropriate for facilities of different types from 10,000 to 20,000 tonnes. After considering site deliverability criteria (i.e. ownership constraints etc), the site is considered to be 75% likely to come forward. Therefore, the site (if allocated) might be considered to account for 11,250 tonnes (15,000 tonnes (the median of 10,000 and 20,000 tonnes) X 75%). Only sites with a high likelihood of coming forward should normally be allocated, but where it is estimated that this is not the case, this approach could provide a basis for demonstrating that allocations would deliver annual rates apportioned in RSS.

For areas, (e.g. industrial estates) it should also be possible to take account of the rate with which units on different industrial estates become available – information that (in most cases) the WPA should be able to obtain from landlords and/or business rates records.

Identifying Suitable Sites and Areas

7.29 PPS10 points the WPA in their search for sites and areas for new or enhanced waste management facilities to:

- opportunities for on-site management of waste where it arises; and,
- a broad range of locations including industrial sites, looking for opportunities to co-locate facilities together and with complementary activities¹².

The search for sites for waste management has traditionally focussed on opportunities for landfill and, or, on existing waste management facilities. Waste management needs are however changing. Most waste management activities are now suitable for industrial locations, and many fall within the general industrial class in the Use Classes Order¹².

¹² The Town and Country Planning (Use Classes) Order 1987. SI 1987 No. 764

This is particularly the case given the increased move towards enclosing waste management activities in purpose-designed buildings.

7.31 With advancement in mitigation techniques, some waste facilities may also be considered as light industrial in nature and therefore compatible with residential development. In more rural areas, redundant agricultural and forestry buildings may also provide suitable opportunities, particularly for the management of agricultural wastes.

28. How to.....decide whether an industrial location is suitable for waste management?

Planning for Waste Management Facilities: A Research Study includes useful pointers but there is no substitute for seeing operational facilities on the ground. For example:

- the Hornsey Street ‘waste re-use and recycling centre’ has been in operation since September 2004, the result of the relocation of North London Waste Authority’s WTS from Ashburton Grove to make way for the new Arsenal Football Club ground. Acoustic baffles and odour control devices were installed at the new WTS to mitigate noise and odour impacts sufficiently to enable the facility to be located in a predominantly residential area and new housing is proposed in close proximity;
- the Ball Mill at Bursom, Leicester is a mechanical pulverising and sorting plant located on an industrial estate (allocated for B2/B8 uses) and within 100m of housing; and
- the Portsmouth energy recovery facility sits within a larger site allocated in the Portsmouth City Local Plan and the Hampshire, Portsmouth and Southampton Minerals and Waste Local Plan for an integrated waste management facility. A materials recovery facility occupies the northern part of the site, handling 50,000 tpa. There is also planning permission for an Household Waste Recycling Centre on land between the MRF and ERF buildings. Good design has successfully integrated the facility with its industrial and commercial neighbours.

7.32 In looking for sites for waste management, the WPA are encouraged by PPS10 to consider the concept of resource recovery parks, sometimes referred to as resource management parks, or eco-parks. The concept offers particular advantages for integrated waste management and driving waste management up the waste hierarchy.

29. How toidentify suitable sites for resource recovery parks?

When in doubt:

- talk to those with the right expertise, for example the Wales Environment Trust Ltd which is a leading organisation in the development of environmentally and economically sustainable solutions to waste. The company promotes the concept of waste as a resource and the capture or realisation of the resource value within eco-parks or waste resource parks. The Trust’s website provides useful links to successful examples of eco-park developments. www.walesenvtrust.org.uk
- look at examples on the ground, for example London Waste’s redevelopment of its existing site in Edmonton into an ecopark. The site is located next to the North Circular Road with canal access. Recently London Waste was granted planning permission to construct a new composting facility within the site. This facility is an integral part of the overall ecopark plans, supplementing the existing metal, paper, wood, aluminium can and refrigerator recycling services on site. www.londonwaste.co.uk

- 7.33 The WPA should bear in mind in their search for sites that in allocating land they are expected to give preference to suitable sites that are previously-developed land, and redundant agricultural and forestry buildings and their curtilages. This does not mean that greenfield allocations are ruled out or all ‘brownfield’ sites have to be developed before greenfield development would be acceptable. Not all brownfield sites will be suitable for the range of waste management facilities required to support the core strategy. The concern is to ensure good use of suitable ‘brownfield’ land and avoid turning unnecessarily to greenfield locations.
- 7.34 In their search for sites, and in line with the Key Planning Objectives in PPS10, WPA are expected to protect Green Belts but recognise the particular locational needs of some types of waste management facilities when defining detailed Green Belt boundaries. In certain circumstances, in particular where a local authority’s area contains a high proportion of Green Belt land and an inadequate range of suitable sites outside the Green Belt exist, an authority may, exceptionally, wish to consider a limited alteration to the defined Green Belt boundary, to meet a specific, identified need for a waste management facility. The alteration might be to accommodate a site inset with the Green Belt.
- 7.35 Such a proposal should be brought forward through the LDD process. This will provide greater certainty for the WPA in providing sufficient land capacity to meet identified need for waste management facilities and to the waste industry for the purpose of submitting a planning application. Where land is removed from the Green Belt in this way, it should be specifically allocated in a DPD as a waste management facility site only. This process will need to be carefully coordinated between the District planning authority and the WPA in two tier authority areas, given that the Green Belt boundary will be defined in the district DPD.

Testing the Suitability of Sites and Areas

- 7.36 In considering which sites and areas could be identified for waste management facilities, WPA are expected to test their suitability against the criteria set out in paragraph 21(i) of PPS10 and in doing so consider the factors set out in Annex E of the PPS. These nine, more detailed, considerations correlate with the scoping matrix used in Part II of Planning for Waste Management Facilities: A Research Study¹³. This matrix focuses on the planning considerations arising from a range of waste management facilities and will help the WPA in their consideration of the suitability of a site for a particular waste management facility in terms of type and scale, taking account of best available technologies (not involving excessive costs).

30. How to test the suitability of sites and areas for waste management facilities?

There will be more than one way to carry out site appraisals in line with the expectations in PPS10. Useful pointers can be found in:

- the site appraisal carried out in support of Shropshire's Adopted Waste Local Plan (October 2004). The appendices provide a site appraisal methodology which correlates with Annex E of PPS10. It was used to sift through all potential sites and areas within the county of Shropshire to determine which were the most appropriate for allocation. The appendices can be viewed at www.shropshire.gov.uk.
- Cheshire County Council's approach to its replacement waste local plan. The County Council has carried out an appraisal of sites that considers the planning context, neighbouring land uses and environmental considerations. This can be viewed at www.cheshire.gov.uk.

- 7.37 The criteria in PPS10 mostly focus on environmental concerns, but the WPA are also required to consider, as a test of suitability, the cumulative effect of previous waste disposal facilities on the well-being of the local community, including any significant adverse impacts on environmental quality, social cohesion and inclusion or economic potential. This reflects the Government's commitment to developing strong, vibrant and sustainable communities. PPS1 expects consideration to be given to the impact of development on the social fabric of communities and planning authorities to seek to reduce social inequalities. Delivering safe, healthy and attractive places to live is a key component of this.
- 7.38 The WPA should not assume that because a particular area has hosted, or hosts, waste disposal facilities it is appropriate to add to these or extend their life. It is important to consider the cumulative effect of previous waste disposal facilities on a community's well-being. Impacts on environmental quality, social cohesion and inclusion and economic

¹³ http://www.odpm.gov.uk/embedded_object.asp?id=1145713

potential may all be relevant. Engagement with the local communities affected by previous waste disposal decisions will help in these considerations.

Local Development Orders

- 7.39 Local Development Orders are designed to be a flexible tool for controlling new development when linked to specific policy in DPD. The WPA may wish to consider their use for minor and non-controversial waste development where their use would be consistent with the Key Planning Objectives in PPS10. Guidance on their use will be published shortly and will be available at www.communities.gov.uk.

SECTION 7 SUMMARY – LOCAL DEVELOPMENT DOCUMENTS

Relationships

- Planning for sustainable waste management requires integration with other areas of spatial planning. Waste should not be considered in isolation from other planning concerns, even when addressed through thematic LDD. For example:
 - previously-developed industrial land may provide opportunities for new waste facilities as well as for other forms of development; and
 - some of the best opportunities for driving waste management up the waste hierarchy may be through on-site management that could bypass the ‘waste planning system’ altogether.

Early and ongoing dialogue between relevant local authorities will promote consistency and the integration of waste management with other spatial planning matters. (7.1 to 7.3 and ‘How To?’ boxes 17 and 19)
- Area action plans (AAP) can help foster joined-up thinking in delivering sustainable development and can be a useful tool for integrating waste management needs with wider spatial concerns. Supplementary Planning Documents (SPD) can also be used positively to integrate waste management with other development proposals. (7.4 to 7.5)

Municipal Waste Management Strategies

- MWMS are subject both to SEA and a requirement to engage with communities and are being produced in a process with similarities to the development of planning policy. This presents opportunities to align these two inter-dependent delivery routes for sustainable waste management. PPS10 requires the core strategies of WPA to inform, and to be informed by, the MWMS. (7.8 to 7.9)
- Where the MWMS identifies preferred technology options for municipal waste, and potentially for some commercial and industrial waste that is underwritten by WDA contracts, sites should be identified that are specifically tailored to those technologies. (7.11)

- Equally, in developing the MWMS, waste management officers should engage in a dialogue with the WPA and avoid options that are unlikely to be deliverable in spatial planning terms. (7.12)

The Core Strategy

- The core strategy should set out policies & proposals for waste management in line with RSS, ensuring sufficient opportunities for waste management provision in appropriate locations. (7.13 to 7.14)
- The core strategy should not reopen consideration of either the principles set out in RSS or the annual rates of waste to be managed. (7.15)
- Land allocations will not be made through the core strategy, but it should provide sufficient spatial guidance so as to ensure there will be sufficient and suitable land allocations to support the waste strategy set out in RSS and its own policies for waste management. (7.15 to 7.17)

Identifying Land for Waste Management Facilities

- WPA are expected to identify in DPD sites and areas suitable for waste management facilities for the waste management needs of their area. (7.18)
- Wherever practicable, the WPA should identify specific sites. However, in areas such as an industrial estate where the WPA is satisfied that any of a number of individual sites would be suitable for waste management, the WPA may opt to identify particular areas, apart from in the case of facilities for which broad locations have been identified in RSS. (7.19)
- In identifying land for waste management facilities, WPA are expected to be able to demonstrate how capacity equivalent to at least ten years of the annual rates set out in the RSS would be provided. The 'demonstration' is a broad test intended to ensure sufficient opportunities for waste management. It is not intended as a rigid cap on the development of waste management capacity in line with the core strategy. (7.21 to 7.27)
- In allocating sites and areas, unrealistic assumptions as to their prospects for development for waste management facilities should be avoided. Land ownership constraints may be of particular concern and, where a suitable site has the backing of the local community, the WPA may wish to consider the use of compulsory purchase powers. In such situations, and where there is significant reliance on 'area' allocations, the WPA will wish to avoid planning for a 'close fit' of land allocations with planned waste management capacity. (7.23 to 7.26)
- All sites and areas allocated for waste management should be suitable for their intended use. The type or types of waste management facility that *would be appropriately located* on the allocated site should be clearly identified. However, care should be taken to avoid unnecessary prescription. (7.25)
- Where a WPA provides a range of site opportunities which in aggregate exceed planned waste management capacity, they should consider including in LDD policies to help

steer land releases (i.e. the grant of planning permission) over time in line with the core strategy. (7.28)

Identifying Suitable Sites and Areas

- WPA should aim to provide a broad range of sites, areas and locations. For example:
 - industrial sites will be increasingly important and many waste management processes will be suitable for land falling under the general industrial use class;
 - with advancement in mitigation techniques, some facilities may also be considered as light industrial in nature and therefore compatible with residential development;
 - opportunities to co-locate facilities together and with complementary activities should also be considered, including potential for Resource Recovery Parks; and
 - opportunities are also increasingly likely to exist for on-site management of waste.
- WPA should bear in mind that they are expected to give preference to suitable sites that are previously-developed land, and redundant agricultural and forestry buildings and their curtilages. (7.29 to 7.33)
- In exceptional circumstances, an authority may wish to consider a limited alteration to the defined Green Belt boundary, to meet a specific, identified need for a waste management facility. (7.34 to 7.35)

Testing the Suitability of Sites and Areas

- In considering which sites and areas could be identified for waste management facilities, WPA are expected to test their suitability against the criteria set out in PPS10. (7.36 to 7.37)
- WPA are also required to consider, as a test of suitability, the cumulative effect of previous waste disposal facilities on the well-being of local communities. WPA should not assume that because a particular area has hosted, or hosts, waste disposal facilities it is appropriate to add to these or extend their life. (7.38)

Local Development Orders

- Local Development Orders are designed to be a flexible tool for controlling new development when linked to specific policy in DPD. The WPA may wish to consider their use for minor and non-controversial waste development where their use would be consistent with the Key Planning Objectives in PPS10. (7.39)

Check List

- Are opportunities for more sustainable waste management that are unlikely to bypass the waste planning system adequately catered for in your area?
- Does an adequate and ongoing dialogue take place between the WPA and those responsible for other spatial planning considerations regarding waste planning issues?
- Has a joint project planning approach been taken to ensuring that opportunities for collaboration with the MWMS preparation process have been properly considered?
- Does the core strategy support waste management technologies and approaches identified in the MWMS?
- Does the core strategy take account of the WDA's strategies for responding to the Landfill Allowance Trading Scheme (LATS)?
- Have realistic assumptions regarding the likelihood of sites coming forward been made following proper analysis of the relevant issues for each site or area?
- Have the appropriate uses of each site or area been assessed objectively, without simply 'taking as read' the views of land owners or other interested parties?
- Do the land allocations provided in LDD support the rates of waste management apportioned by in RSS?

Key Signposts

PPS 12 and its companion guide *Creating Local Development Frameworks* provide the policy framework and advice on developing and implementing strategic planning policy. Both are available at <http://www.communities.gov.uk/index.asp?id=1143846>

WPAs should test the suitability of potential land allocations against the criteria set out in paragraph 21(i) of PPS10 and in doing so consider the factors set out in Annex E of the PPS.

Local Development Framework Monitoring: A Good Practice Guide is available at <http://www.communities.gov.uk/index.asp?id=1143905>

Advice on climate change is contained in the ODPM's *The Planning Response to Climate Change: Advice on Better Practice*

http://www.communities.gov.uk/embedded_object.asp?id=1144498 and Environment Agency research report *The Potential Impacts of Climate Change on Waste Management* <http://publications.environment-agency.gov.uk/pdf/SX1-042-TR-e-p.pdf>

Planning for Waste Management Facilities: A Research Study published by the ODPM draws on real examples and provides indicative site sizes/building footprints/throughput capacities for a range of technologies. Download at http://www.communities.gov.uk/embedded_object.asp?id=1145713

8 Determining Planning Applications

SCOPE

- 8.1 All planning authorities should be concerned with (i) the potential impact on waste generation of new development and (ii) the likely impact of proposed, non-waste related, development on existing and allocated waste management sites and areas.

[Paragraph 33-36, PPS10]

- 8.2 In two tier areas, integrated working between county and district planning authorities will be important in ensuring proper consideration is given to waste. This can be secured in a number of ways, but at the very minimum the WPA should obtain the weekly lists of submitted planning applications in constituent districts so as to allow for appropriate input as necessary.
- 8.3 Planning applications for waste development should be considered by the WPA. Planning legislation does not define ‘waste’ but the Town and Country Planning (Prescription of County Matters) (England) Regulations 2003 (“the 2003 Regulations”) prescribe the following classes of operations and uses of land as ‘county matters’ i.e. for determination by the county council as waste planning authority where there is a district council:
 - (i) the use of land, the carrying out of building, engineering or other operations, or the erection of plant or machinery used or proposed to be used, wholly or mainly for the purposes of recovering, treating, storing, processing, sorting, transferring or depositing of waste;
 - (ii) operations and uses ancillary to the purposes in (i) above, including development relating to access to highways.

31. How todecide whether a proposal is a “county matter”?

Interpretation is a matter for the courts. They have held that where a planning application covers both district and county matters, and its content is such that, having regard to the proposed overall use of the site, that part of the application which relates to a county matter forms a substantial element of the application, then the application is to be treated as a county matter. (see R v Berkshire County Council, Ex Part Wokingham District Council [1996] EWCA Civ 513.)

32. How todecide whether a proposal is 'waste development?

Interpretation is a matter for the courts. The following list is for general guidance only and is not intended to be exhaustive:

- a. metal recycling sites;
- b. energy from waste incineration and other waste incineration;
- c. landfill and landraising sites;
- d. landfill gas generation plant;
- e. pyrolysis / gasification;
- f. material recovery / recycling facilities;
- g. combined mechanical, biological and/or thermal treatment;
- h. in-vessel composting;
- i. open windrow composting;
- j. anaerobic digestion;
- k. household civic amenity sites;
- l. transfer stations;
- m. sewage treatment plants;
- n. dredging tips;
- o. storage of waste;
- p. recycling facilities for construction, demolition and excavation waste.

- 8.4 LPA are required to consult the WPA on any planning application which could materially conflict with or prejudice the implementation of a relevant county policy¹⁴.

RESPONSIBILITIES

- 8.5 In considering planning applications for waste management facilities, PPS 10 requires WPAs to concern themselves with implementing the planning strategy in the development plan and not with the control of processes which are a matter for the pollution control authorities. This is because the planning and pollution control regimes are separate but complementary. Pollution control is concerned with preventing pollution through the use of measures to prohibit or limit the release of substances to the environment to the lowest

¹⁴ See Schedule 1 paragraph 7 of the TCPA as amended by Schedule 6 paragraph 16(4) of the PCPA.

practicable level. It also ensures that ambient air and water quality meet standards that guard against impacts to the environment and human health. The planning system controls the development and use of land in the public interest and should focus on whether development is an acceptable use of the land, and the impacts of those uses on the development and use of land. PPS10 expects WPA to work on the assumption that the relevant pollution control regime will be properly applied and enforced.

- 8.6 Waste planning and pollution control authorities should work closely to ensure integrated and timely decisions under the complementary regimes. This can be assisted by applicants preparing and submitting planning and pollution control applications in parallel. Pre-application discussions between the applicant, WPA and pollution control authority, are beneficial in ensuring that all relevant issues are addressed, to the appropriate level of detail, within the application submitted under each regime.

