

# Corporate Enforcement Policy

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## **1. Introduction**

This policy covers the enforcement activities across all the Council's Regulatory Services and sets out what regulated businesses and individuals can expect from the Council in terms of regulation. The policy is targeted only at cases where action is needed and is based on the guiding principles of consistency, transparency, proportionality, and accountability. Its purpose is to secure compliance with the law whilst minimising the burden on individuals, businesses, and the Council itself. The policy will not affect the discretion of the Council to take legal proceedings where it is in the public interest. Enforcement actions will be carried out in accordance with the relevant legislation.

This policy applies to functions carried out within the following Regulatory Services:

1. Public Protection (this includes Environmental Health, Environmental Protection, Private Sector Housing, Community Safety (Neighbourhoods) and Licensing)
2. Development Management
3. Building Control
4. Finance
5. Tenancy Services

Each manager of a regulatory service covered by this Policy will be responsible for its effective implementation throughout the enforcement activities of their team. Each officer within these teams will be responsible for applying it in relation to the enforcement activity covered by this policy.

This corporate enforcement policy is an overarching policy for all enforcement functions undertaken by South Kesteven District Council. Under this, there are more detailed policies which cover specific service functions in more detail, for example, the **Development Management Enforcement Policy (Planning Control)** ([insert link](#)) or the **Local Authority Building Control (LABC) Enforcement Policy** ([insert link](#)). Where no service-specific enforcement policy is in place and enforcement action is being considered, this overarching policy will apply.

## **2. Approach to Enforcement**

It is important to achieve and maintain consistency in our approach to enforcement. In many cases the decision to enforce is discretionary and any enforcement action taken must be proportionate to the risks posed and the seriousness of any breach of the law.

All enforcement activities, including investigations and formal actions, will be conducted in accordance with:

- The statutory powers of the officer dealing with the matter.
- All other relevant legislation including the Enforcement Concordat (Regulators Compliance Code)
- Any other relevant policies

The actions and decisions that the council decides to take will be determined on a case-by-case basis and will be judged on its own merits in line with the actions listed in the following policy.

### **3. Regulators' Code**

The Regulators' Code is an important part of the Government's better regulation principles. The aim of the Code seeks to promote an approach to regulatory inspection and enforcement that is: proportionate, consistent, and targeted. The Regulators' Code can be found using this link: <https://www.gov.uk/government/publications/regulators-code>

Whilst this Council has had regard to the Regulators' Code in preparing this policy, it is important to note that in some instances we may conclude that a provision within the code is not relevant or is outweighed by another provision. If this occurs, then it will be properly reasoned, based on material evidence, and documented.

The Council will continue to have regard to the Regulators' Code and in particular, will undertake the following:

- Carry out our activities in a way that supports those we regulate to comply and grow
- Provide simple and straightforward ways to engage with those who we regulate and to hear their views
- Base our regulatory activities on risk
- Share information about compliance and risk
- Provide clear information, guidance and advice to those we regulate to help them meet their responsibilities
- Ensure our approach to regulatory compliance is transparent

Where we consider that formal action is necessary each case will be considered on its own merits subject to the general overriding principles that apply to the way each case must be approached. These principles are set out in this document and in the Regulators' Compliance Code.

### **4. The Code for Crown Prosecutors**

When deciding whether to prosecute, South Kesteven District Council will have regard to the provisions of The Code for Crown Prosecutors as issued by the Director of Public Prosecutions. This code provides two tests that must be satisfied when deciding to prosecute, these are the following:

#### **4.1 Evidential Test**

This test is to determine if there is enough evidence to prosecute and to consider the quality of evidence (what evidence can be used in court and if it is reliable).

They must be satisfied that, against each alleged offender for each offence, there is sufficient evidence to provide a "realistic prospect of conviction".