[Paragraph 26-28, PPS10]

- 8.7 Early consultation with affected communities, informed by the WPA's SCI, is also helpful. Early dialogue engages communities when their views can make a difference and can help applicants address site specific issues. It can also help to address any mistaken perceptions.

33. How to.....identify the right pollution control authority?

<i>Pollution Control Authority</i>	<i>Key Legislation/Regulations</i>	<i>Responsibilities</i>
Environment Agency (EA)	<p>Environmental Protection Act 1990</p> <p>Waste Management Licensing Regulations 1994 (S.I. 1994 No. 1056 (as amended))</p> <p>Pollution Prevention and Control (England and Wales) Regulations 2000 (S.I. 2000/1973) (as amended)</p> <p>Landfill (England and Wales) Regulations 2002 (S.I. 2002/1559)</p>	<p>Permitting of waste management facilities: waste management licence and pollution prevention and control permit (PPC.)</p> <p>Anyone who deposits, recovers or disposes of controlled waste must do so either within the conditions of a waste management licence, or within the conditions of an exemption from licensing.</p> <p>Some consents under other regimes also give rise to an exemption from the need to obtain a waste management licence (see, for example, regulation 16(1)(c) and (d) of the Waste Management Licensing Regulations 1994). An example is a consent under Chapter 2 of Part 3 of the Water Resources Act 1991</p> <p>Some waste management activities require a PPC permit. These include the disposal of waste by landfill, waste treatment and storage facilities that dispose of >10 tonnes of hazardous waste per day, facilities that treat >50 tonnes of non-hazardous waste per day and some hazardous waste recovery operations that treat >10 tonnes of hazardous waste per day. A PPC permit for these types of facilities will also be a permit implementing aspects of other Directives including the Waste Framework Directive, Hazardous Waste Directive, Waste Oils Directive, PCB Directive, the incineration of waste to comply with the requirements of the Waste Incineration Directive (as transposed by the Environmental Protection (Waste Incineration Directive) (England) Direction 2002).</p>
Local Authority	<p>Pollution Prevention and Control (England and Wales) Regulations 2000 (S.I. 2000/1973) (as amended)</p>	<p>For Part A2 processes under PPC, the permitting of less complicated waste management facilities to prevent or, where that is not practicable to reduce emissions to air, land and water.</p> <p>For Part B processes under PPC: under regulation 16(1)(bb) of the Waste Management Licensing Regulations 1994 there is a partial exemption (in relation to the release of substances into the air) from the need to obtain a waste management licence where a Part B permit is in place.</p>
State Veterinary Service (SVS)	<p>EU Animal By-Products Regulation 2002 (Regulation (EC) No 1774/2002 of the European Parliament and of the Council of 3 October 2002, as amended)</p> <p>Animal By-Product Regulations 2005</p>	<p>Approving the composting and biogas treatment of catering wastes and animal by-products following prior authorisation by the EA. Authorisation also applies to other activities including the incineration of animal by-products (which are not whole animal carcasses from agricultural premises) e.g. pet incinerators/crematoria, landspreading of by-products for agricultural benefit and other instances involving the storage, handling, disposal or recovery of animal by-products that are waste.</p>

INTERACTION WITH WASTE LEGISLATION

- 8.8 The term ‘waste’ is not defined in the 2003 Regulations but the effect of paragraph 11 of Schedule 4 to the Waste Management Licensing Regulations 1994 as amended (“the 1994 Regulations”) is to provide that it includes ‘Directive waste’ - which is defined in Regulation 1(3) of the 1994 Regulations. Subject to this, the term ‘waste’ in the 2003 Regulations assumes its normal and natural meaning.
- 8.9 Paragraphs 3(1) of Schedule 4 to the 1994 Regulations provide that the WPA is a “competent authority”¹⁵ the “specified functions” of which include “determining an application for planning permission”. The effect of this is to tie Articles 3, 4 and 5 of the Waste Framework Directive (Directive 75/442/EEC on waste as amended by Directive 91/156/EEC) into the domestic planning process. When a WPA determines an application for planning permission for a waste management facility it is a competent authority discharging one of its specified functions. By paragraphs 2(1) and 4 of Schedule 4, it is required to discharge such function “insofar as ... [it] relate[s] to the recovery or disposal of waste” in accordance with the objective in paragraph 4(1)(b) namely “implementing, so far as material, any plan made under the plan-making provisions”. These provisions help to ensure implementation of the Article 7 plan, which in England includes PPS10, Waste Strategy 2000 (as amended) and the development plan for the area (in so far as the component plans or DPD contain policies for waste).
- 8.10 Where a development plan does not adequately reflect national planning policy on waste as set out in PPS10, the policy in PPS10 will be a material consideration. The Courts¹⁶ have held that an objective in the EU Waste Framework Directive is:
- “...something different from a material consideration... A material consideration is a factor to be taken into account when making a decision and the objective to be attained will be such a consideration, but it is more than that. An objective which is obligatory must always be kept in mind when making a decision even while the decision maker has regard to other material considerations. “
- 8.11 Regulation 5 of the Landfill (England and Wales) Regulations 2002 (“the 2002 Regulations”) places a specific responsibility on planning authorities to consider the requirements of Schedule 2, paragraph 1(1) of the 2002 Regulations. Regulation 5 specifically provides that:
- “A planning permission under the Town and Country Planning Act 1990 may be granted for a landfill only if the requirements of paragraph 1(1) of Schedule 2 to these Regulations have been taken into consideration.”

¹⁵ For implementing the Waste Framework Directive.

¹⁶ Court of Appeal in *Thornby Farms Ltd v Daventry District Council, Murray v Derbyshire County Council* [2002] JPL 937

8.12 Schedule 2, paragraph 1(1) states:

“The location of a landfill must take into consideration requirements relating to –

- a) the distances from the boundary of the site to residential and recreational areas, waterways, water bodies and other agricultural or urban sites;
- b) the existence of groundwater, coastal water or nature protection zones in the area;
- c) the geological or hydro geological conditions in the area;
- d) the risk of flooding, subsidence, landslides or avalanches on the site; and
- e) the protection of the natural or cultural heritage in the area.”

UNALLOCATED SITES

- 8.13 PPS10 sets out a plan-led approach to the delivery of the waste management facilities. There is considerable emphasis on the identification of sites and areas suitable for waste management so as to secure confidence for industry and local communities in the forward planning process and to deliver obligations arising from the Waste Framework Directive.
- 8.14 The aim should be to pick out as many potential sites as possible in the production of LDD. However, even the best plan-making can miss good opportunities to accommodate waste development. There may be significant changes in, for example, technological impact and land ownership that occur over a short period of time and provide opportunity that was not anticipated. These windfall developments, planning applications that come forward for sites that have not been identified, or are not located in an area identified, in a DPD as suitable for new or enhanced waste management facilities, may help implement the planning for waste strategy and should not be lost simply because they had not previously been identified. The key test is their consistency with PPS10 and the waste planning authority’s core strategy. Where they are consistent they should be considered favourably.

[Paragraph 24, PPS10]

- 8.15 In anticipation of such situations, waste planning authorities may find it helpful to have set out specific policy. Important considerations will be consistency with the Key Planning Objectives in PPS10, the criteria set out in paragraph 21 for site identification and the WPA’s own core strategy. In formulating criteria for application at the site level in support of the Key Planning Objectives and the core strategy it could be helpful for the WPA to draw from the results of the SA.
- 8.16 In the case of waste disposal facilities, applicants should be able to demonstrate that the envisaged facility will not undermine the waste planning strategy through prejudicing movement up the waste hierarchy. Otherwise, if the proposal is consistent with PPS10 and the core strategy there is no need to demonstrate ‘need’. Where monitoring indicates that a persistent, and significant gap, exists between what has been planned for and what is occurring in reality, the WPA would be able to address this through LDD review.

- 8.17 If the proposal relates to a site in a green belt, it is also likely to be inappropriate development. Criteria-based policies in LDDs need not, however, impose a total, blanket-ban on the establishment of such sites in Green Belts. It may still be appropriate to grant planning permission if the applicant is able to demonstrate that very special circumstances exist that clearly outweigh the harm caused by the proposed site being developed in the Green Belt, and any other harm. Each case should be considered on its merits in accordance with the development plan and any other material considerations. But ‘very special circumstances’ means just that. The decision-maker must be able to point to circumstances which, viewed objectively, are reasonably capable of being described as ‘very special’.

PLANNING CONDITIONS

- 8.18 Under the PCPA, most planning permissions will be granted for three years, except where a longer period is agreed by the planning authority. When granting permission for waste management facilities, planning authorities may need to consider whether three years will be long enough to implement the approved development, or if a longer period would be justified to ensure that appropriate waste management facilities will be developed.

TRANSITIONAL ISSUES

- 8.19 The main area for concern in the interim period before development plans fully reflect PPS10 is likely to be the application of policies in waste plans requiring BPEO.
- 8.20 BPEO, as set out in Waste Strategy 2000 and Planning Policy Guidance Note 10 (PPG10), was seen as a methodological tool for helping in the delivery of Government policy on waste management. By itself it has no legal standing. For example, the Waste Framework Directive does not include any reference to BPEO. Similarly, there is no obligation on Member States to prepare a national waste plan incorporating BPEO.
- 8.21 The policy review which informed the preparation of PPS10 and the new Guidance on the Preparation of Municipal Waste Management Strategies addressed, in response to concerns expressed by a number of stakeholders, the underpinning decision-making principles set out in Waste Strategy 2000. This review included the role of BPEO, which as a planning methodology was applied through policy in the old PPG10. In the light of the review, Ministers concluded that in future the tenets that underlay BPEO would be delivered in spatial planning through plan-led strategies that drive waste management up the waste hierarchy. These strategies, at both the regional and local level, will be subject to SA and set within the community engagement that is central to the reformed planning system. Similarly, local authorities developing municipal waste management strategies should undertake Strategic Environmental Assessment, combined with a thorough assessment of social and economic factors. Waste Strategy 2000 has been amended accordingly.

- 8.22 There is therefore no direct legal or national policy requirement for the application of BPEO policies in extant local plans. The approach to be taken should be that set out in *The Planning System: General Principles* i.e. a local planning authority must determine a planning application in accordance with the statutory development plan, unless material considerations indicate otherwise. Where there are other material considerations, the development plan should be the starting point, and other material considerations should be taken into account in reaching a decision. One such consideration will be whether the plan policies are relevant and up-to-date.
- 8.23 The Courts have held that the Government's statements of planning policy are material considerations which must be taken into account, where relevant, in decisions on planning applications. These statements cannot make irrelevant any matter which is a material consideration in a particular case. But where such statements indicate the weight that should be given to relevant considerations, decision-makers must have proper regard to them. If they elect not to follow relevant statements of the Government's planning policy, they must give clear and convincing reasons (*E C Grandson and Co Ltd v SSE and Gillingham BC 1985*). Policy in PPS10 on determining planning applications advises that: "Development plans form the framework within which decisions on proposals for development are taken. It is important that plans are kept up-to-date and properly reflect national policy."

[Paragraph 22, PPS10]

and, expects that:

"In the interim period before the development plan is updated to reflect the policies in this PPS, planning authorities should ensure proposals are consistent with the policies in this PPS and avoid placing requirements on applicants that are inconsistent."

[Paragraph 23, PS10]

- 8.24 This specific policy should be read in the context of the "Decision-Making Principles" which require waste planning authorities to:

"in considering planning applications for waste management facilities before development plans can be reviewed to reflect this PPS, have regard to the policies in this PPS as material considerations which may supersede the policies in their development plan. Any refusal of planning permission on grounds of prematurity will not be justified unless it accords with the policy in *The Planning System: General Principles*."

[Paragraph 5, PPS10]

- 8.25 The key policy requirement on planning authorities is to ensure proposals are consistent with the policies in PPS10 and implement the Key Planning Objectives through their planning strategies. PPS10 does not require BPEO and specifically advises that "planning authorities should avoid placing requirements on applicants that are inconsistent."

- 8.26 There is therefore, irrespective of the plan’s content, no policy expectation for the application of BPEO, and indeed a requirement to avoid placing requirements on applicants that are inconsistent with PPS10.
- 8.27 There is, however, a policy expectation for consistency with PPS10. In the absence of an up-to-date development plan, the planning authority will need to ensure they have sufficient information from the applicant to ‘test’ consistency with PPS10, in which the Key Planning Objectives play a critical role.
- 8.28 Where the proposal is one requiring EIA the needed information may be forthcoming through the Environmental Statement (ES). If the application is not accompanied by an ES, something akin to a BPEO exercise may help gather the necessary information but BPEO in itself is not required.
- 8.29 With respect to EIA, practice over recent years has shown that significant delays and costs have been associated with the inappropriate application of the EIA Regulations to facilities which do not have the potential for significant impacts on the environment. New general guidance is in the pipeline and a revised circular will be issued for consultation shortly.
- 8.30 The central policy concern for the determining planning authority is sufficiency of information to allow them to be confident in their determination of whether or not the proposed development is consistent with PPS10.

GOOD DESIGN

- 8.31 Sustainable waste management opportunities will be best secured through good design and layout in both waste and non-waste related proposals. Non-waste related development might incorporate recycling facilities such as bring banks, provide dedicated facilities to enable the collection of recyclable materials, or contribute toward community waste management facilities such as green waste composting sites or civic amenity sites. A significant development proposal might include a processing plant dedicated to treating waste generated by the development. For example, the bakers chain Greggs is piloting a zero waste policy using an on-site anaerobic digester to process waste foods.
- 8.32 The number of new waste facilities that will be required between now and 2020 has been widely documented. Many of these buildings will involve large buildings which will have a design life of 30–40 years. An SPD could be used to illustrate how high quality design could help to take forward the Key Planning Objectives set out in PPS10.
- 8.33 Good building design and site layout of facilities in appropriate locations will improve community acceptance of waste management facilities by mitigating environmental impacts, including visual appearance, and by improving operations on site so reducing impacts on the amenities of neighbouring uses to an acceptable level.

34. How to deliver good design in waste management?

Delivering a fundamental change in the design quality of waste management facilities requires investment in design and appropriate design skills being brought to bear at the right time. The planning system has a key role to play but the success of new development depends on the skills of designers and the commitment of those who employ them. There are success stories, for example:

The Marchwood Energy from Waste Facility is housed in a 36 metre high aluminium clad dome, and is located within Marchwood Industrial Park. It has an innovative design, which incorporates two chimneys rising from the centre of the dome to a height of 65 metres.

ENVIRONMENTAL IMPACT ASSESSMENT

- 8.34 Environmental Impact Assessment (EIA) is an important procedure for ensuring that the likely significant environmental effects of a proposed development are fully understood and taken into account before development is allowed to go ahead.
- 8.35 The types of development which fall within the scope of EIA are listed in Schedules 1 and 2 to the Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations 1999 (“the EIA Regulations”). The EIA regulations apply to two separate lists of projects:
- ‘Schedule 1 projects’, for which EIA is required in every case;
 - ‘Schedule 2 projects’, for which EIA is required if the particular project in question is judged likely to give rise to significant environmental effects.

Schedule 1 projects

- 8.36 The following Schedule 1 projects are likely to be of particular concern to waste planning authorities in discharging their development control responsibilities for waste:
- (i) “Waste disposal installations for the incineration, chemical treatment as defined in Annex IIA to Directive 75/442/EEC under heading D9, or landfill of hazardous waste (i.e. waste to which Directive 91/689/EEC applies)”

Comment: The Waste Framework Directive defines waste as “any substance or object in the categories set out in Annex I which the holder discards or intends or is required to discard.” The same Directive also defines disposal as “any of the operations provided for in Annex II A”. Annex II, A of the Waste Framework Directive is intended “to list disposal operations as they occur in practice”. Annex II, A lists 15 such waste disposal operations. However, the Schedule 1 project

description does not apply to all 15 waste disposal operations. It applies only to waste disposal installations for:-

- the incineration of hazardous waste;
- chemical treatment (as defined in D9 of Annex IIA to the Waste Framework Directive) of hazardous waste; and
- the landfill of hazardous waste.

In defining hazardous waste, the EIA Directive explicitly refers to Directive 91/689/EEC¹⁷ on hazardous waste. Article 1(4) of Directive 91/689/EEC defines the term “hazardous waste” as follows:

- “- waste featuring in a list to be drawn up in accordance with the procedure laid down in Article 18 of Directive 75/442/EEC on the basis of Annexes I and II to this Directive, not later than six months before the date of implementation of this Directive.; and
- any other waste which is considered by a Member State to display any of the properties listed in Annex III. Such cases shall be notified to the Commission and reviewed in accordance with the procedure laid down in Article 18 of Directive 75/442/EEC with a view to adaption of the list”.

The list of hazardous wastes applicable for the purposes of the EIA regulations is set out in the List of Wastes (England) Regulations 2005.

The Waste Framework Directive uses but does not define the term “landfill”. However, Art 2(g) of Directive 99/31/EC¹⁸ defines landfill as a

- “waste disposal site for the deposit of the waste onto or into land (i.e. underground), including:
 - internal waste disposal sites (i.e. landfill where a producer of waste is carrying out its own waste disposal at the place of production), and
 - a permanent site (i.e. more than one year) which is used for temporary storage of waste,

but excluding:

- facilities where waste is unloaded in order to permit its preparation for further transport for recovery, treatment or disposal elsewhere, and
- storage of waste prior to recovery or
- treatment for a period less than three years as a general rule, or storage of waste prior to disposal for a period less than one year”.

¹⁷ Council Directive 91/689/EEC of 12 December 1991 on hazardous waste

¹⁸ Directive 1999/31/EC on the landfill of waste

The Waste Framework Directive uses but does not define the term “incineration”. However, Art 3(4) of Directive 2000/76/EC¹⁹ defines “incineration plant” as:

“any stationary or mobile technical unit and equipment dedicated to the thermal treatment of wastes with or without recovery of the combustion heat generated. This includes the incineration by oxidation of waste as well as other thermal treatment processes such as pyrolysis, gasification or plasma processes in so far as the substances resulting from the treatment are subsequently incinerated”.

(ii) “Waste disposal installations for the incineration or chemical treatment as defined in Annex IIA to Directive 75/442/EEC under heading D9 of non-hazardous waste with a capacity exceeding 100 tonnes per day

Comment: The same definitions of waste, disposal, landfill and incineration plants apply as above.

(iii) Waste water treatment plants with a capacity exceeding 150,000 population equivalent as defined in Article 2 point 6 of Directive 91/271/EEC(c).

Schedule 2 projects

- 8.37 For the much longer list of Schedule 2 projects, the issue turns on the likelihood of ‘significant environmental effects’. For the different types of project described in column 1 of Schedule 2, the EIA Regulations introduced a system of thresholds and criteria, shown in column 2, as a method of identifying development which is not likely to have significant effects on the environment. For development where the applicable threshold or criterion is not exceeded or met, EIA is not normally required. However, even where the threshold or criterion is not met or exceeded, EIA may be required if the proposed development is in, or partly in, a ‘sensitive area’.
- 8.38 The more environmentally sensitive the location, the more likely it is that the effects of development will be significant and that EIA will be required. That is why the thresholds and criteria do not apply where development is proposed in, or partly in, a ‘sensitive area’ as defined in the EIA Regulations. Such areas include Sites of Special Scientific Interest (SSSIs) and sites within 2 kilometres of such a site which have been notified to the WPA by English Nature, National Parks, Areas of Outstanding Natural Beauty, the Broads, World Heritage Sites European sites designated as protected habitats under the Conservation (Natural Habitats etc) Regulations 1994 and scheduled monuments.
- 8.39 The following Schedule 2 projects, in particular, may be of concern to waste planning authorities in discharging their development control responsibilities for waste when the development concerned is a ‘county matter’ (see paragraph 8.3 above):

¹⁹ Directive 2000/76/EC on the incineration of waste

- (i) Industrial installations for the production of electricity, steam and hot water (unless included in Schedule 1); where the area of the development exceeds 0.5 hectares.
- (ii) Installations for the processing and storage of radioactive waste (unless included in Schedule 1); where (i) the area of new floorspace exceeds 1,000 square metres; or (ii) the installation resulting from the development will require an authorisation or the variation of an authorisation under the Radioactive Substances Act 1993.
- (iii) Installations for the recovery or destruction of explosive substances; where the area of new floorspace exceeds 1000 square metres.
- (iv) Industrial estate development projects; where the area of the development exceeds 0.5 hectares.
- (v) Urban development projects; where the area of the development exceeds 0.5 hectares.
- (vi) Installations for the disposal of waste (where not Schedule 1 projects); where the disposal is by incineration; or the area of the development exceeds 0.5 hectare; or the installation is to be sited within 100 metres of any controlled waters.
- (vii) Waste water treatment plants (where not Schedule 1 projects); where the development exceeds 1,000 square metres.
- (viii) Sludge-deposition sites and storage of scrap iron, including scrap vehicles; where (i) the area of deposit or storage exceeds 0.5 hectare or (ii) a deposit is to be made or scrap to be stored within 100 metres of controlled waterways.
- (ix) Installations for the recovery or destruction of explosive substances; where the area of new floorspace exceeds 100 square metres.
- (x) Knackers yards; where the area of new floorspace exceeds 1000 square metres.

SECTION 8 SUMMARY – DETERMINING PLANNING APPLICATIONS

Roles and Responsibilities

- All planning authorities should be concerned with (i) the potential impact on waste generation of new development and (ii) the likely impact of proposed, non-waste related, development on existing and allocated waste management sites and areas. (8.1)
- In two tier areas, integrated working between county and district planning authorities will be important in ensuring proper consideration is given to waste. This can be secured in a number of ways, but at the very minimum the WPA should obtain the weekly lists of submitted planning applications in constituent districts so as to allow appropriate input. (8.2)
- Planning applications for waste developments should be considered by the WPA. ‘Waste’ is not defined on planning legislation as such, but certain operations are prescribed as

‘county matters’ by regulation, although interpretation is a matter for the Courts. (8.3 and ‘How To?’ boxes 31 and 32)

- LPA are required to consult their WPA on any planning application which could materially conflict with or prejudice the implementation of a relevant WPA policy. (8.4)
- In considering planning applications WPA should focus on whether a development is an acceptable use of the land, and not with the control of processes which are a matter for the pollution control authorities. They should work on the assumption that the relevant pollution control regime will be properly applied and enforced. (8.5)
- Waste planning and pollution control authorities should work closely to ensure integrated and timely decisions under the complementary regimes. This can be assisted by applicants preparing and submitting planning and pollution control applications in parallel. Pre-application discussions between the applicant, WPA and pollution control authority can help to ensure that all relevant issues are addressed within the respective applications submitted. (8.6 and ‘How To’ box 33)
- Early consultation with affected communities is also helpful. Early dialogue engages communities when their views can make a difference and can help applicants address site specific issues. It can also help to address any mistaken perceptions. (8.7)

Interaction with Waste Legislation

- WPA have a key role in implementing the Waste Framework Directive in England, both through the determination of planning applications for waste management facilities and through the preparation of development plans containing policies for waste, which form part of the waste disposal plan required under Article 7 of the Directive (other components of which include Waste Strategy 2000 and PPS 10). (8.8 to 8.9)
- The Courts have held that an objective in the EU Waste Framework Directive is “...something different from a material consideration...” and “...must always be kept in mind when making a decision even while the decision maker has regard to other material considerations.” (8.10)
- The Landfill (England and Wales) Regulations 2002 place a responsibility on planning authorities when considering planning applications for landfill sites to consider a number of specific locational criteria. (8.11 to 8.12)
- Where a development plan does not adequately reflect national planning policy on waste as set out in PPS10, the policy in PPS10 will be a material consideration. (8.10)

Unallocated Sites

- PPS10 places considerable emphasis on the identification of sites in the development plan so as to secure confidence for industry and local communities in the forward

planning process and to deliver obligations arising from the Waste Framework Directive. (8.13)

- However, even the best plan-making can miss good opportunities to accommodate waste development. The key test for planning applications that come forward for sites that have not been identified is their consistency with PPS10 and the WPA's core strategy. In anticipation of such situations, waste planning authorities may find it helpful to have set out specific policy. (8.14 to 8.17)

Planning Conditions

- Under the PCPA, most planning permissions will be granted for three years. When granting permission for waste management facilities, planning authorities may need to consider whether three years will be long enough to implement the approved development. (8.18)

Transitional Issues

- The policy review which informed the preparation of PPS10 addressed the role of BPEO. As a result, in future the objectives of BPEO will be delivered in spatial planning through plan-led strategies that drive waste management up the waste hierarchy and subject to sustainability appraisal. There is therefore no policy expectation for the application of BPEO, and indeed placing requirements on applicants that are inconsistent with PPS10 should be avoided. (8.19 to 8.28)
- There is, however, a policy expectation for consistency with PPS10. In the absence of an up-to-date development plan, the planning authority will need to ensure they have sufficient information from the applicant to 'test' consistency with PPS10, in which the Key Planning Objectives play a critical role. (8.25 to 8.27)

Good Design

- Sustainable waste management opportunities will be best secured through good design and layout in both waste and non-waste related proposals. Non-waste related development should look to incorporate appropriate facilities to facilitate sustainable waste management. (8.31)
- Good building design and site layout of facilities in appropriate locations will also improve community acceptance of waste management facilities. Guidance can be provided to applicants through local planning policy, for example in a supplementary planning document. (8.32 to 8.33 and 'How To?' box 34)

Environmental Impact Assessment

- Environmental Impact Assessment (EIA) is an important procedure for ensuring that the likely significant environmental effects of a proposed development are fully understood and taken into account before development is allowed to go ahead. New general guidance on EIA will be issued for consultation shortly. (8.29 and 8.34)

- Practice over recent years has shown that significant delays and costs have been associated with the inappropriate application of the EIA Regulations to facilities which do not have the potential for significant impacts on the environment. (8.29)
- The EIA regulations apply to two separate lists of projects. ‘Schedule 1 projects’ are those for which EIA is required in every case; and ‘Schedule 2 projects’ are those for which EIA is required if the particular project in question is judged likely to give rise to significant environmental effects. (8.36 to 8.39)

Check list

- Does the WPA regularly obtain lists of submitted planning applications for non-waste developments? Are these responded to appropriately to ensure that sustainable waste management issues are addressed?
- When considering a waste planning application, do you systematically avoid matters that are the responsibility of the pollution control regime?
- Do you actively encourage pre-application meetings with applicants and pollution control authorities and parallel-tracking of applications where appropriate?
- Do you understand the role of WPAs in implementing the Waste Framework Directive?
- Do you have a systematic approach to considering the potential need for extending the period for which waste planning permissions are granted beyond the standard three years?
- Do you understand the implications of the revisions to Waste Strategy 2000 in the consideration of waste planning applications?
- Have you considered developing a supplementary planning document on to encourage good design of waste management facilities?

Key Signposts

Planning for Waste Management Facilities: A Research Study published by the ODPM draws on real examples and provides indicative site sizes/building footprints/throughput capacities for a range of technologies. Download at http://www.communities.gov.uk/embedded_object.asp?id=1145713

The Environment Agency’s Waste Technology Data Centre provides advice on different types of waste management facilities and technologies. It is located at <http://www.environment-agency.gov.uk/wtd/>

The definitive source for informing a decision as to the necessity for environmental impact assessment is the *Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations 1999* <http://www.opsi.gov.uk/si/si1999/19990293.htm>

Annex A Practical Approaches to Sustainability Appraisal for Waste Management

Sustainability appraisal for waste

Introduction and principles

1. SA is required for RSS, DPD and SPD, under the PCPA. They are also subject to SEA under The Environmental Assessment of Plans and Programmes Regulations 2004²⁰. Guidance has been published on the application of SA to RSS and LDD²¹, which shows in detail how the requirements for SA and SEA can be met through a single appraisal process.
2. PPS 10 requires that the planning strategies developed by regional and local planning bodies should help deliver sustainable development. A key tool for helping to ensure the sustainability of strategies and plans is SA. This is identified in PPS 10 as one of the decision-making principles to shape waste planning strategies such that they support the Government's planning objectives for waste management. More broadly, SA should be seen as a tool for delivering the principles and priorities set out in the UK Government Sustainable Development Strategy, *Securing the Future*²².

Links with other appraisals

Transferability of SA from Regional to Local Level

3. There are strong links between an SA at regional level and an SA at local level. Whilst an SA of an LDD can draw on the material and results of the SA of the RSS, there are limitations to this. The probable links and the opportunities and limitations for portability are indicated in the following *Box 1*.

SA of Municipal Waste Management Strategies

4. Where an appraisal of the relevant MWMS has already been undertaken, it can be appropriate for the SA of the RSS or LDD to accept its results, provided that there have been no significant developments since adoption. The SA need not reassess the strategy, except in respect of its contribution to the overall implementation of the spatial plan, as has been done for example in the South East region. However, where there have been developments since adoption of the strategy that could have significant impacts on sustainable development, this will not be sufficient and the SA should take account of developments in its appraisal of LDD.
5. Where an appraisal of the MWMS has not already been undertaken, planning bodies should seek to integrate the appraisal within the SA of LDD. This will avoid duplication and help to ensure consistency between the elements of the MWMS and LDD.

²⁰ Statutory Instrument 2004 No. 1633.

²¹ Sustainability Appraisal Regional Spatial Strategies and Local Development Documents, ODPM, 2005.

²² *Securing the Future: Delivering UK Sustainable Development Strategy*, Defra, March 2005.

Box 1 Portability – Opportunities and Limitations

Baseline data

The SA of the RSS may contain data on the sustainability conditions and trends within the region which will be relevant to the SA of LDD, either because county or unitary level data is included and can be used directly, or because the regional level data can be used to make judgements about the lower level. However, generally data will not be disaggregated and it will need to be collated for the local level. Furthermore, as WPA will be working at a more detailed level, there is likely to be more spatial definition to the data than at the regional level.

In relation specifically to waste data, the regional coordination role of RTAB should help to simplify and to standardise the collection of waste baseline data across the region, which in turn should inform the SA baseline. Apportionment of waste to be managed within WPA will also contribute to the baseline data and inform future trends for the SA of LDD. The work carried out on supporting data to the apportionment may also be useful at the local level for informing the SA, for example on existing capacity and future needs.

Strategic framework

There is likely to be significant information on the sustainability policy context in SA at regional level that is directly relevant to the SA of LDD. This information can be imported into the SA of LDD, although the WPA will need to add the local sustainability and waste policy context to this information.

Key sustainability issues

Drawing on the RSDF, the SA of the RSS will identify the key sustainability issues for waste management in the region. The WPA should take account of these in determining the issues at local level, although this will not be the only source of information and the local baseline data will be a key tool for the WPA in this respect.

Appraisal objectives/criteria

The sustainability objectives adopted at regional level will have strong relevance for those at county or unitary level, for example the Key Planning Objectives in PPS10 are relevant to all levels and are likely to be portable from regional to county/unitary level. More generally, the regional objectives as a whole will be a starting point for WPA in developing their own objectives, however, they should be tailored to reflect the local context. The SA objectives and criteria should also reflect the scope of the LDD being appraised, and it is probable that objectives from the SA of an RSS will need to be developed and further defined for the SA of a waste LDD, for testing in a meaningful way and at an appropriate level of detail.

Continued

Box 1 Portability – Opportunities and Limitations (continued)

Predicted impacts

In predicting impacts of LDD, SA should have regard to the impacts predicted by the SA at regional level. There may be information that is transferable to local level in the form of: impacts which apply equivalently across the region; impacts which can reasonably be apportioned to the local level; assessment techniques which have been used; information on likely future trends which will shape the sustainability context for LDD (this may also be useful for considering cumulative impacts).

Outcome for RSS

The RSS will set the framework for waste management in the region. LDD should implement the regional strategy and this will inform the development of the LDD, not least in the options which the WPA will and which will be tested by the SA.

Box 2 Portability of Baseline Data Between Appraisals

Baseline data at the regional level will include historic and forecast arisings data on commercial and industrial and other non-municipal waste streams. This will need to be disaggregated or apportioned for use at the local level, but should provide a readily available source of data on arisings in non-municipal streams. Regional level data on economic development is also likely to be both available and applicable at the local level. Utilising regional level data of these types at the local level will help to maximise consistency between RSS and LDD, especially where this is done in a coordinated way across the region.

However, data on municipal waste arisings should ideally be consistent between RSS, LDD and the MWMS. As data on municipal waste is collected at the local level, it may be the case that WPA either ensure that RSS revision takes account of local level data and forecasts or that, at the detailed level, it is ensured that LDD are consistent with the MWMS, provided that discrepancies with regional baseline data and assumptions are insignificant and explained. This will also help to maximise the potential for integration of and portability between the SA of LDD and the SEA of the MWMS.

Objectives, targets and indicators

6. *Table 1* gives a list of possible topics for inclusion within a set of sustainability objectives for RSS and LDD²³. It is not intended to be a definitive list, but could be used as a checklist to help identify likely topics and issues to be covered. Details of approaches to SA, including the setting of objectives, targets and indicators is provided in *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents*.
7. Objectives should be tailored to be appropriate both to local and regional priorities and to the scope of the RSS or LDD being appraised, taking account of the Key Planning Objectives in PPS 10. It is for local or regional stakeholders to agree what is relevant. In particular, some issues are clearly more relevant at site level, eg impacts on local amenity, and are therefore unlikely to be useful for testing an RSS, but may become more pertinent when appraising a LDD with direct application on sites.
8. It can be seen in the Table that some issues overlap the topics that have been listed (for example recycling could sit under sustainable use of resources or sustainable waste management, or energy efficiency could sit under sustainable use of resources or climate change). In addition, topics can be grouped under broad headings to give some structure to the list²⁴. It is important to ensure that there is a balance between covering all relevant issues while keeping the process manageable. Guidance is given elsewhere²⁵ on how many objectives are likely to be needed and also on possible indicators.

Table 1 Possible Topics and Issues for the Appraisal Framework

Topic	Issues
<i>Environmental</i>	
Sustainable use of resources	Level of materials recycling
Climate change	Greenhouse gas emissions (CO2 and CH4)
	Energy efficiency (consumption and generation)
	Renewable energy generation
Air quality	Emissions of pollutants (facilities and transport)
Water resources	Discharge of pollutants
	Water consumption
	Flood risk (including increased risk due to climate change)

²³ This incorporates the objectives from *Strategic Planning for Sustainable Waste Management* (paragraph 2.13)

²⁴ For example, according to UK SD Strategy high-level objectives, according to relevant RSDF groupings, according to 'environmental, social, economic', etc.

²⁵ See Appendix 2 of *Sustainability Appraisal of Regional Spatial Strategies and Local Development Documents*, ODPM, November 2005.

Table 1 Possible Topics and Issues for the Appraisal Framework (continued)

Topic	Issues
<i>Environmental</i>	
Sustainable waste management	Waste minimisation Moving up the waste hierarchy Minimising disposal Extent to which area manages its own waste arisings Deliverability (eg maturity of technology, market risks, costs)
Land and soil	Land contamination Land take Use of previously developed land Use of soils, impact on soil quality (including positive)
Landscape	Impact on landscapes (urban, rural, urban fringe) Impact on Green Belt (e.g. maintaining extent, openness)
Biodiversity	Conservation of biodiversity
Historic environment	Protection of built heritage Protection of archaeological heritage
<i>Social</i>	
Amenity	Impacts on local amenity (noise, dust, light, vermin, odour) Impact on recreational and open spaces
Quality of surroundings	Improving the quality of where people live
Transport	Kilometres travelled by waste Congestion Impact on local infrastructure Reducing reliance on the car
Health	Impact on human health
Access to services	Good and equitable access to services Improved access for those most in need
Public involvement	Opportunities for participation Opportunities for education and awareness raising
<i>Economic</i>	
Sustainable economic growth	Costs of waste management Economic benefits of waste minimisation Inward investment
Employment	No of jobs created

9. In choosing objectives for the SA, it is important to remember that the SA should assess impacts at a strategic level.
10. In other words, the SA should, in general, aim to avoid issues which can only be tested at a site-specific level. Where SA is to appraise site- or location-specific DPDs, there will be a need to examine site-specific issues and the impact of different options for location. The SA could take the following approach to addressing such issues:
 - set the framework for the site search by developing the list of assessment criteria to be used in the search, basing this list on the appraisal criteria to ensure that all relevant SA issues are covered when identifying suitable sites; and
 - appraise the plan or strategy against those criteria more relevant at site level to ensure that policies are in place to address such issues.