#### **4.2 Public Interest Test**

This test is to determine if there is a public interest for the case to be brought to court. It balances and considers factors that in large supports or opposes the case being brought to court. The Code for Crown Prosecutors identifies that when applying this test, the following factors for and against prosecution should be considered:

- How serious is the offence committed?
- What is the level of culpability of the suspect?
- What are the circumstances and harm caused to the victim?
- What was the suspect's age and maturity at the time of the offence?
- What is the impact on the community?
- Is prosecution a proportionate response?
- Do sources of information require protecting?

In addition, in certain limited circumstances, where the full test under this code is not met, a threshold test may be applied. This will depend on the seriousness or circumstances of the case.

## **5. Regulatory Enforcement and Sanctions Act 2008**

The Regulatory Enforcement and Sanctions Act 2008, as amended, was designed to enable more consistent enforcement of regulations across local authority boundaries, better coordination between local authorities and central government, and more effective enforcement of regulations. It also requires regulators to conform to certain principles. The Primary Authority scheme aims to ensure that any company trading across council boundaries in the scheme is guaranteed access to advice.

South Kesteven District Council, when considering taking enforcement action against a business or organisation that has primary authority, will comply with the requirements of the act. We will have due regard to guidance issued by the Secretary of State in relation to Primary Authority.

## **6. Principles of Good Regulation**

South Kesteven District Council operates its services with due regard to the "Principles of Good Regulation" which is set out in the Legislative and Regulatory Reform Act 2006. This covers the following:

- **Proportionate** – Endeavouring to minimise costs of compliance for businesses, reflecting the harm and impact on victims. Our actions will relate to the seriousness of the offence, and to the previous actions taken by the Council or its partners.
- **Accountable** – Our activities will be open to scrutiny, with clear and accessible policies and a fair and efficient complaints procedure.
- **Consistent** – Our advice to those we regulate will be robust and reliable, respecting advice provided by others. Carrying out our duties in line with service standards and endeavouring to act in a similar manner to other enforcement authorities.
- **Transparent** – We will make clear the difference between legal requirements and recommendations, ensuring those we regulate understand their duties and what

they can expect from us. We will provide information and any advice on the legislation we enforce in plain language and will be open and transparent in our actions.

- **Targeted** – Focusing resources on higher-risk enterprises and activities, utilising intelligence to direct our priorities wherever possible.

## **7. Conduct of Investigations**

The investigations that South Kesteven District Council undertakes will be carried out in accordance with the relevant legislation, and any relevant Codes of Practice and Guidance will also be considered.

Relevant legislation and codes of practice include but are not limited to:

- Police and Criminal Evidence Act 1984 (PACE)
- Criminal Procedure and Investigations Act 1996
- Regulation of Investigatory Powers Act 2000
- Criminal Justice and Police Act 2001
- Human Rights Act 1998
- The Protection of Freedoms Act 2012 (Code of Practice for Powers of Entry and Description of Relevant Persons) Order 2015
- Data Protection Act 2018
- Equalities Act 2008
- Consumer Rights Act 2015
- Any other relevant legislation that may be in force

All investigations will be conducted in accordance with:

- i. The statutory powers delegated to the officer dealing with the matter.
- ii. Compliance with the Legislation, Guidance and/or Codes of Practice associated with the matter under investigation, for example, the Food Standards Agency Code of Practice and Practice Guidance, HSE Enforcement Management Model, Health and Safety Rating System Enforcement Guidance.
- iii. Local in-house procedures and delegated authority to assist in the making of consistent enforcement decisions.

Subject to the needs of an investigation, officers will notify the individuals or businesses they are subject to an investigation as soon as is reasonably practicable. The Council will make timely decisions to enable the progression of the investigation and decision making. The person or business subject to an investigation will be informed of the outcome.

During an investigation, officers may utilise specific equipment to gather evidence and carry out overt and covert surveillance. This can include, but is not limited to the use of camera, video, sound level meters, light meters etc. This equipment will be used primarily to gather evidence, but may also be used as a deterrent, where it is necessary and proportionate to do so, and in line with legislation. This will be in accordance with the Council's Regulatory

Investigatory Powers Act Policy which can be found here:  
[Regulation of Investigatory Powers Act Policy.pdf \(southkesteven.gov.uk\)](https://southkesteven.gov.uk/Regulation_of_Investigatory_Powers_Act_Policy.pdf)

The investigation process may include the interviewing of those persons suspected in the breach of legal requirements. Where the offence being investigated is an either way offence (could be heard in Magistrates or Crown Court) and/ or carries imprisonment as a sanction, then those persons suspected of breaching legal requirements will, where appropriate be offered an interview in accordance with Police and Criminal Evidence Act 1984 (PACE).

#### **8. Officer's Powers of Entry**

Enforcement officers have a wide variety of duties and must act as investigators. This is supported by strong powers of entry, seizure and inspection contained in various statutes. If individuals or businesses obstruct officers or refuse to provide information, they could be subject to criminal sanctions. Officers use these powers at their discretion with the support of the Council who will uphold them.

Officers will use their powers of entry only, when necessary, but usually to carry out an inspection of premises or in the process of an investigation. The Council will always support officers who act in good faith. This includes prosecuting those individuals who obstruct or assault officers during investigations or inspections.

If the legislation allows, officers may examine premises and articles, remove articles, label samples, request information, issue enforcement notices and may in some instances be accompanied by other persons. In appropriate cases, a warrant from a Magistrate may be obtained to obtain entry to premises.

An officer must be able to explain the legal basis for any action and justify all separate actions used.

#### **9. Appointment of Officers and Identification**

All officers are trained and authorised to act under relevant legislation enforced or administered by the service in which they are employed. Their authorisation will follow the scheme of delegation's procedure adopted by the Council.

All officers are issued with an identification card bearing their photograph. This identification must also be produced on request.

#### **10. Liaison with Other Regulatory Bodies and Enforcement Agencies**

Where appropriate, enforcement activities within all services with regulatory responsibilities will be coordinated with other regulatory bodies and enforcement agencies to maximise the effectiveness of any enforcement.

Where an enforcement matter affects a wide geographical area beyond the boundaries of the district or involves enforcement by one or more other local authorities or organisations, the relevant authorities and organisations will be informed as soon as possible and all enforcement activity coordinated with them.

Services with regulatory responsibilities will share information relating to wider regulatory matters with other regulatory bodies and enforcement agencies. Examples include:

- Government Agencies.
- Health and Safety Executive.
- Police Forces.
- Fire Authorities.
- Statutory undertakers.
- Other Local Authorities.

Confidentiality, data protection and information sharing are covered in detail in separate Council policies and all information shared will be in accordance with the principles of data protection and freedom of information legislation.

## **11. Enforcement Actions**

The enforcement options available include the following:

### **11.1 No Action**

In certain circumstances, contraventions of the law may not warrant any action. This may be because the cost of compliance to the offender outweighs the detrimental impact of the contravention, or the cost of the required enforcement action to the Council outweighs the detrimental impact of the contravention on the community or in the public interest to pursue any form of action.

### **11.2 Informal Action and Advice**

For minor breaches of the law, we may give verbal or written advice. In such cases, we will clearly identify any contraventions of the law and give advice on how to put them right. This advice will include a timeframe for compliance.

We will also advise offenders of any relevant 'good practice.' Where good practice advice is issued, we will make clear what needs to be done to remedy any breach of law and what is advice only.

We will make offenders aware that failure to comply with any information, action or advice given could result in an escalation of enforcement action.

We may take informal action when:

- The act or omission is not serious enough to warrant formal action.
- From the individuals or businesses past history we can reasonably expect that informal action will achieve compliance
- We have high confidence in an individual or business proprietor.
- The consequences of non-compliance will not pose a significant risk to public health, public safety, or the environment.

This can include compliance advice, guidance and support

### **11.3 Fixed Penalty Notices**

Fixed Penalty Notices (FPN) provide a quick, visible, and effective way of dealing with matters as an alternative to prosecution.