Identification of Reasonable Alternatives

11. ODPM guidance on the application of SA to RSS and LDD²⁶ sets out a hierarchy of alternatives at four levels that should be considered when identifying reasonable alternatives for the SA. Relating this specifically to waste, the following are suggested as types of options that the SA could consider when drawing up a list for appraisal. The relationships to waste have been highlighted:
 - need or demand: waste minimisation, ensuring the plan or strategy has policies in place to promote or to deliver waste minimisation;
 - mode or process: technological options for managing the waste streams;
 - location: options for strategic approaches to locating facilities and apportionment options; and
 - timing and detailed implementation: may be set out in policies, but issues may also be implicit within technology options.

²⁶ Sustainability Appraisal of Regional Spatial Strategies and Local Development Frameworks, ODPM, November 2005

- 12. The type of options likely to be considered will vary depending on the spatial scale of the plan. An indication of the relevance is given in *Table 2* below.

<i>Type of Option</i>	<i>Relevant to RSS?</i>	<i>Relevant to LDD?</i>
Waste minimisation	Yes	Yes
Technologies	No	Yes
Location of facilities ¹	No	Yes
Apportionment	Yes	No
Timing	Yes	Yes
Detailed implementation	No	Yes

¹ As distinct from the broad location and pattern of facilities which is a matter for RSS.

Techniques for SA and Comparison of Options for Waste Management

- 13. Although SA assesses impacts at a strategic level, this does not mean that some impacts cannot be quantified. For waste, there are a range of well-established techniques and tools for making quantitative assessments of strategic options, for example the Environment Agency’s life cycle assessment tools such as WISARD and the emerging Waste and Resource Assessment Tool for the Environment (WRATE). The SA can make use of these techniques and models for assessing impacts wherever appropriate, for example in quantifying waste stream tonnages by end disposal, overall greenhouse gas emissions, resource consumption, transport distances, and costs of waste management. Outputs from these and other models are a tool to input into policy development and appraisal and should not be seen as sufficient in themselves.
- 14. For other impacts, it will not be possible to make a quantitative assessment (eg over deliverability, impacts on amenity and opportunities for participation). In these circumstances, a qualitative assessment based on judgment must be made, drawing on all available evidence. Assumptions made must be transparent.
- 15. It is likely that the quantification of impacts becomes progressively more straightforward as one moves down the planning hierarchy from RSS to sites. For SA generally, the more detail given to the description of the potential location of development, the better the understanding of the likely impacts. For many issues, the likely impacts are locationally dependent (eg flood risk, impact on landscape)²⁷. At higher levels of the planning hierarchy, the specificity of this detail is reduced and quantification of impacts can become more difficult. The SA should recognise this limitation, and accept that qualitative judgments can be valid for assessing impacts.

16. It is also important that appraisals avoid detailed analysis of issues that fall outside the remit of the planning systems or result in planning strategies that are unnecessarily prescriptive. This may be particularly important when considering specific waste technologies in the context of LDD. The ultimate aim here will be to identify the technologies that are appropriate for development on specific sites and that are consistent with the overarching planning strategy, rather than to prescribe preferred technologies in an unnecessary restrictive way.
17. Further information is given about appraisal methods in *Strategic Planning for Sustainable Waste Management*, the principles of which are relevant to SA (paragraphs 5.1 to 5.9).

²⁷ Although note that for others impacts, location is not relevant (eg greenhouse gas emissions, waste minimisation, moving up the waste hierarchy)

Annex B Community Involvement Techniques

1. COMMUNITY INVOLVEMENT IN THE WASTE MANAGEMENT CONTEXT

Introduction

1. Traditional methods of public consultation, such as issuing draft documents for formal comment, have been seen as somewhat passive and are often inaccessible to large parts of the community. Whilst many of these techniques are still valid and formal consultation on draft documents remains a statutory duty at key stages in the strategy or plan development process, much greater emphasis is now being placed on more 'deliberative' approaches, which involve the public and stakeholders in two-way discussions and involvement in the decision-making process from an early stage.
2. There are many techniques for engaging with stakeholders and communities that have been well-tested and that may be of value to a strategy or plan development process. It is not the intention of this guide to provide detailed advice on those techniques. However, to provide a flavour of the approaches that may be useful, the following list is provided. Further sources of more detailed information are provided at the end of the Annex.

Informing

3. *Objective:* to provide stakeholders and/or the public with information to increase understanding and awareness about a particular strategy, process or proposal.

Example tools: door-knocking, brochures, fact sheets, media stories, advertisements, stalls, web sites, seminars, public information nights.

Output: improved public understanding.

Potential applications: more 'continuous' engagement will be enhanced by a higher general level of awareness that can be achieved by on-going provision of information through the media and awareness-raising programmes, perhaps through working in partnership with WDA and WCA who are promoting behavioural change in their residents, especially connected to recycling and waste minimisation initiatives. It is also likely that the effectiveness of other forms of engagement can be significantly enhanced in terms of level and quality of participation through the use of multi-media awareness-raising techniques that are designed to 'hit' a wide range of target audiences.

Consulting

4. *Objective:* to obtain feedback and constructive comments from the public on a draft strategy or proposal.

Example tools: distribution of documents for comment, surveys, workshops, public meetings, area committees.

Output: critical comments and alternatives for a particular proposal.

Potential applications: formal consultation retains its role at the core of the planning system. However, more informal consultation at key stages of the planning process is also being encouraged, in order to provide what is likely to be a more up-front input. This might take the form of a short stakeholder consultation on an Issues and Options paper prior to formal consultation on preferred options or a core strategy, or of more on-going consultation on the results and implications of annual monitoring, informing future revisions of RSS and LDD.

Involving

5. *Objective:* to work directly with the public, constructively discussing issues and eliciting views, with the aim of ensuring that public concerns and values are fully understood, and public knowledge gathered.

Example tools: workshops, community consultative committees, deliberative polls, citizen juries, search conferences.

Output: a detailed understanding of community knowledge, perspectives, values, and preferred options.

Potential applications: waste management can be a technical subject and it can be difficult to illicit considered views through methods of mass consultation such as surveys, particularly where input is required at an early stage in the decision-making process. An alternative can be the use of smaller groups of community representatives or members of the public to work more intensively on a specific area of the strategy process. An example could be the use of a community consultative committee to develop SA criteria, directly informing the decision-making process by providing an insight into the factors that are of greatest significance to the community.

Partnering

6. *Objective:* to establish genuine collaboration between public representatives, technical experts and decision-makers. The aim is to resolve conflict over evidence, to interpret expert knowledge, to understand and explore opposing perspectives, to solve problems, and to find common ground.

Example tools: deliberative forums, collaborative project committees, consensus building and conflict resolution.

Output: locally-sensitive decision-making, conflict resolution, with increased legitimacy and public trust. Often a set of authoritative recommendations for decision-makers.

Potential applications: strategy development will only produce credible results where assumptions are seen to be robust. Involving stakeholders at the very early stage of making baseline assumptions can be a good way of ensuring that key stakeholders are brought in to

the process from the outset. In cases where conflict does arise, perhaps particularly around site-specific issues, intensive work involving independent expertise working directly with affected communities can help to build trust and engender positive input from communities.

Delivering Stakeholder Participation and Community Involvement Initiatives

- 7. Table 1 below is derived from that shown in Chapter 7 of *Creating Local Development Frameworks: A Companion Guide to PPS 12* and provides further information on community involvement techniques and additional sources of information and guidance.

Methods	Main considerations
Documents available for inspection at local planning authority offices during set consultation period	Minimum requirement – it should be clear how and when people should respond. Offices and documents should be accessible to those with disabilities.
Letters to statutory bodies (listed in Regulations)	Minimum requirement – identify such bodies as necessary and consult them in writing.
Internet (website, e-mailshot)	Increasingly the first port of call for the public and professionals seeking detailed information. Should be user-friendly and include all relevant documents in PDF and Word format. Useful means of providing feedback to consultation exercises.
Media (local press, TV, radio, etc.)	Use local newspapers/radio station to carry articles and stories about proposals. Can also raise profile of the project, particularly combined with ‘hotlines’ (see below).
Leaflets/brochures	Can publicise an outline of the proposed document or application, and inform the public about further opportunities to get involved.
Public exhibitions/displays/stalls/roadshows	Good medium for disseminating information, allowing communities to air their views. Fairly resource-intensive and attendees are self-selecting. Should be held in accessible locations that are relevant to the subject under discussion. May need to be held over a number of days and varying times ensure all sections of the community have an opportunity to attend. Material should be presented in a format that is easy to understand.

continued

Table 1 Methods of Stakeholder Participation and Community Involvement

Methods	Main considerations
Formal written consultation/ referenda/ community surveys	Good introduction to main issues. Responses can help identify key interests and groups. Benefit in focusing consultation around a number of key questions.
Hotline	For optimum benefit, should be a staffed service rather than a recorded or automated system.
One-to-one meetings with selected stakeholders	Useful means of identifying key issues, getting key people involved and achieving alignment with other strategies and initiatives. Resource intensive requiring senior staff involvement together with expectation that commitments will be made and fulfilled.
Public meetings/area, town and village meetings	Particularly relevant to core strategies, area action plans and planning applications. Open and inclusive way for people to engage in robust debate on the issues although attendees are self-selecting. Meetings must be carefully prepared and effectively chaired. Can be resource-intensive.
Focus groups (selected groups of participants with particular characteristics) or citizen panels (randomly selected participants)	Useful for area-based discussions and presentation of options. Can help in gaining more understanding of public concerns. Provides opportunity to explore issues in depth but may need to be complemented by other methods.
Pre-existing panels, forums and design teams	Developer panels comprising 'regular applicants' can provide a forum for authorities to disseminate information and canvass professional opinion on proposed documents or applications.
Workshops (interactive): eg 'enquiry by design' and 'planning for real' exercises	Means of engaging local communities on planning applications and developing 'ownership' of strategic proposals. Need to involve right people and require significant preparation to allow a structured approach and report back. Useful for identifying and focusing discussion around difficult issues and key themes.
Area forums (standing groups with geographical remit)	Tailor-made forums to discuss issues relevant to the area, especially appropriate for area-based policies or specific applications.
Planning aid	Planning aid is a valuable source of planning advice and help. The Government is funding planning aid so it can enhance its service, become more proactive, and develop a greater role in targeting communities which traditionally do not get involved in the planning system as well as increasing their capacity to participate.
Steering/advisory group	Mechanism for getting key organisations involved in overseeing or acting as a sounding board for the production of local development documents. Particularly appropriate for area action plans or topic-based policies. Role of the group (steering or advising) needs to be clear and there should be a transparent approach to selecting members.

Issues to consider

8. The joint ODPM/Defra regional seminars on the implementation of PPS 10 and Guidance on Municipal Waste Management Strategies that took place over the winter of 2005/06 revealed a number of issues that practitioners considered to be of specific relevance to community and stakeholder involvement in the context of waste planning. These included:
 - Avoiding confusing the public where several rounds of consultation on waste management issues are to take place (i.e. for RSS, LDD and MWMS). This can be achieved through adequate coordination of consultation initiatives, including collaborative approaches where possible and clear differentiation of roles. One approach to the latter could be to illustrate through a simple graphic used for all initiatives how the different strategies and plans link together.
 - The need to explain the narrow role of the planning system to communities in the context of the 'full process' of developing waste management facilities, including, particularly in the case of municipal waste, the role of the procurement process.
 - The importance of providing feedback to communities after different stages in the involvement and adoption process, to ensure transparency and to foster ongoing participation.
 - The importance of engaging elected members from an early stage and the need to plan and implement member awareness raising and where necessary training initiatives in this increasingly complex and technical field.
 - The potential opportunities offered through the use of external groups (such as parish councils and NGOs) as partners in community involvement initiatives to increase capacity or to help to reach hard to reach groups.
 - The need to give sufficient time for voluntary groups and parish councils to respond to potentially technical consultations and to bear in mind the fact that they may meet quite infrequently and set agendas well in advance of meetings.

2. SOURCES OF FURTHER GUIDANCE AND INFORMATION

1. *Community Involvement in Planning: The Government's Objectives* provides the Government's rationale for involving communities in the planning system, the principles underpinning the Government's objectives and details how the Government expects community involvement to happen in practice. It is primarily focused at the local level, but does provide some useful guidance specific to regional planning. It outlines clearly the legislative and policy framework and elaborates upon the ways community involvement should be built into different stages of the planning process. *Annex A – Opportunities for Community Involvement* sets out a series of practicable suggestions for involving communities at different levels of the planning system, from national planning policy formation to community involvement in planning application decision-making.

2. Chapter 2 (paragraphs 2.17 to 2.30) of PPS11 provides detailed guidance on the policy requirements for public and stakeholder participation in RSS revision and monitoring. Annex D of PPS11 provides detailed practical guidance on stakeholder participation and community involvement at each stage of RSS revision and monitoring, coupled with a clear synopsis of the legal requirements at each stage. It concludes with a summary table of advice on community involvement in RSS revision.
3. Chapter 3 of PSS 12 includes the policy framework for community involvement in LDD preparation and revision. Detailed guidance on managing community involvement at the local level is provided in chapter 7 of *Creating Local Development Frameworks: A Companion Guide* to PPS12. As well as providing detailed guidance on preparation of the SCI, in 7.8 it offers further guidance on potential methods of community involvement. This is supported in 7.9 by two sections outlining the methods of community involvement appropriate firstly to the preparation of LDD and secondly at the planning application stage.
4. This second section includes, in Table 7.4, an illustration of the approaches to community involvement that may be appropriate in different development control situations. ODPM has also published *Statements of Community Involvement and Planning Applications*, the detailed results of a research project that considered the issues around consultation and community involvement in the planning application decision-making process. The study sought to identify minimum standards for involvement to inform developing practice in SCI preparation and implementation based on consultation with LPAs and major developers. A series of recommendations are provided, along with more information on techniques and a number of case studies.
5. All of the above documents provide invaluable material on stakeholder participation and community involvement, a large part of which is essential reading for practitioners.
6. The Environment Council,²⁸ an independent organisation whose focus is on facilitating engagement of stakeholders and communities across a range of environmental issues, has published a significant volume of material on the subject, much of which is waste-specific and available on their web site, including reports and detailed case studies and examples.

²⁸ www.envcouncil.org

Annex C Gathering and Analysing Waste Data

1. GATHERING WASTE DATA

1. Waste data has something of a reputation for being scarce, inconsistent and sometimes inaccurate. The approaches recommended in this guide should however help to maximise the usefulness of data that can be gathered and minimise the extent of any gaps. The avoidance of spurious precision, coupled with regular monitoring and update, should be part of any approach.

Waste Arisings Data and Site Returns

2. The evidence base will generally consist of arisings information for commercial and industrial wastes available from the EA. For municipal waste, waste arisings information will come from WDA. This data should be consistent with that underpinning the MWMS.
3. The EA holds data on each licensed and registered exempt waste management site in its Regulation Information System (REGIS) database. Defra is working with the EA on a 'data clean' process of REGIS, with a view to establishing and to maintaining a list of the different waste management sites and facilities in England and Wales.
4. The EA's RATS database (REGIS Attached Tonnage System) stores tonnage information for each site with a waste management licence through returns from the sites themselves. This is data on site returns analogous to that which it is proposed Defra's Data Hub will make available centrally in due course (see *Section D1.3*) and indeed, it is probable that both REGIS and RATS databases will be replaced in the relatively near future. However, at this time it is likely that the EA will continue to be the holder of site-level waste management data.
5. RATS data is generally available on the public register at the site level²⁹. For most purposes, aggregated management or 'deposits' data on the wastes accepted at sites by WPA area will be sufficiently detailed for the purposes of RSS or LDD. Retaining the original site level data set allows the aggregated information to be more easily updated and interrogated where necessary.
6. The deposits data indicates the quantity of wastes managed at permitted facilities in each WPA area. This allows the sum total of the deposited wastes from any WPA area, wherever they are deposited, to be calculated. RATS records waste type, although there are differences between EA areas in the way that it is reported. The deposits data can be disaggregated to identify the amount of commercial and industrial waste managed by licensed facilities that arises in any WPA area by subtracting known deposits of municipal waste.
7. EA deposits data is measured at the permitted waste management facility. Increasingly these are weighed tonnages into the site. However, deposits data needs checking to ensure that a complete set of returns has been received and that the returns are as accurate as possible.

²⁹ Some information may not be available for commercial reasons. In such cases, data can be aggregated at the Regional or WPA area level.

Information on the detailed material composition of waste deposited cannot normally be gleaned from deposits data.

8. Data on municipal waste arisings should be obtained from the WDA(s). This will ensure that a correct and complete data set is provided. This data should be identical to that used by the WDA in the MWMS so as to avoid any inconsistencies. WDAs will need to advise the RPB and WPA as to the destination of municipal waste in order to clarify the quantity of commercial and industrial wastes at these sites.
9. Arisings measured at the 'point of service' for the management of the wastes, including collection, treatment and disposal, may not be the same as arisings at the point of production. Statistics based on the point of production may vary from 'point of service' data. They may capture materials for which a waste management service per se is not required, and for which no licensed or registered exempt facilities are provided. This particularly applies to materials that are re-used, recycled or composted on site. Examples include home composting of kitchen and garden waste fractions of municipal waste and the re-use at construction sites of secondary aggregates from demolition wastes produced at the same site.
10. The EA has carried out its National Waste Production Survey (NWPS) of waste producers. More information on the NWPS is given in *Box C1*. The 1998/99 NWPS was reported in the EA's Strategic Waste Management Assessments 2000. Data from the 2002/03 survey is shortly to be published, and is being made available to the RPBs. In certain circumstances, the NWPS data may be replaced by local survey information where this is available. The NWPS waste arisings data should be compared with data on waste managed, available for licensed facilities from the EA's RATS database and deposits data.

Box 1 The National Waste Production Survey: Commercial and Industrial Waste

The NWPS was the first concerted attempt to collate data on the quantity and types of commercial and industrial waste arisings in England and Wales. The survey collected information from a sample of businesses according to type of business and size of company. The sample was skewed to collect more data from the industrial sector because it generates more waste and its wastes are more varied. The survey did not extend to all 'industrial' sectors, and excludes, for example, agricultural and mines and quarries wastes, as well as the construction sector, whose wastes are examined separately by surveys conducted for ODPM.

Because the NWPS is a survey, using a sample of businesses, and does not report actual waste arisings from returns from all businesses, sampling error introduces uncertainty into its results. Of necessity it also extrapolates from returns from the sample that may themselves be subject to error. RPBs and WPAs should have regard to the potential errors in using the data, and employ them with an appropriate level of precision.

continued

Box 1 The National Waste Production Survey: Commercial and Industrial Waste (*continued*)

The NWPS recorded waste arisings for each business surveyed, and the results gross up waste arisings across all businesses represented by the sample. Reported waste arisings frequently included streams that were recycled or re-used on the site in question. These do not require the provision of external waste management infrastructure. Provided these wastes continue to be managed on-site, a substantial proportion of the commercial and industrial waste arisings do not report to external facilities. This proportion might increase as a result of the Government's intention to decouple growth from waste production and the effect of instruments such as the landfill tax and Integrated Producer Responsibility. In due course, Defra's Data Hub will collect information on waste managed, but reports will be available on waste arisings.

New initiatives in improving waste data

Advice on Data and Forecasting

11. Defra has published proposals for the provision of central advice to inform the preparation of RSS, covering, in particular, waste arisings and recycling potential³⁰. The purpose of central advice will be *inter alia* to encourage the regions to take a consistent approach to forecasting future waste arisings and waste management capacity. Central advice available in due course will provide further support to the guidance set out in this guide. Defra expects to publish the first such advice before the end of 2005.

Defra's National Data Strategy

12. In due course, the 2002/03 NWPS data will be superseded by the proposal in Defra's National Data Strategy (NWDS) for a 'Data Hub'. Defra consulted on its ideas for the NWDS in October 2004³¹, and published the key messages and responses to the consultation in February 2005³². The initial information that the Data Hub will contain on commercial and industrial wastes will be aggregated from returns sent by each facility operator. It will therefore be a record of waste 'managed' at licensed and exempt facilities, rather than of all waste arisings, which is the coverage of the NWPS. The EA's RATS database currently records wastes managed at licensed sites only.
13. The Data Hub is expected to be up and running in 2006. Returns from operators will be uploaded every year, and so the Data Hub will rapidly deliver a time series for commercial and industrial waste managed that will assist with forecasting.

³⁰ <http://www.defra.gov.uk/corporate/consult/wasteman-strat/index.htm>

³¹ <http://www.defra.gov.uk/corporate/consult/wip-data/index.htm>

³² <http://www.defra.gov.uk/environment/waste/wip/data/index.htm>

14. NWDS will be a three-year strategy to identify and fill gaps in the data on waste, and to produce better data for all streams. Its implementation will be an important resource for RSS and LDD. The NWDS will focus initially on the three key waste streams of municipal, commercial and industrial and construction and demolition wastes. The data for these will be sourced from the EA's permitting and compliance system and from WasteDataFlow (see below). Secondly, it will look at other waste streams such as: agricultural; forestry; mines and quarries; sewage sludge; fishing; and dredging spoils, and the collection and dissemination of this data.
15. The introduction of NWDS will mean that there will be less need for other surveys, with a consequent saving of resources. The strategy proposes that surveys should be replaced with a regulatory returns system for all waste facilities. Information should be detailed in respect of waste type, facility type, source sector and location.

WasteDataFlow

16. The WasteDataFlow system is a web-based intranet for the provision of quarterly data on municipal waste both to and from local authorities, and will provide better quality data to inform RSS and LDD. In due course, information on municipal waste arisings will be available through WasteDataFlow and the National Data Strategy Data Hub. However, not all WDAs are currently using WasteDataFlow. Although this route will be preferred, direct provision of data is preferable until the WDA(s) confirm that a complete and consistent set of information will be available via WasteDataFlow. More information is available at <http://www.wastedataflow.org>.

Sources of data

17. A summary of information on the current sources of data on waste arisings and sources is provided in *Box 2* below.

Box 2 Sources of Information on Waste Streams

Municipal solid waste

Data on **arisings** up to and including 2003/04, categorised by WPA and by broad composition, are available from local authority returns to Defra's annual Municipal Waste Survey. From 2004/05 onwards, data provided to WasteDataFlow should be used whenever possible.

Data on the **management** of municipal waste, categorised by WPA and by landfill, are available from local authority annual returns to Defra up to and including 2003/04, and from individual annual site returns to the EA. Wherever possible, data from WasteDataFlow should be used.

Data on significant inter- and intra-regional **movements** are likely to require bespoke collection.

continued

Box 2 Sources of Information on Waste Streams (continued)

Commercial and industrial waste

Data on **arisings**, categorised by WPA, by broad Standard Industrial Classification (SIC) code and by broad composition, are available from the EA's regular national survey. This is a sample survey, with a good level of accuracy at the national level, but with lower levels of confidence at the regional and then at the local level.

Annual site returns from individual facilities to the EA, categorised by WPA and by facility type (landfill, recycling, recovery) should provide the main source of data on the **management** of commercial and industrial waste.

Some data on **movements** of commercial and industrial waste to disposal is held by the EA. Where it are available, this can be used to show significant inter- and intra-regional movements, broken down by WPA. However, it may be that bespoke collection of such data is necessary as site permits do not always require the origin of waste received to be reported and so the EA data is unlikely to be comprehensive.

Construction and demolition waste

Data on **arisings** are available from periodic surveys carried out for ODPM. The survey covering 2003 provided regional estimates.

Data on the **management** of construction and demolition wastes (recovery/recycling, re-use and disposal to landfill) at the regional level are available from the ODPM survey. Additional data may be available from annual site returns from individual facilities to the EA.

There is little data on **movements** of construction and demolition wastes to disposal held by the EA. This will require bespoke collection.

Hazardous waste

Data on **arisings**, categorised by WPA and by broad composition (2-digit European Waste Catalogue codes), is held in the EA's hazardous waste database. Annual data should also be available.

Data on the **management** of hazardous waste (recovery/recycling and disposal to landfill) should be available from the EA's hazardous waste database. Annual data should also be available.

Data on **movements** to disposal is held by the EA. It should be possible to show significant inter- and intra-regional movements, broken down by WPA.

Other waste streams of local significance

Data on other waste streams of regional or local significance will require bespoke collection, or more detailed interrogation of databases held by the EA, Defra and/or local authorities.

Box 2 Sources of Information on Waste Streams (continued)

Capacities of waste management facilities

Data on landfill capacity, categorised by WPA, by landfill type (inert, non-hazardous and hazardous) and by licensing status (fully consented, planned only) is held by the EA (for fully consented sites) and WPAs (for planned by not yet consented sites). Such data may require bespoke collection.

Comparable data on other waste management facilities should be available from the same sources as above.

Other factors

Information on relevant plans, policies and contractual arrangements should be available from Defra (for national policies and targets) and from plan making bodies and local authorities.

Information on physical and environmental constraints on the development of waste management facilities will be the same as applies to all other land use plans (groundwater and floodplain maps from the EA; air quality information from local authorities; sites of nature conservation importance from English Nature, sites of archaeological importance from English Heritage and local authorities; etc).

WASTE MANAGEMENT CAPACITY

Recording and predicting capacity

1. Forward planning will require consideration and recording of information on the available waste management capacity in the region or plan area over time. It will also require an assessment of future requirements for additional waste management infrastructure by comparison with forecasts of future waste arisings.
2. Managing data on capacity and need could be made easier through the use of a simple spreadsheet model. *Annex F* presents extracts from a model used in the East of England. Any model should be designed so as to be easy to update as information becomes available. The model could record a range of information on existing and planned sites, including the fields in *Box 3*.

Box 3 Data Fields for a Site Capacity Model

- site location details – name of site and operator, address, postcode, local authority, grid reference etc.;
- type of facility – what process or processes are occurring on the site and which waste streams they manage according to the EWC;
- licence/permit details – reference number, tonnage restrictions, waste type restrictions, dates of renewal, etc. and status if not yet licensed and permitted;
- capacity information – licensed and permitted throughput by waste type;
- site lifetime or maximum capacity – it is important to record the expected lifetime of facilities and, where appropriate, their total remaining capacity;
- waste sources – origin of wastes managed, broken down by type and location;
- outputs from facility – recovery of material and energy, production and export of residues and the destination of these, where appropriate; and
- additional information – potential of site for increasing throughput, adding further capacity, other waste management uses, etc.

Capacity Information from the Environment Agency

3. Once it becomes operational, Defra's Data Hub will provide information on the capacity of waste management sites.
4. The EA can provide a full list of existing waste treatment sites, both licensed and exempt, with throughput information. This can be used as the basis of assessment of available capacity.
5. It may be advantageous to have the completeness of the data set checked by the WPA(s), who may have a view on the actual and potential throughput of sites that could improve the data set. WPA can also ensure any new permissions are included and that completed exempt sites are excluded. They will also be able to add any detail on the sources from which a site is permitted to accept wastes.

Exempt Sites

6. No information is currently provided on the throughput of exempt sites (ie they are not covered by the EA's RATS database). The amendments to the Waste Management Licensing Regulations in 2005³³ require that the most significant exemptions are subject to annual registration with the EA. On registration, these notifiable exempt activities are required to

³³ Waste Management Licensing (England & Wales) (Amendment & Related Provisions)(No.3) Regulations 2005, <http://www.opsi.gov.uk/si/si2005/20051728.htm>.

provide estimates of the quantity of waste that it is anticipated will be accepted. A transitional period imposed to cover existing exemptions operated until 1 October 2005. The notifiable exemptions are:

- land treatment for agricultural benefit or ecological improvement;
 - storage and spreading of sludge;
 - reclamation or improvement of land;
 - small scale composting
 - recovery operations at water and sewage treatment works;
 - use of waste for construction; and
 - the burning of dunnage.
7. It will be necessary to investigate, or make assumptions as to, the quantity of wastes managed through important exempt sites (or groups of exempt sites: eg on-farm composting of green waste). The capacity of many less important exemptions will be insignificant when compared with the errors associated with forecasting capacity. These then can be ignored or assigned an indicative or assumed average capacity for the purposes of completeness (see below). WPA may have information on these exempt sites, or operators could be approached to provide information.
 8. A sample of responses, or of sites for which information was available, could be extrapolated to cover all exemptions. For example, an estimate of overall capacity can be obtained by multiplying the average throughput of a sample of exempt on-farm composting facilities by the total known number of sites.

Sites in the planning pipeline

9. EA site licences include information on the licensed throughput of each facility. However, this may differ from actual throughput because of planning conditions or commercial factors. The potential capacity of the site may also exceed that currently licensed and/or permitted, and this will be of interest in seeking suitable locations for additional capacity.
10. The suggested data fields of a site capacity model in *Box 3* include information on site capacity and planning status. A versatile capacity model will be capable of accounting for the actual throughput of sites as well as licensed and permitted throughput where this information is available. It will also allow the capacity to be made available through sites that have planning permission but are not yet permitted, with reference to the year in which they will become operational. Progress with these sites should be a focus of monitoring. Capacity likely to be available from sites with planning permission but not yet operational can be estimated by an assessment of delivery rates (see the main guide, paragraphs 3.39 to 3.41 on *Monitoring: Delivering Apportionments*).

Verifying capacity information

- 11. In addition to validation by the EA, WPA and WDA, further verification on throughput and waste sources etc. can be sought from site operators. A questionnaire for site operators could be developed in a spreadsheet format as a template to be completed electronically, and consistent with the model of capacity. A template would greatly facilitate the up-loading of information into the model. This would enable data provision in a simple and consistent format, and enable easy comparison and interpretation of the data. An example template used to collect data on site capacity is provided in *Annex E*.
- 12. Operators may be more responsive to approaches from the EA or WDA because of concerns about commercial confidentiality. Unrealistic expectations of the results of surveys should be avoided, but additional data will improve the value of the data set. The return of data can be smoothed and speeded by adopting some of the techniques set out in *Box 4*.

Technical Issues

- 13. If a survey is to be undertaken, it will be important to bear in mind the issues outlined in *Box 5*.

C2.7 Up-load and interpretation of data

- 14. All the data and information on the throughput of existing and planned sites will need to be collated and interpreted to provide indications of likely available capacity. If this is brought together using a spreadsheet model, the model will be able to generate statistics and graphics of the type shown in *Figure 1*. In this case, the figure shows capacity by treatment type and by year, declining as landfill void becomes exhausted.

Box 4 Techniques for Improving Questionnaire Returns from Site Operators

- pre-warning stakeholders of the requirements and timescale of the survey;
- providing an electronic template for the return of data, together with clear instructions as to the requirements for their completion;
- ensuring the survey is easy to complete: careful design of any questionnaire is crucial to ensure that all necessary information is obtained, and a balance drawn between drafting long, potentially onerous surveys and concise surveys that may not result in the required information being collected;
- trialling the questionnaire template with a sample of operators;
- hosting a workshop to assist those completing the returns;

continued

Box 4 Techniques for Improving Questionnaire Returns from Site Operators (*continued*)

- prompting the return of the template through regular telephone calls and emails;
- for postal surveys, a pre paid response envelope; and
- entering completed and returned questionnaires into a prize draw.

Box 5 Issues for Consideration in Surveying Waste Management Capacity

Wastes managed

Distinguishing between the waste types accepted by sites can cause confusion though this issue should be less apparent as a result of the new landfill classifications in use following the implementation of the Landfill Directive. Many site returns do not distinguish between the sources of a waste category. Results might not therefore allow adequate distinction between the capacity available for inert and for non-inert wastes. As a result, they may be somewhat misleading, and a significant capacity for inert wastes may mask a lack of long-term capacity for non-inert waste (or *vice versa*). The issue can be addressed by emphasising to respondents the need for clarity over the waste types accepted at individual sites. Ultimately, an assumption may need to be made as to a split where information is not forthcoming. The assumed split might be based on completed responses received.

The questionnaire template will allow for the collection of information on limitations upon the sources and/or types of waste that might be accepted at sites because of conditions or agreements.

Type of facility

Clarity is required on the type of facility for which returns are required in order to maintain consistency. Transfer stations and household waste recycling sites (or civic amenity sites etc.) should be explicitly included in any survey. The former may allow for a more complete understanding of the capacity for construction and demolition wastes that are not managed at licensed sites, and will be important in considering waste management at the regional scale, whilst the latter will play a growing role in the recycling and composting of municipal waste.

continued

Box 5 Issues for Consideration in Surveying Waste Management Capacity (*continued*)

Grid reference

There is often a lack of understanding of how to quote grid references. Clear guidance on how to do this should be provided in line with the grid referencing guidance note in Annex A of the 'Notes for Completion of Form CPS 1/2' though this is currently under revision. Alternatively, site postcode can be used for GIS purposes.

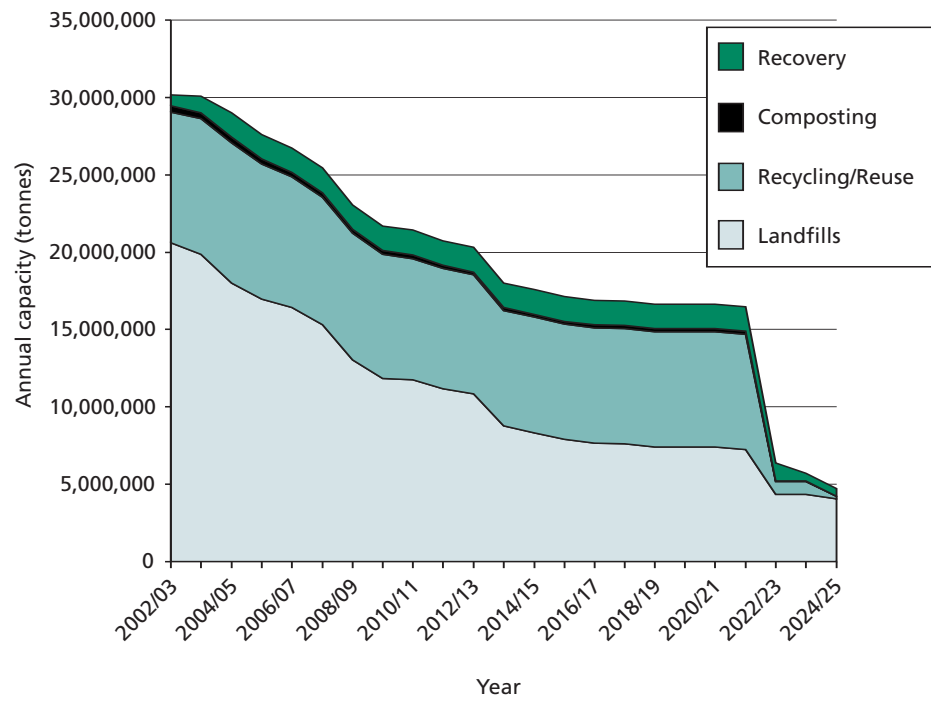
Fill rate/lifetime/throughput

Information provided may be poor in this regard, requiring a series of assumptions for many facilities. Without a lifetime or fill rate, the annual capacity of landfills cannot be estimated, and must be assumed. Beyond the problems associated with landfill, the assumed throughput of facilities may be critical for non-landfill sites. Many MRFs, composting facilities and transfer stations etc. are licensed to accept much more waste than they do in practice.

Where possible, actual throughput data should be sought from site operators. An assurance that data will be aggregated before they are published may be required because of commercial sensitivities. Previously, WPAs have used three operators as a rule of thumb in aggregating minerals data.

15. If a model is created at the regional scale, configuring it to enable reporting of capacity by WPA, as well as by waste type (ie inert, non-hazardous etc.) and management route (ie landfill, recycling transfer etc.) will increase the purposes for which it can be used, encouraging regional co-ordination and facilitating consistency in monitoring and review. This configuration would enable the distribution of capacity across the region to be demonstrated, as well as providing a resource for individual WPA.

Figure 1 Total Annual Capacity Available in Existing and Proposed Waste Management Facilities in the South East 2002–2025 (Research for SERTAB)



NB: in this example, the steep drop-off in capacity in 2021/22 results from the lifetime assumed for many facilities in order to show this capacity would not be available indefinitely.