Fixed Penalty Notices (FPN) may be issued by authorised officers for certain offences, enabling the offender to discharge liability by payment of a specified amount within a specified time period.

Where the council has discretion to set the amount of the fixed penalty this will be detailed in the Council's Fees and Charges scheme, otherwise, the fixed penalty amount will be as determined in relevant legislation. Where a fixed penalty amount is reduced for early payment, this will also be detailed in the Council's Fees and Charges scheme.

If a FPN remains unpaid after the expiry of the specified payment period, the case will be referred to be considered for prosecution.

FPNs may be issued either "on the spot" or by post.

Further information relating to the issuing of FPNs regarding environmental crime related matters can be found within **Appendix A** attached to this Policy.

#### **11.4 Forfeiture Proceedings**

This procedure may be used in conjunction with seizure and/or prosecution. This course of action should be used where there is a need to dispose of goods in order to prevent them from re-entering the marketplace or to avoid a further problem. In appropriate circumstances, we will make an application for forfeiture to the Magistrates Courts.

#### **11.5 Seizure**

Certain legislation enables authorised officers to seize goods, equipment or documents for example unsafe food, sound equipment or any items that may be required as evidence for possible future court proceedings. An appropriate receipt will be given for any goods taken.

#### **11.6 Administrative Penalties**

In certain circumstances, the Council can impose a penalty if a Council Taxpayer fails to provide information. It is very important that a Council Taxpayer notifies the Council when there is a change in their circumstances, which could affect a discount or exemption. The council can charge a penalty of £70 when the resident does not advise the council of this within 21 days that:

- They are no longer entitled to a discount.
- Their property is no longer entitled to an exemption.

And

- They do not respond to a written request for information to identify the person liable to pay Council Tax
- They knowingly supply false information regarding the identification of the person liable to pay Council tax.

Where a £70 penalty has been imposed as above, and the person, on a further request for information still fails to provide the information, or continues to provide false information, the Council may impose a further penalty of £280. A further penalty of £280 will apply each time information is withheld, or false information is given.

### **11.7        Injunctive Actions**

Injunctive action may be used where offenders are repeatedly found guilty of similar offences or where it is considered the most appropriate course of enforcement i.e. to deal with dangerous circumstances, significant consumer detriment or serious anti-social behaviour problems.

For cases that involve antisocial behaviour, where other interventions have failed or is not appropriate, a civil injunction could be sought to give prohibitive or positive requirements.

### **11.8        Formal Notices**

Certain legislation allows notices to be served requiring offenders to take specific actions or cease certain activities. Notices may require activities to cease immediately. In other circumstances, the time permitted to remedy the breach will be reasonable and will take into account the seriousness of the contravention and the implications of the non-compliance.

All notices issued will include details of any applicable appeals procedures.

### **11.9        Criminal Behavior Orders (CBO)**

When the legal breach under investigation is anti-social behaviour, in that the offender's behaviour has caused, or was likely to cause, harassment, alarm or distress to any person, or the activity is deemed detrimental to quality of life. If considered appropriate, an application can be made to the Court for a CBO on conviction, to stop this activity.

An application for a CBO could be made to the court on the back of a prosecution. The court may also specify additional positive engagements or requirements to prevent re-offending.

### **11.10      Simple Caution**

Where appropriate, a caution may be issued as an alternative to prosecution.

A caution will be issued to:

- i.        Deal quickly and simply with less serious offences.
- ii.       Divert less serious offences away from the courts.
- iii.      Reduce the chance of repeat offences.

For a Simple Caution to be issued several criteria must be satisfied:

- i.        Sufficient evidence must be available to prove the case.
- ii.       The offender must admit the offence.
- iii.      It must be in the public interest to use a Simple Caution

- iv. The offender must be 18 years or over.
- v. The offender should not have received a simple caution for a similar offence within the last 2 years.

A simple caution will not be considered in the case of a second or subsequent offence.

If the offender commits a further offence, the caution may influence our decision to prosecute. If during the time the caution is in force the offender pleads guilty to, or is found guilty of, committing another offence anywhere in England and Wales, the caution may be cited in court, and this may influence the sentence that the court imposes.

Simple Cautions are administered and issued by the relevant Assistant Director/ Director.

#### **11.11 Work in Default**

In place of or as well as prosecutions we have certain powers to carry out work in default (South Kesteven District Council may carry out any action necessary and recharge the costs to the offender). We will only use these powers after a notice to carry out work has ended. We will claim back all our charges either through the courts or as a land charge on the property.

#### **11.12 Demand for Payment**

The Council will ensure that the method of collecting money owed to the Council is collected in a fair and efficient manner. The Council will ensure early contact is made to minimise large debts accumulating and ensure the debtor does not suffer from unnecessary hardship.

#### **11.13 Prohibition/ Stop Notices and Injunctions**

Where an offender is required to take immediate action, it may be necessary for a statutory notice to be served. These include Prohibition Notices, Planning Enforcement Notices, Closing Orders, Stop Notices Criminal Behaviour Orders or Injunctions, and can be issued in one or more of the following circumstances:

- i. There is an imminent risk of injury to health or safety.
- ii. There is a serious hazard to residential premises.
- iii. There is an imminent risk of serious environmental pollution.
- iv. The consequences of not taking immediate and decisive action, to protect the public, would be unacceptable.
- v. Where an unauthorised development is unacceptable and is causing serious harm to public amenity near to the site, or where there has been breach of a condition notice.
- vi. Where unauthorised development is unacceptable, and continuing work is or may cause irreversible damage, and remedial action is not a satisfactory option; vii the guidance criteria on when prohibition may be appropriate are met.

- vii. We have no confidence in the integrity of an unprompted offer by a proprietor to close premises voluntarily, or stop using any equipment, process or treatment associated with the imminent risk.
- viii. A proprietor is unwilling to confirm in writing his/her unprompted offer of a voluntary prohibition.
- ix. Where it would be the most effective remedy available

We will make offenders aware of any right of appeal they may have against any action we have taken.

The act of serving a prohibition/stop notice or injunction does not prevent us from deciding to prosecute depending on the seriousness of the circumstances that led to the serving of that notice.

#### **11.14 Refusal / Suspension / Revocation of Licences**

We issue licences and approval for a variety of activities such as hackney carriages, caravan sites, food premises, selling alcohol and providing entertainment, animal welfare licences, houses in multiple occupations etc. with specific conditions which control how facilities at the premises are managed and provided, these are mandatory and voluntary conditions and site specific.

If there has been a relatively minor incident where licence conditions have been broken and the duty holder is willing to take the necessary action to have things right, it may be appropriate to give a verbal or written warning first. If there are serious failures to meet the licence conditions or if the informal approach fails to bring about the necessary improvements, we will present a formal report to the relevant authorised Head of Service or where required report to the relevant Council Committee or panel and make representations as to whether a licence will be granted, renewed, withdrawn or amended. The duty holder will be entitled to make a statement to support their case.

If there is a serious incident where licensing or registration conditions have been broken, we will consider it in line with the conditions relating to prosecutions and if appropriate, start legal proceedings. In some cases, we may need to suspend a licence or approval until the relevant Head of Service, Committee, or panel can consider the matter.

There are several separate Policies relating to Licensing, for example, Gambling Act Statement of Principles, Statement of Licensing Policy, Hackney Carriage and Private Hire Licensing Policy and Houses of Multiple Occupation Licensing Policy.

#### **11.15 Closure Orders**

Under the Antisocial Behaviour Crime and Policing Act 2014, the Local Authority may issue a closure notice on a premise(s). That is, if we are satisfied on reasonable grounds that the use of the particular premises, has resulted in, or is likely soon to result in nuisance to members of the public. Or that there has been or is likely soon to be disorder near those premises

associated with their use, and that the notice is necessary to prevent the nuisance or disorder from continuing, recurring or occurring.