Annex D Forecasting Future Waste Arisings

FORECASTING FUTURE WASTE ARISING

Municipal Waste

1. Forecasts of future municipal waste arisings are normally central to the development of the MWMS. Defra's Practice Guidance on MWMS provides an outline of how future municipal waste arisings should be estimated³⁴. This method should be employed where there is no existing MWMS or where it does not forecast future arisings.
2. Although waste arisings have generally been seen to increase over time, it is important to understand that past trends in waste arisings are not necessarily a good indication of what will occur in the future, and that this growth rate is unlikely to continue, for many reasons. Defra's consultation paper on data indicates that the Department intends to provide advice on a range of issues that should be accounted for in making forecasts³⁵.
3. Reasons for past growth that may not be continued into the future, or that may not lead to the same rate of growth include, *inter alia*:
 - growth in population;
 - growth in households;
 - increased consumption;
 - leakage of commercial waste into the municipal waste stream following, for example, the introduction of the landfill tax;
 - leakage of commercial waste into the municipal waste stream following, for example, the introduction of local civic amenity site charges and 'van bans';
 - growth in trade waste collected; and
 - introduction of separate garden waste collections.
4. The introduction of waste minimisation initiatives (eg home composting), and commercial strategies of WCA that lead to a decline in trade waste collections are also likely to have an effect on future arisings.
5. It will be helpful to examine municipal waste arisings according to source (ie household collections, civic amenity site wastes, trade waste etc.). This may allow growth to be attributed to particular factors, including those listed above, and to inform future forecasts.
6. The starting point for forecasting municipal waste arisings will be a 'growth³⁶ profile', stating the assumed rate of change in waste arisings. It will be a function of two factors:
 - household or population growth; and
 - waste arisings per household or per capita.

³⁴ <http://www.defra.gov.uk/environment/waste/localauth/planning.htm>

³⁵ <http://www.defra.gov.uk/corporate/consult/wip-data/index.htm>

³⁶ For the purposes of this Guide, 'growth' should be taken to refer equally to stasis or decline in waste arisings.

7. Separating out arisings per head from historical statistics permits a clearer examination of the trend in growth. This can be achieved by dividing annual arisings by the time series of population or household data. Growth that was due to increases in population can be removed from the historic trend in waste arisings. Growth per household may be attributable to a specific factor.
8. Where growth in the number of households or population is planned or forecast, all else being equal, waste arisings must inevitably increase as well. Forecast increases in household numbers can be accounted for explicitly. This is particularly important for areas where there is substantial development planned or net inward or outward migration expected.
9. Short- and long-term average annual growth rates **per household** from the trend experienced by each of the constituent WCA/WDA over the recent past should be established. This basis provides a 'root' for different growth profile scenarios. It would not be credible to have an abrupt change from a demonstrated growth rate to a forecast one: ideally the transition is smooth. Nevertheless, since waste statistics are inherently variable, obtaining a smooth transfer from evidence to projection should not be seen as an exact science.
10. Whilst the short-term average might reflect recent developments, such as a downturn in arisings as waste minimisation measures bite, it is also more susceptible to erratic and unrepresentative data points, for example, resulting from a particularly dry summer³⁷. A long-term average avoids this potential error, and gives a more reliable mean rate of growth, but is less responsive in reflecting recent change. One way of accommodating this would be to use both the short- and the long-term rates, as the basis for separate growth profiles, in order to examine the potential variation in the forecasts of future arisings.
11. The growth profile can be developed to account for the impact of change to the reasons for past growth listed above. For example:
 - increased consumption might be counterbalanced by the effect of waste minimisation campaigns and the roll-out of home composting and 'real nappy' initiatives, etc.³⁸;
 - the introduction of garden waste collections might be completed;
 - the leakage of commercial wastes into the municipal waste stream might plateau or be reversed through specific measures (although this movement should be accounted for in examining commercial and industrial waste arisings); and
 - trade waste collections might decline as competition increases (although this movement should be accounted for in examining commercial and industrial waste arisings);

³⁷ A particularly dry summer will result in lower than average municipal waste arisings because of reduced arisings of garden waste taken to civic amenity sites. Uncovered skips at civic amenity sites will also be lighter because of reduced interception of rainfall.

³⁸ Accounting for other drivers of change in municipal waste production, such as addressing the leakage of commercial wastes into this stream etc, should be considered where possible, potentially through sensitivity analysis.

12. Consequently, the growth profile that is employed will need to be a ‘dynamic’ one that responds to changing circumstances and is likely to show a progressively reducing rate of growth. A ‘static’ growth profile that assumes a constant rate derived from historical evidence, as has sometimes been the outcome when the ‘3%’ historic growth rate quoted in Waste Strategy 2000 has been applied, is unlikely to be realistic.

Table 1 Example Growth Model (1996/97 to 2001/02)

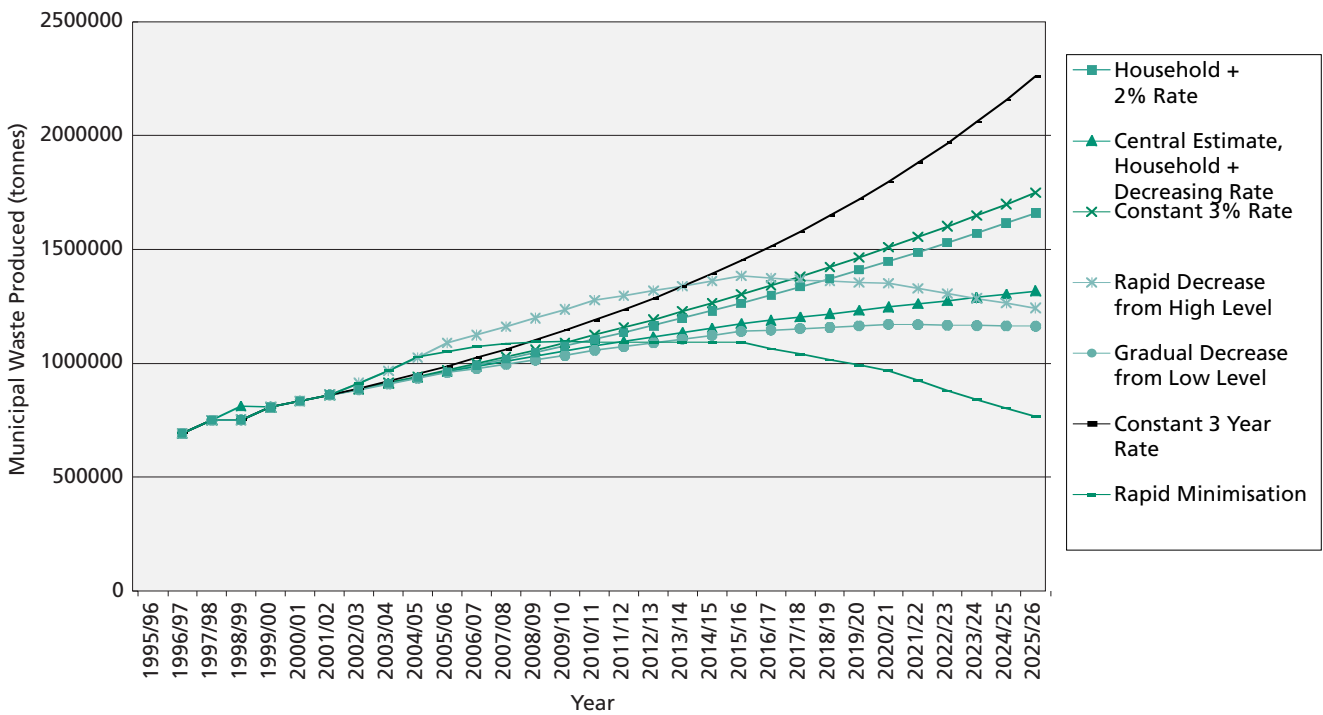
Growth rate	Scenario Number		
	Growth rate on top of household growth		
	1	2	3
2001–2003	N/A	N/A	N/A
2001–2005	N/A	0.02	0.02
2006–2010	N/A	0.02	0.015
2011–2015	N/A	0.02	0.01
2016–2020	N/A	0.02	0.005
2021–2025	N/A	0.02	0.005

	Households	Household Growth Only	Household +2%	Central Estimate Household + Decreasing Rate
1995/96	68500			
1996/97		59575	59575	59575
1997/98		60574	60574	60574
1998/99		66027	66027	66027
1999/00		68148	68148	68148
2000/01		72289	72289	72289
2001/02	71000	74489	74489	74489
2002/03		75035	76535	76535
2003/04		75584	78638	78638
2004/05		76138	80798	80798
2005/06		76695	83017	83017
2006/07	73600	77217	85254	84836
2007/08		77762	87573	86717
2008/09		78312	89956	88639
2009/10		78865	92403	90604
2010/11		79422	94917	92613
2011/12	76200	79945	97452	94154
2012/13		80509	100103	95768

Table 2 Central Growth Scenario for Municipal Waste

Year	Annual growth rate	Net growth over baseline
2000/01	Actual statistics	1.00
2001/02	Household growth + 2%	1.03
2002/03	Household growth + 2%	1.06
2003/04	Household growth + 2%	1.09
2004/05	Household growth + 2%	1.13
2005/06	Household growth + 2%	1.15
2006/07	Household growth + 1.5%	1.18
2007/08	Household growth + 1.5%	1.21
2008/09	Household growth + 1.5%	1.24
2009/10	Household growth + 1.5%	1.27

Figure 1 Example Municipal Waste Forecasting Model Output



13. *Table 1* shows part of an example growth model based on several years of waste arisings data (1996/97 to 2001/02). The model separates increases in waste arisings attributable to household growth from waste growth per household and, in the third column, predicts what growth attributable to increase in households would be from 2002/03 onwards. The fourth and fifth columns add a rate of growth of waste arisings per household on top of the household growth. The fourth column uses a flat 2% growth rate, whilst the fifth column uses a declining growth rate to take account of the impact of waste minimisation measures.
14. A similar approach should be employed, with scenarios based on the long- and short-term growth rate per household, together with household forecasts. A range of confounding factors make forecasting imprecise and therefore a number of scenarios should be examined, each with a different growth profile based on a different set of assumptions. This allows the consideration of ‘what-if’ certain outcomes were to occur, eg if particular initiatives were to be implemented and to achieve certain uptake rates.
15. In most cases, the scenarios will show a declining growth rate over time, as with column five in *Table 1*. The growth rate ‘profile’ could be a steady change year-on-year, or periods with a common growth rate, as in the figure. Whilst the former looks smoother, it perhaps gives the impression of a more precise forecast than is justifiable.
16. Relatively low and relatively high rates of decline in the historic growth rate should be used in the scenarios to explore the effect of such circumstances on arisings. This will enable stakeholders to gauge the broad scale of the underlying need, and not to be distracted by false estimates of precision, which might lead to the possibility of a narrow prescription of future growth.
17. The growth profile can be reported in a more transparent manner, along the lines shown in *Table 2*.
18. The outcome of applying scenarios such as those shown in *Table 1* will be a series of growth curves, as shown in *Figure 1*. One profile should be used as a central estimate, with the others providing measures of sensitivity. Inevitably, the spread of the forecasts across the scenarios increases over time.

Forecasting Arisings of other Waste Streams

19. Although it is not possible to address growth (or decline) of the other waste streams in quite the same way as for municipal waste, because of the poorer state of the data, it is important to recognise that there are similar factors that are likely to influence waste arisings. In particular, there is the influence of the landfill tax and its escalator, which makes it increasingly cost-effective to minimise, re-use or recycle commercial and industrial and construction and demolition wastes and the effect of the Aggregates Levy, which encourages re-use of the latter stream. There is also the impact of, *inter alia*, producer responsibility measures such as the Packaging, ELV and Batteries Directives and of integrated product policy initiatives to be considered.

20. Similarly, there are the demands of the Landfill (England and Wales) Regulations and the influence of the changes to the Hazardous Waste List. The Landfill (England and Wales) Regulations require pre-treatment and encourage diversion; whilst the changes to the Hazardous Waste List have resulted in an increasing proportion of these streams being classified as hazardous and the costs of disposal of hazardous waste increasing. These influences result in a similar encouragement to minimise, reuse or recycle waste.
21. Continued economic growth will tend to lead to increases in waste arisings, as this is a result of greater activity in the provision of goods and services all of which will produce wastes. The correlation need not be linear, however, and the instruments mentioned above are largely acting to break the link between growth and waste arisings. Expected development in the area under consideration will also be positively correlated with waste arisings because of construction activity and the operation of new industrial, business or retail premises.
22. There is less confidence in the historic data, and considerable uncertainty associated with making forward projections than with municipal waste. The effect of uncertainty can be examined through scenarios analysis. These might include stasis, a declining growth scenario and more rapid progress in stabilising growth in waste arisings, reversing this trend such that wastes are reduced year on year. Depending on the nature of the statistics, it might be appropriate to include a zero growth scenario, and even to assume declining arisings from 2005/06 onwards.

Commercial and Industrial Waste

23. The starting point is likely to be the EA's deposits data from REGIS (with municipal waste arisings subtracted) and the 2002/03 NWPS, or, where it is available, more detailed WPA-specific waste arisings data. With two rounds of the NWPS in place, in some circumstances it may be possible to use the statistics as a basis for the forward projection of growth. However, the two rounds may be insufficiently compatible to allow for a confident extrapolation, ie the statistics for food waste arisings, for example, will be so different as to render an extrapolated growth rate not credible. In such circumstances, it will be prudent to assume a constant level of waste arisings.
24. An alternative way forward is to use as a basis for forecasting the net growth in annual output forecast for individual business sectors in the RDA's economic profile of the region, or more detailed local information if this is available. Derived waste growth rates can be weighted where necessary to reflect the sectoral distribution of businesses vis a vis the categorisation of wastes in the NWPS outputs.
25. Such an approach implicitly assumes that there is a perfect correlation between growth and waste arisings, and that no 'decoupling' has taken place. Nevertheless, a correction factor can be applied to account for decoupling, and, in any case, a progressively declining growth rate profile should be applied to reflect the pressures of the landfill tax etc.

26. Work is being carried out by Cambridge Econometrics to investigate the feasibility and value of a national model of commercial and industrial waste arisings based on economic parameters. The Regional Environmental-Economic Input-Output (REEIO) model is based on previous research of this nature, and was developed by the EA and RDAs as a detailed model of each regional economy, based on the Local Economy Forecasting Model. The REEIO model links economic and employment changes with key environmental and resources pressures, including waste arisings. Defra has developed the commercial and industrial waste section of the model at the national scale and updated it to include data from the 2002/03 NWPS. Potentially, the model(s) may become available for wider use in the future, or underpin Defra's advice on data and forecasting (see *Annex D*).
27. Growth in commercial and industrial wastes for different scenarios can be reported in a similar fashion to Table 1 and Figure 1 for municipal waste.

Construction and Demolition Waste

28. Data on construction and demolition wastes are relatively poor, with the results of the Symonds reports for ODPM for the whole of the country the only recent data³⁹. There are also projections in the EA's SWMAs from earlier work by WRc.
29. There is insufficient basis for making confident forward projects of arisings. The assumption that net arisings of construction and demolition waste will remain constant over time is likely to make sense in most circumstances for the purposes of regional forecasts. Where there are significant planned regeneration projects over the timescale of the strategy or plan, these should be taken into account, along with their location. Similarly, where such projects have affected historical arisings, but are finishing, this will also need to be taken into account.
30. A significant proportion of construction and demolition wastes arisings are managed or re-used on-site, or on exempt sites, and it is critical that it is recognised that continuation of this unseen capacity will be needed in order for adequate provision to be made for this waste stream.
31. An assumption of no net growth reflects in part the impact of the landfill tax and the Aggregates Levy, which will encourage the re-use of construction and demolition waste on site in order to avoid additional disposal and raw material costs. It will be prudent to examine a further scenario of modest decline in construction and demolition arisings, reflecting a more rapid response to these financial instruments.
32. A significant proportion will be recycled or used in landfill sites and on registered exempt sites (eg as an engineering material in site road-making or as a restoration and cover material). Care should be taken regarding assumptions as to the provision of non-licensed capacity over the strategy or plan period. The treatment of exempt sites will have a significant effect on arisings requiring disposal at licensed sites.

³⁹ http://www.communities.gov.uk/embedded_object.asp?id=1145639

Hazardous Wastes

33. Data on hazardous wastes are relatively precise, reported through the Agency's Special Waste Tracking database. This database holds information on the arisings, movements and treatment/disposal of hazardous waste. The reporting of hazardous waste managed can lead to the same wastes being reported more than once as they are measured through transfer and treatment facilities. This may lead to an over-estimate of totals managed.
34. If the data time series shows growth or decline, an extrapolation can be made from this basis. However, recent legislative change, and the commercial response to this, makes historic data less useful as a basis for forward projections.
35. The broad implications of the introduction of the Hazardous Waste Regulations in July 2005, and of the changes to the Hazardous Waste List and the Landfill Regulations are described in *Box 1* and *Box 2*.
36. The changes outlined in *Box 1* have had a significant impact on hazardous waste management capacity in England, dramatically reducing the available capacity of hazardous waste landfill.

Box 1 Changes to Regulation of Hazardous Waste Landfills

Historically, the UK has practiced co-disposal, whereby hazardous wastes, previously known as special wastes, have been landfilled together with non-special wastes. On 16 July 2004, the co-disposal of hazardous waste with non-hazardous wastes ceased as a result of the Landfill Regulations 2002. Subsequently if hazardous wastes are sent to landfill they must be sent to a site that deals solely with hazardous wastes or to one with an appropriate hazardous waste cell. All landfills are now classified as one of the following:

- Hazardous;
- Non-Hazardous;
- Non-Hazardous with Stable Non-Reactive Hazardous Waste Cell (SNRHC); or
- Inert.

Non-hazardous landfills with SNRHCs can accept stable non-reactive hazardous wastes in a separately constructed area. These sites will continue to accept asbestos waste as well as other stabilised hazardous wastes, such as treatment residues.

From 16 July 2005, all treated hazardous waste accepted into hazardous landfills or special 'cells' of a non-hazardous landfill site must comply with the full Waste Acceptance Criteria (WAC), ie they require pre-treatment, as required by the Landfill Regulations 2002.

continued

37. *Box 2* indicates that the introduction of the List of Wastes has resulted in more waste being defined as hazardous waste than under the previous definition of special waste. It should be noted that EA hazardous waste arisings data that pre-dates these legislative changes is not a good basis for forecasting future arisings.

Box 2 Hazardous Waste Regulations and the List of Wastes Regulations

Two sets of Regulations were implemented on 16 July 2005:

- the *Hazardous Waste (England and Wales) Regulations 2005*; and
- the *List of Wastes (England) Regulations 2005*.

The Hazardous Waste Regulations:

- require producers of hazardous waste to notify their premises to the EA;
- end the requirement to pre-notify the consignment of wastes to the EA as currently required under the Special Waste Regulations;
- ban the mixing of hazardous waste and require their separate storage on site;
- provide cradle-to-grave documentation for the movement of hazardous waste; and
- require consignees to keep thorough records of hazardous waste and provide the EA with quarterly disposal and recovery information.