#### **11.16 Power to Charge for Enforcement**

Where legislation allows, we will make reasonable charges as we consider appropriate as a means of recovering expenses associated with the service of enforcement notices e.g. under Section 49 of the Housing Act 2004. Charges will be published in accordance with the Council's Fees and Charges scheme.

#### **11.17 Proceeds of Crime applications**

The provisions of the Council Proceeds of Crime Act 2002 (POCA) will be used by this Local Authority where it is appropriate, to ensure the recovery of an offender's financial gain or benefit following conviction. Where a Proceeds of Crime Act application is considered as appropriate. This will seek to recover the financial benefit that the offender has gained through the course of their criminal activities and will look to confiscate the assets from the offender. Where such an approach is considered as appropriate, the council, at its earliest opportunity, will seek advice from an accredited financial investigator, so that a financial investigation can be run parallel. All relevant timescales required as part of this process will be followed.

#### **11.18 Prosecution**

It is recognised that the decision to prosecute is significant and could have far reaching consequences for the suspected offender. In all cases, the decision to instigate and undertake a prosecution, rests with the Assistant Director of that service, and in line with the council's scheme of delegation within the constitution.

The criteria for the issue of proceedings are:

- i. The alleged offence involves a breach of the law with the result that public health, safety, or wellbeing is, or has been, put at risk, or there has been irreversible damage.
- ii. There has been a reckless disregard for the environment.
- iii. Someone has died as a result of the law being broken.
- iv. Someone has failed to pay a Fixed Penalty Notice
- v. Officers have been intentionally obstructed while carrying out their duties.
- vi. The alleged offence involves deception which may or may not result in a loss or potential loss of public funds.
- vii. A serious potential risk has been identified which the suspected offender has not rectified despite having been given a reasonable opportunity to comply with the law.

- viii. The alleged offence involves a failure to comply in full, or in part, with the requirements of a statutory notice.
- ix. There is a history of similar offences.
- x. The alleged offence is considered to be anti-social behaviour or causes public alarm, and it is desirable to reassure the public and deter other potential offenders.
- xi. A prosecution is in the public interest, there is a realistic prospect of conviction and sufficient evidence to support proceedings.

We will consider all material evidence and information before deciding upon a prosecution in order to make a fair and objective decision. When determining whether to prosecute, we will have due regard to the provisions of the Code for Crown Prosecutors as issued by the Director of Public Prosecutions.

Section 222 of the Local Government Miscellaneous Provisions Act 1972 states that where a local authority finds it expedient to commence or defend legal proceedings, for the promotion or protection of the inhabitants of their area, they can do so. This therefore allows for a pragmatic approach when dealing with offences.

#### **11.19 Appeals**

Where any enforcement action is undertaken using legislation that includes a specific appeals procedure, we will advise you of that procedure at the required time.

#### **12. Complaints**

The Council will aim to provide effective, timely complaint responses in accordance with SKDC's Customer Feedback Process, Compliments, Comments & Complaints process.

If a customer is still not satisfied with the response, they may complain to the Local Government Ombudsman if they feel they have been unfairly treated. A leaflet about this is available on request.

#### **13. Review**

This Policy will review periodically in the light of any significant changes in legislation, Codes of Practice, or other guidance.

## **14. Appendix**

Appendix A: Environmental Crime and Antisocial Behaviour- Fixed Penalty Notices.

Appendix B- Environmental Health Approach to Investigation and Enforcement

Appendix C- Private Sector Housing Approach to Investigation and Enforcement

Appendix D- Example of a Decision Log & Action Plan

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## Appendix A

### **Environmental Crime and Antisocial Behaviour- Fixed Penalty Notices.**

Fixed Penalty Notices (FPN) provide a quick, visible, and effective way of dealing with straightforward environmental crimes and they are an alternative to prosecution. Normally offences resulting in a FPN will be witnessed directly by the officer. However, an officer may consider it appropriate to issue a FPN to an offender if they have not directly witnessed the offence but have reliable witness testimony.