The *List of Wastes (England) Regulations 2005* introduced the revised European Waste Catalogue (EWC). This changed the current definition of 'special waste' to bring it into line with the European definition of hazardous waste. The change in classification has resulted in more waste being defined as hazardous waste than under the previous definition of special waste.

The EWC lists all wastes, whether hazardous or not. Wastes with a hazardous property are highlighted as either Absolute or Mirror entries. A waste given as an absolute entry means this will be in all circumstances a hazardous waste regardless of any threshold concentrations, whereas a mirror entry will be a hazardous waste if dangerous substances are present above threshold concentrations.

38. Hazardous wastes are mobile, even more so since the re-classification of landfill sites in July 2004. Statistics for the region can be reported in a similar format to *Table 3*, demonstrating those waste streams that have been, or are managed within the region, those that are managed in other regions and the balance of imports and exports.

Table 3 Reporting Hazardous Wastes

<i>Hazardous Waste Source</i>	<i>Arisings</i>	<i>Disposal</i>	<i>Balance (net export)</i>
Mining and minerals			
Agricultural and food production			
Wood and paper production			
Leather and textile production			
Petrol, gas and coal refining/treatment			
Inorganic chemical processes			
Organic chemical processes			
Paints, varnishes, adhesive and inks			
Photographic industry			
Thermal process waste (inorganic)			
Metals treatment and coating processes			
Shaping/treatment of metals and plastics			
Oil and oil/water mixtures			
Solvents			
Packaging, cloths, filter materials			
Not otherwise specified			
construction and demolition waste and asbestos			
Healthcare			
Waste/water treatment and water industry			
Municipal and similar commercial wastes			
Unclassified			

Annex E Data Collection Questionnaire Example



EXISTING WASTE MANAGEMENT FACILITIES & FUTURE NEEDS IN THE EAST OF ENGLAND SITE SURVEY FORM FOR 2004/05 SITE INFORMATION

Thank you very much for taking the time to go through this form. If you would like any help with completing the form, would prefer to complete it electronically, or have any other queries, please do not hesitate to contact Gillian Urquhart.
gillian.urquhart@erm.com (Tel. 0131 624 9229)

All forms returned by Friday 3rd June will go into a prize draw to win a

*****FREE CASE OF WINE*****

If more than one type of processing / treatment activity occurs on your site (for example landfill and composting), please either copy the survey form or call Gillian Urquhart to request another one so that you can differentiate between the capacity and throughput of the different facilities. Thank you

Table 1: SITE DETAILS

Licence Holder / Site Operator Name	
Site Name	
Site Address & Postcode	
Contact Telephone No	
Email Address*	
Grid Reference (e.g. 456789 123456 or TL 555 555)	
Waste Planning Authority	
District	

* This is not needed for the study but will allow us to let you know more easily who has won the case of wine!

Table 2: FACILITY TYPE

SWMA Facility Description	
OPRA Code	
OPRA Type	
Any further clarification on facility types and processes occurring on site?	
If the site is a landfill, please confirm whether it is an open or closed gate landfill	

Table 3: WHICH WASTES DO YOU ACCEPT?

Type of Waste	Accepted (✓)	
	Inert	Non-inert
MSW		
Green waste for composting		
Agricultural		
Hazardous		
Construction & Demolition		
Commercial & Industrial		

If you can provide more detail, please go to Table 5

* If yes, please go to Table 4 if you can provide more detail

Table 4: CATEGORIES OF HAZARDOUS WASTE LICENSED / PERMITTED TO BE ACCEPTED
(If you are unsure of any categories, please call 0131 624 9229 for a full table of descriptions)

Type of Hazardous Waste	EWC Description	Accepted (✓)
Spent solvents	e.g. organic halogenated solvents, washing liquids, mother liquors, (H)CFCs, HFC, other solvents and solvent mixtures	
Acid, alkaline or saline wastes	e.g. acids, bleach, hydroxide, cyanide, heavy metals	
Used oils	e.g. used motor oils, other used oils	
Spent chemical catalysts	e.g. Catalysts containing dangerous transition metals	
Chemical preparation wastes	e.g. Agrochemical waste, biocides, pesticides, cytotoxic and cytostatic medicines, paints, varnish, inks and adhesive wastes, wood preservatives, unused explosives, liquid and solid combustible wastes, polluted packaging	
Chemical deposits and residues	e.g. acid and other tars, soot, oily sludges from maintenance operations, bilge oils, sludges from oil/water separators, fuel oil and diesel, chemical reaction residues, spent filtration and absorbent materials	
Industrial effluent sludges	e.g. sludges from on-site effluent treatment, landfill leachate, sludges from soil/groundwater remediation, sludges containing hydrocarbons	
Health care and biological wastes	e.g. human and animal infectious health care wastes	
Metallic wastes	e.g. wastes containing silver from on-site treatment of photographic wastes, amalgam waste from dental care, metal waste contaminated with dangerous substances, cables containing oil, coal tar and other dangerous substances	
Glass wastes	e.g. waste glass in small particles and glass powder containing heavy metals (e.g. from cathode ray tubes)	
Wood wastes	e.g. sawdust, shavings, cuttings, wood, particle board and veneer containing dangerous substances	
Waste containing PCB	e.g. hydraulic oils, insulating or heat transmission oils, equipment, C&D waste containing PCBs (e.g. PCB-containing sealants, resin-based floorings etc)	
Discarded Equipment	e.g. discarded equipment containing chlorofluorocarbons, HCFC, HFC, discarded equipment containing hazardous components, fluorescent tubes and other mercury-containing waste	
Discarded vehicles	e.g. end-of-life vehicles containing liquids or other hazardous components	
Batteries and accumulators wastes	e.g. lead batteries, Ni-Cd batteries, mercury- containing batteries	
Mixed and undifferentiated materials	e.g. inorganic and organic wastes containing dangerous substances	
Sorting residues	e.g. fluff-light fraction, other fractions and dust containing dangerous substances, other wastes (including mixtures of materials) from mechanical treatment of waste containing dangerous substances	
Mineral wastes	e.g. mixtures of, or separate fractions of concrete, bricks, tiles, ceramics, glass, plastic, wood and gypsum-based construction materials containing or contaminated with dangerous substances (incl mercury), bituminous mixtures containing coal tar.. Asbestos wastes, waste of naturally occurring minerals (incl tailing, drilling muds)	
Combustion wastes	e.g. waste from flue gas purification, slags and ashes from thermal treatment and combustion, waste blasting material containing dangerous substances, waste refractory materials	
Contaminated soils and polluted dredging spoils	e.g. oil spills, soil, stones and track ballast containing dangerous substances, dredging spoil containing dangerous substances	
Solidified, stabilised or vitrified wastes	e.g. solidified or stabilised waste marked as hazardous, partly stabilised or solidified	

Table 5: CATEGORIES OF NON-HAZARDOUS WASTE LICENSED / PERMITTED TO BE ACCEPTED
(If you are unsure of any categories, please call 0131 624 9229 for a full table of descriptions)

Type of Non-hazardous Waste	EWC Description	Accepted (✓)
Metallic wastes	e.g. ferrous metal waste and scrap, waste aluminium, copper, lead, zinc, tin, non-ferrous metal	
Glass wastes		
Paper and cardboard wastes		
Rubber wastes	e.g. end-of-life tyres	
Plastic wastes	e.g. plastics, plastics shavings and turnings, plastic packaging	
Wood wastes	e.g. wood, sawdust, shavings, cuttings, particle board and veneer, bark and cork	
Textile wastes	e.g. clothes, organic matter from natural products (e.g. wax), leather wastes	
Discarded equipment	e.g. single-use cameras without hazardous batteries, discarded electrical and electronic equipment, discarded machines and equipment components	
Discarded vehicles	e.g. end-of-life vehicles, containing neither liquids nor other hazardous components	
Batteries and accumulators wastes	e.g. alkaline batteries	
Animal and vegetal wastes	e.g. green waste, waste of food preparation and products	
Household and similar wastes	e.g. mixed municipal waste, bulky waste, street-cleaning residues	
Mineral wastes	e.g. construction and demolition wastes, waste hydrocarbonised road-surfacing material not containing coal tar, non-hazardous waste of naturally occurring minerals	

Table 6: FACILITY STATUS

Site Status	Permitted and Licensed	
	Planning Permission but Not Yet Licensed	
	Site Going Through Planning Process	
Waste Management Licence Information	WM Licence (Yes/No)	
	WM Licence Number	
	Licence Status	
	Issue Date	
	Surrender Date	
Other Authorisation Information (e.g. does your site have IPC Auth, PPC Permit, LA Part B Licence, Exemption?)	Other Authorisation / Permit (Type)	
	Other Authorisation / Permit (Date)	
	Other Authorisation / Permit (Reference No.)	
Licence/ Permit Date of Renewal		
Planning Permission or Certificate of Lawful Use or Development	Yes / No	
	Date	
	Ref. No.	
Permanent or Temporary Permission (please include end date)		
Additional information (potential of site for increasing throughput, adding further capacity, other waste management uses, etc.)		

Table 7: CAPACITY OF FACILITY (For each type of capacity/treatment activity, if more than one)

Operational Annual Capacity (i.e. theoretical maximum annual capacity)	Please confirm capacity type (i.e. landfill, composting etc)		
	Licence/ permit Tonnage Restrictions		
	Non-hazardous		
	Green waste (composting)		
	Inert		
	Hazardous		
	TOTAL		
Actual Throughput for Year to 31st March 2005	MSW		
	Green waste for composting		
	Agricultural		
	Hazardous		
		Inert	Non-inert
	Construction & Demolition		
	Commercial & Industrial		
TOTAL			
Potential to expand the capacity/theoretical maximum annual capacity within 6 months (or beyond 6 months – please state which)	Non-hazardous		
	Green waste (composting)		
	Inert		
	Hazardous		
	TOTAL		
For landfills	Capacity at Dec 2004	Remaining Life Years	

Table 8: ORIGIN OF WASTE (For each type of capacity/treatment activity, if more than one)

Where does the waste you manage come from?		Amount (tonnes)		How Transported?
From Same County (e.g. Bedfordshire)	MSW			
	Green waste for composting			
	Agricultural			
	Hazardous			
		Inert	Non-inert	
	Construction & Demolition			
	Commercial & Industrial			
	TOTAL			
From Elsewhere Within the Region (ie: Bedfordshire, Cambridgeshire, Essex, Hertfordshire, Norfolk or Suffolk)	MSW			
	Green waste for composting			
	Agricultural			
	Hazardous			
		Inert	Non-inert	
	Construction & Demolition			
	Commercial & Industrial			
	TOTAL			
From Other Region (e.g. Greater London, South East)	MSW			
	Green waste for composting			
	Agricultural			
	Hazardous			
		Inert	Non-inert	
	Construction & Demolition			
	Commercial & Industrial			
	TOTAL			

Table 9: OUTPUTS FROM FACILITY (For each type of capacity/treatment activity, if more than one)

Do You Produce Useable Materials? (tonnes or m ³ – please state which)	Compost	
	Energy (please state unit)	
	Paper and Cardboard	
	Glass	
	Ferrous metals	
	Non-ferrous metals	
	Aggregates	
	Wood	
	Plastics	
	What Residues? (tonnes or m ³ – please state which)	Non-hazardous
Hazardous		
Inert		
Total		
Where Sent / Used?	Same County	
	Elsewhere Within Region	
	Other Region	

Thank you very much for your time in completing this form. The data that you have provided will be aggregated to provide a regional picture of waste management capacity, and help to identify what facilities will be needed in the future.



Annex F Regional Waste Model Example

EXAMPLE WASTE CAPACITY AND ARISING MODEL

The model

1. A model has been developed for the East of England Regional Assembly to examine existing waste facility capacity against future needs for the East of England. The modelling was conducted through three separate phases:
 - a database was created containing the capacity of facilities in the Region;
 - various waste growth scenarios were created for different waste types; and
 - capacity of facilities was compared to waste arisings.

Those aspects of the model that may be applicable to other regions are described in further detail in the sections below.

Consolidated waste site database

2. Within the model is a database that lists of all of the waste facilities within the region. Three levels of capacity data were collected and collated in this database, which were considered to be in the following order in terms of their quality:
 1. capacity data from actual site survey returns (available for 19% of sites);
 2. capacity data provided by WPA (available for 88% of sites); and
 3. capacity data derived from EA 'Fees and Charges' information (available for 64% of sites).
3. All three datasets were used alongside actual throughput data from the EA. Summary data was created by totalling the capacity data by Operator Pollution Risk Appraisal (OPRA) code and WPA. Sites with no capacity data were allocated an average capacity derived from the other sites in that category for which data was available. This allowed the aggregated capacity figures to take account of all sites in the region.
4. The resulting table of consolidated waste sites is extensive and can not be displayed in this Annex. It contains precise location details and capacity and throughput details for landfills and recovery/recycling/composting facilities. The throughput of each facility is split showing its origins, see *Figure 1*. Each row is a separate facility, from which site identifying details have been deleted.

Figure 1 Throughputs and Origins Section of Site Database

THROUGHPUT AND ORIGIN												
Hazardous				Inert				Non-hazardous				
Same County	East of England	Other Region	Not codeable	Same County	East of England	Other Region	Not codeable	Same County	East of England	Other Region	Not codeable	
21				4				7,677				250
	134	153	87	1,053	73	612	463	2,724	67	1,003		
				1,133		1,475		4	341	9,037		3,227
204				463	3,662			429	4,428			
			3,200	18				1,229				
								43				
2481.27	80.88											
2481.27	80.88	7.96										
		7.96										
				2,642				3				
	79			2,497				925	13,083			
					5				4	16		
									121			5,280
										20		
890	223	474	54	100	9	47		2,566	929	2,401	302	
	10								35,782			

Waste growth model

5. This section of the model was designed to calculate the amount of waste forecasted to arise in the region and its constituent WPAs over a set time period, and how this will require to be managed if local, regional and national waste management targets are to be met.
6. The section below describes the process undertaken for municipal waste. The approach is the same for commercial and industrial and construction and demolition wastes, with growth rates and targets amended as appropriate. Examples from all three models are shown in this annex.

Time Frame, Baseline Data, Growth rates and Application of Targets

7. The time frame for the model can vary according to requirements, but in this case was dictated by the timescale for the RSS, which is to 2021. The model forecasts from a baseline year, which can be the most recent year for which data is available or, if it thought that this year is not sufficiently representative of overall trends, an average of the last three or more years can be used.
8. In this case, the most recent Defra data on municipal waste arisings and management routes was used. Other waste streams will require different sources for baseline data as described in *Section 4* of the guide and in *Annex C*. A number of growth scenarios can be applied to each waste stream, allowing the model to forecast the extent to which waste management requirements will vary, dependent on how waste grows. These growth scenarios can be derived from national estimates, local predictions, household growth, economic growth, or other factors that may influence waste growth in the region. The model calculates how much waste will require to be managed in any given year, if applicable targets are to be met. In the case of municipal waste, these include:
 - local authority–level Best Value Performance Indicators (BVPI) which specify recycling and composting targets for household waste (the main component of municipal waste);
 - local authority targets for the reduction of biodegradable municipal waste which is sent to landfill imposed through the Landfill Allowance Trading Scheme (LATS);
 - any regional-level recovery targets for municipal waste as set out in the RSS; and
 - national municipal waste recovery targets.

Municipal waste growth model

9. There are a number of growth rate scenarios set up for municipal waste. These different growth rate scenarios are applied to current waste arisings in the Region. The graph showing the forecasts for each are shown in *Figure 1*.
10. The full municipal waste growth worksheet is too large to display, however *Box 1*, and *Figure 2* are screen shots with descriptions, highlighting some of the main features of the worksheet.

Box 1 Municipal Waste Data Control Sheet Sub-region Data

Sub-region 1																					
MSW Aris	000 t	230	236	244	251	258	266	274	282	290	299	308	317	326	335	345	355	365	376	387	398
% Growth	%	15866%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%	3%
HH Waste	000 t	206	212	219	225	232	239	246	253	261	268	276	284	293	301	310	319	328	338	347	357
BMW Aris	000 t	159	163	168	173	178	184	189	195	200	206	212	219	225	231	238	245	252	259	267	274
Disposal (thousand tonnes)																					
Landfill	000 t	181	000	192	198	204	210	216	223	229	236	243	250	257	265	272	280	288	297	305	314
Incineration	000 t	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Incineration	000 t	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
RDF manu	000 t	0.4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Recycled/Xxx	000 t	48	49	51	52	54	56	57	59	61	63	64	66	68	70	72	74	76	79	81	83
Other	000 t	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total	000 t	230	236	244	251	258	266	274	282	290	299	308	317	326	335	345	355	365	376	386	398
Disposal (%)																					
Landfill	%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%	79%
Incineration	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Incineration	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
RDF manu	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Recycled/Xxx	%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%	21%
Other	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Targets																					
HH recyclixx	%	12%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%	18%
HH Recycled	000 t	25	32	39	48	57	65	74	78	82	86	90	94	97	99	102	105	108	111	115	118
MSW Rec	%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%	40%
MSW Rec	000 t	48	95	103	112	120	129	137	154	171	188	205	222	228	235	242	249	256	263	271	278
MSW Extra	000 t	24	63	64	64	63	63	63	76	89	102	115	128	132	135	139	143	147	152	156	161
MSW Extra	000 t	0	0	0	0	0	0	0	4	11	18	14	10	17	24	31	38	45	48	51	54
Landfill Dir	%							75%			50%							35%			
BMW that	000 t	125	138	151	142	130	115	96	85	75	64	61	59	56	53	50	48	45	45	45	45
BMW Rec	000 t	33	25	17	31	48	69	93	109	126	142	151	160	169	178	188	197	207	215	222	230
MSW Disp	000 t	181	142	141	139	138	138	137	124	108	93	89	85	81	77	73	69	65	65	65	65
Total Mun	000 t	230	236	244	251	258	266	274	282	290	299	308	317	326	335	345	355	365	376	387	398

11. Each sub-region of the area being examined needs to have the section of the model displayed in *Box 1* completed. This is where the baseline data is inserted, data including:
- future projections for waste arisings (including where possible, information on municipal, commercial and industrial, construction and demolition, hazardous and agricultural waste arisings);
 - assumptions on how waste is likely to grow (or decline) in the area (eg percentage growth rates for different waste streams);
 - any standard assumptions which the region use when planning for waste facilities/capacities;
 - an estimate of the total landfill capacity in the area at the start of 2005;
 - an estimate of the potential further landfill capacity in the area;
 - an estimate of the total treatment capacity in the area at the start of 2005; and
 - an estimate of the potential further treatment capacity in the area.

Once the baseline data is inserted then projections using the waste growth scenarios in *Table 1* are made.

12. There is a section like that displayed in *Box 1* for each of the constituent areas and for the whole region. There is a small section of the worksheet that compares the percentage contributions to this total by the constituent areas. The bottom of the worksheet contains the output tables for the different growth scenarios. The data in these tables can be used by choosing the different scenarios in the drop box at the top of the page. This will then change the scenario plot to display the data of the chosen growth scenario.

The Construction and Demolition Waste Growth Model

13. *Figure 3* shows the section of the database where the growth rate for construction and demolition waste from the list of options is selected. *Figure 4* shows the projected arisings based on a growth rate for construction and demolition waste in the East of England in line with forecast economic growth.

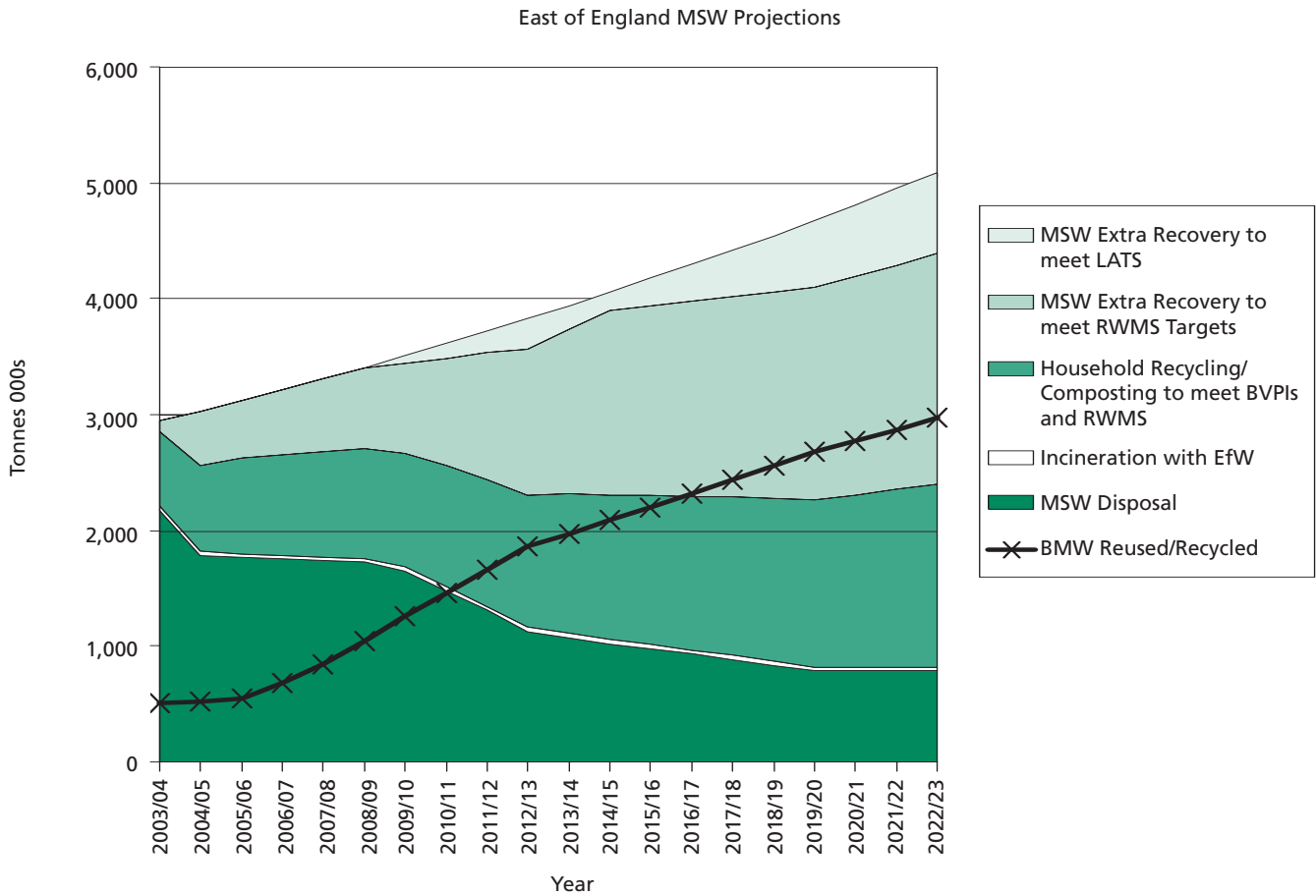
Commercial and Industrial Waste Model

14. As with the other two models, the commercial and industrial waste growth model calculates waste arisings projections based on different growth rates, see *Figure 5*.

Capacity/Throughput Comparisons

15. The final part of the model is to compare the waste growth projections with the capacities for recovery and landfill. This was completed in the EERA model on sub-regional and regional levels, taking into account the imports from London. *Figure 6* below shows the full list of growth projections for a given sub region. Within this worksheet the desired growth scenarios for each waste stream can be selected. These projections are then totalled

Figure 2 Municipal Waste Scenario Plot Example



(Figure 7) and then graphed against the capacity in that area (Figure 8). The example shown is for one of the sub-region’s recovery capacity versus the projected waste growth.

- The landfill capacities within an area can also be compared. Figure 9 presents an example for a sub-region’s active landfill capacity against the projected waste arisings. This area currently imports a lot of waste from London.

Figure 3 Growth Rates for Construction and Demolition Waste

		2002/03	2003/04	2004/05	2005/06
Unit					
Select an Annual Growth Rate:		<div style="border: 1px solid black; padding: 2px;">Economic Growth Rate</div>			
		Growth Rates			
1	Economic Growth Rate	2.50%	2.50%	2.50%	2.50%
2	0%	0.00%	0.00%	0.00%	0.00%
3	1%	0.00%	1.00%	1.00%	1.00%
	Economic Growth Rate	2.50%	2.50%	2.50%	2.50%
Define Disposal Method Growth Basis					
	Recycled Aggregate and Soil	Fixed Pro Rate Stays at the starting level Increases in line with arisings			
	Material Used for Landfill Engineering or Restoration				
	Materials Used to Backfill Quarry Voids				
	Material Used at Para. 9 & 19 Registered Exempt Sites				
	Material Disposed of At Landfills				

Figure 4 Construction and Demolition Waste Projections Based on Economic Growth

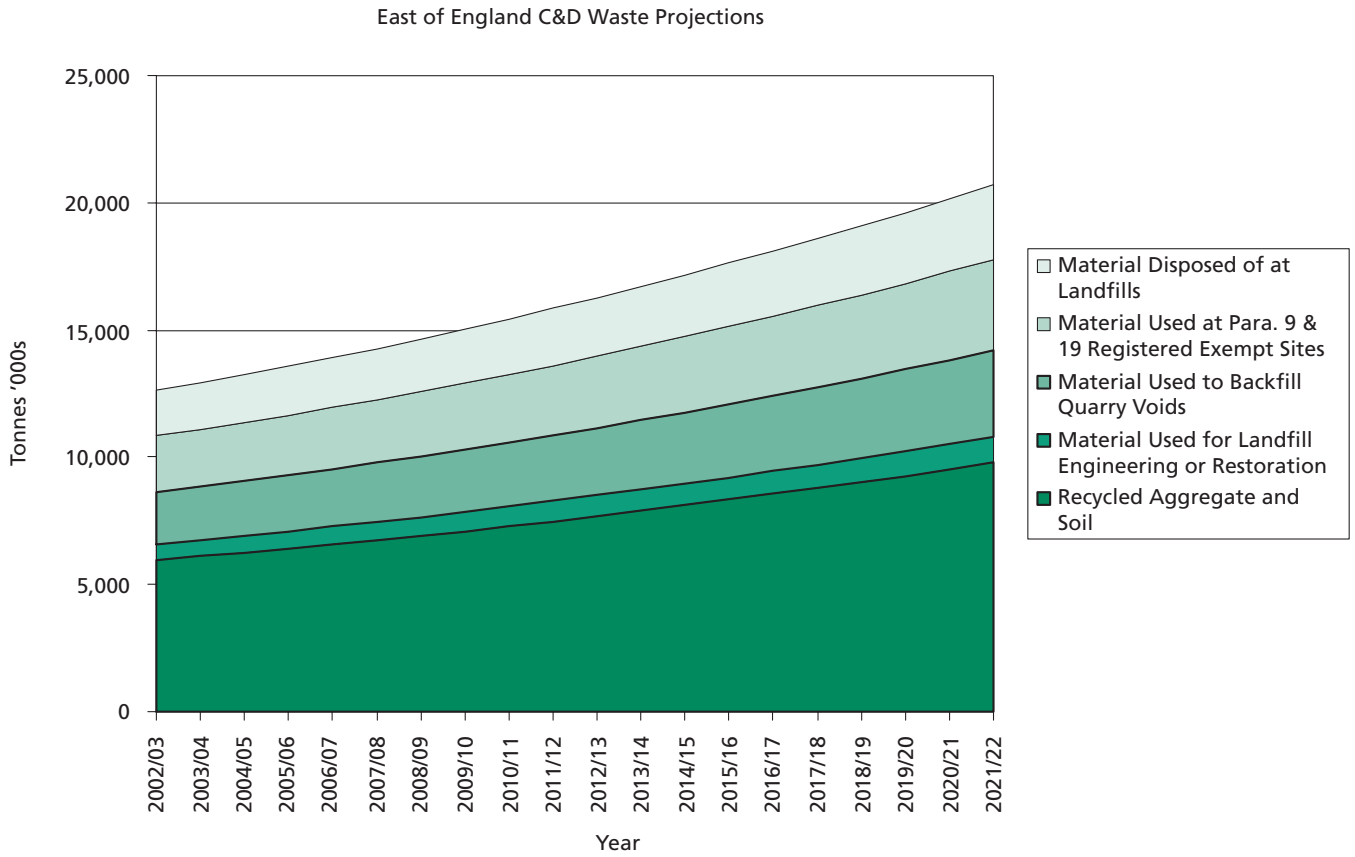


Figure 5 Commercial and Industrial Growth Scenario Based on Economic Growth

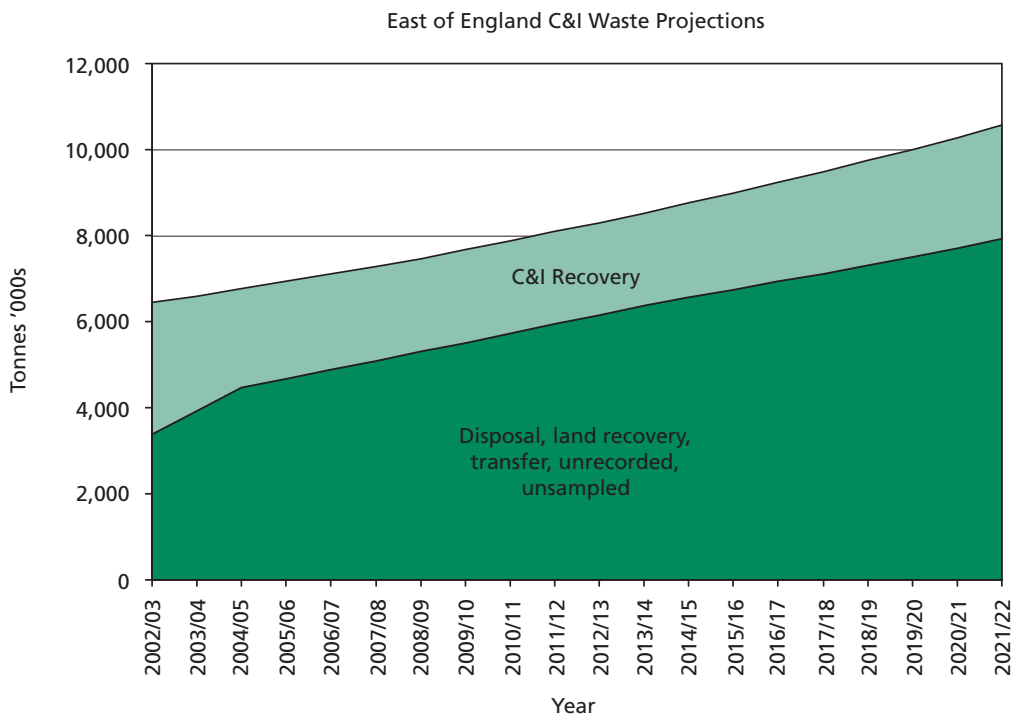


Figure 6 Growth Rate Options for Capacity Comparison (Sub-region 2)

Scenario		2005/06	2006/07	2007/08	2008/09	2009/10	2010/11	2011/12
	MSM							
1	Growth rate 0%	227,595	238,433	249,271	260,109	270,947	292,623	314,298
2	2% Growth rate	237,900	254,708	271,515	288,323	305,130	338,433	371,735
3	3% – 0% step	243,313	263,366	283,419	303,472	323,525	352,124	380,724
4	3% – 0% smooth	243,162	233,064	282,967	302,869	322,771	351,015	379,259
5	House building	232,255	245,938	259,621	273,304	286,987	313,802	340,618
6	House building +2%	242,892	262,877	282,862	302,847	322,832	362,760	402,688
	C&I							
1	0%	774,125	784,539	794,953	805,367	815,782	826,196	836,610
2	SWMB-NWPS Projection	823,133	852,882	882,631	912,380	942,129	971,878	1,001,627
3	Economic Growth Rate	840,226	878,078	915,930	953,783	991,635	1,029,487	1,067,340
	C&D – Recycling							
1	0%	765,954	765,954	765,954	765,954	765,954	765,954	765,954
2	1%	789,163	797,055	805,025	813,075	821,206	829,418	837,712
3	Economic growth rate	824,848	845,470	866,606	888,272	912,255	936,886	962,182
	C&D – Other beneficial							
1	0%	459,572	459,572	459,572	459,572	459,572	459,572	459,572
2	1%	473,498	478,233	483,015	487,845	492,724	497,651	502,627
3	Economic Growth Rate	494,909	507,282	519,964	532,963	547,353	562,131	577,309

Figure 8 Recovery Capacity vs Projected Demand in Sub-region 2

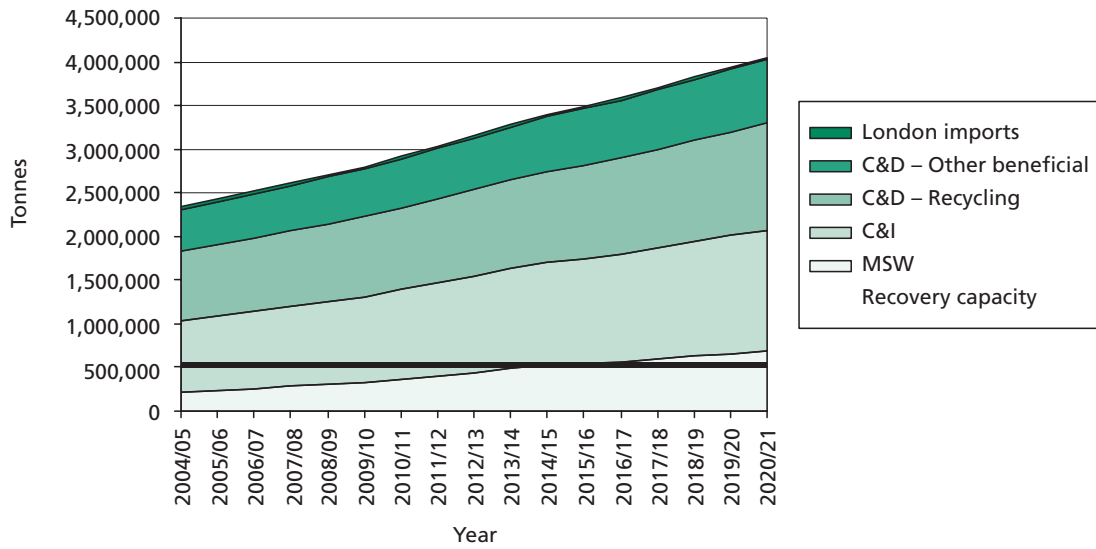
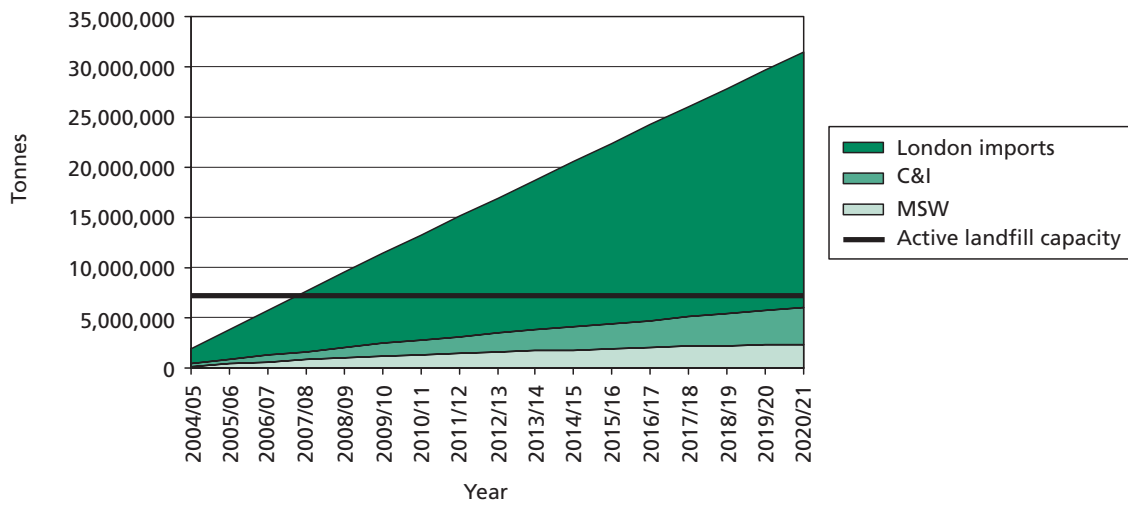


Figure 9 Sub-regions 1 and 3 Active Landfill Capacity vs Cumulative Municipal and Commercial and Industrial Waste Disposal and imports from London



This companion guide provides advice, ideas, examples of current practice and signposts to further information in support of the implementation of Planning Policy Statement 10: Planning for Sustainable Waste Management.

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