An FPN will be appropriate for first-time offenders and one-off incidents meaning the recipient can avoid a court appearance and possible conviction. The Council will adopt a robust approach in its use of FPNs and all other associated enforcement powers. Our officers, or those working on behalf of the Council, will be fair but firm, polite and consistent.

An FPN will only be issued when:

- An offence has been committed
- A FPN is a proportionate response
- There is evidence to support prosecution if the offender does not pay the fixed penalty
- The offender understands why the FPN is being issued

### **Offences**

This policy applies to the categories of offences set out in the following Table:

Littering	A person commits an offence if they throw down, drop or otherwise deposit any litter in any place which is open to the air and which the public has access to, with or without payment. This will also apply to littering from vehicles as of 1st April 2018.
Public Spaces Protection Orders (PSPO)	Under the Anti-social Behaviour Crime and Policing Act 2014, authorised officers have the power to issue fixed penalty notices (FPNs) to anyone they reasonably believe is in breach of the PSPO).
Fly tipping	A person commits an offence if they deposit (or knowingly causes/permits) controlled waste to be deposited in or on any land unless a waste management licence authorising the deposit is in force and the deposit is in accordance with the licence.
Duty of Care	A householder or commercial operator has a legal obligation (duty of care) to take all reasonable measures to ensure any waste is disposed of correctly. The Environmental Protection Act requires all householders and businesses to ensure their waste is only removed by registered waste carriers.
Household Waste	Domestic waste control and presentation of the bin is covered under s.46 and 47 of the Environmental Protection Act 1990 and is a civil penalty, where there is an obligation to first issue the notice. There is the appeal process described in s.47 of the legislation.
Commercial Waste	A person commits an offence if they store waste in a manner that causes a nuisance or is detrimental to the amenities of the locality.
Graffiti	A person is guilty of an offence if they deface with graffiti any property that is not their own or that they do not have the permission of the owner to deface.
Fly Posting	A person commits an offence if they display advertising material on buildings and street furniture without the consent of the owner.
Abandoning a Vehicle	Vehicle A person commits a criminal offence if they abandon a motor vehicle or anything that has formed part of a motor vehicle on any land in the open air or on any other land forming part of a highway.
Nuisance Parking	A person commits an offence if they leave (or causes to be left) two or more motor vehicles parked within 500m of each other on a road or roads where they are exposed or advertised for sale for the purposes of a business.
Repairing vehicles on a road	It is an offence to run a business which carries out repairs to motor vehicles on the highway.

### **Age**

The issue of a FPN will only be considered for those persons who commit an offence and are aged 16 years or above.

Where a person under the age of 16 has committed an offence, officers will seek to work with parents and/or schools to prevent further offences and educate the young person where possible. Appropriate adults will be sought in all cases.

### **Fee and Payment**

The fee for each type of fixed penalty notice, where not set by law, will be set by the Council during the annual budget cycle. Where a new offence is established or variation to the existing penalty fee takes place within the budget year, then the relevant legislated default penalty fee will be adopted.

If the person either refuses to accept a FPN or, having accepted such a notice, does not pay before the end of the suspended enforcement period of 14 days, a reminder letter will be issued giving a further seven days' notice from the date of this letter. If the fixed penalty remains unpaid and to ensure the credibility of a FPN scheme, the assumption will be that all cases involving non-payment will be considered for referral to court.

Payment of a fixed penalty by instalments will not be accepted.

### **Appeals**

Fixed Penalty Notices (FPN) for criminal offences do not have a formal ground of appeal.

The legislation that governs fixed penalty notices means that a person who receives an FPN can challenge the offence in court if they believe the penalty should not have been issued to them.

It is important to note that payment of a fixed penalty notice is an invitation for the person issued with the FPN to discharge their liability to prosecution.

## **Flytipping and littering - Fixed Penalty Matrix**

In relation to Section 33, 34 and 87 of the Environmental Protection Act 1990, for fixed penalty notices (FPN) the council will utilise the FPN matrix and consider the application of the below matrix in certain circumstances:

Fly Tipping	Maximum Fine (each offence) £1,000	Optional FPN Amount (case by case basis): <ul style="list-style-type: none"><li>• Car Boot or Less - £600*</li><li>• Small Van Load - £800*</li><li>• Transit Van or Above - £1,000</li></ul>
Littering	Maximum Fine (each offence) £500	Optional FPN Amount (case by case basis): <ul style="list-style-type: none"><li>• Single Item - £250*</li><li>• Multiple Items - £500</li></ul>
The optional FPN amount stated* could be raised back to the maximum amount, depending on the following factors: <ul style="list-style-type: none"><li>• Size of item(s)</li><li>• Location of item(s)</li><li>• Risk to public health and safety</li><li>• Risk to the environment</li><li>• Court likely to impose a nominal penalty.</li><li>• Previous advice/warning given.</li><li>• Oversight/ignorance of the law.</li></ul>		

## **Court Action**

A FPN may not be appropriate where it is known that the offender has previously been issued with a FPN for a similar offence, particularly if they have not paid. Court action will be considered in such cases as will offences where the impact of the offence upon the local environment and the cost related to rectifying is significant. Court action will be considered if:

- Payment has not been made
- The offence is major, e.g. significant fly tip, dumping of hazardous waste
- The offence is committed by a persistent offender
- The offender is violent or aggressive

## **Appendix B- Environmental Health Approach to Investigation and Enforcement**

### **General Principles**

This policy guides all officers involved in investigation, enforcement action and recommending or deciding upon the commencement of legal proceedings within the scope of Environmental Health.

### **Inspections and Visits**

Inspections or visits will not take place without a reason. They may be undertaken in response to a complaint; in accordance with risk-based programmes; in accordance with statutory requirements or on receipt of relevant intelligence.

Where complaints are being investigated, notice of inspections/visits will not normally be given unless we are required to do so by legislation.

In accordance with the Food Standards Agency Food Law Code of Practice, most food hygiene inspections will be carried out unannounced during normal hours of operation of the business. In some circumstances, appointments to undertake an inspection have to be made.

On occasion, if admission has been refused, premises are unoccupied or prior warning of entry is likely to defeat the purpose of the entry, we may apply to a Justice of the Peace for a Warrant to enter premises, by force if necessary.

### **Liaison with other Enforcement Agencies and Regulatory Bodies**

Where appropriate, enforcement activities within Environmental Services will be coordinated with other regulatory bodies and enforcement bodies to maximise effectiveness.

The Primary Authority Scheme was established by the Regulatory Enforcement and Sanctions Act 2008 (as amended). Officers will liaise with Primary Authorities when applicable e.g. before taking enforcement action. We will comply with the requirements of this Act when we are considering taking enforcement action against any business or organisation that has a primary authority and will have regard to any guidance issued by the Secretary of State in relation to Primary Authority.

Where there has been a work-related death at a premise where the local authority is the enforcing authority, we will work with other regulators involved in the investigation to consider any health and safety offences as effectively and efficiently as possible. This will be undertaken in accordance with the Work-related Deaths Protocol for the Police, Crown Prosecution Service, Local Authorities, and the Health and Safety Executive.

We will have regard to the Health and Safety Executive Enforcement Management Model (EMM) and associated guidance when considering enforcement decisions relating to health and Safety at Work.

## **Appendix C- Private Sector Housing Approach to Investigation and Enforcement**

### **Introduction**

The private rented sector is growing rapidly and although the majority of landlords provide well-managed and safe homes, the Council recognises that there are some landlords who neglect their responsibilities and put their tenants at risk due to the poor condition of their homes.

This document is intended to provide guidance for officers, landlords, letting agents and residents in respect of our approach to improving standards in private sector housing and dealing with enforcement. It should be read in conjunction with the Council's Environmental Services and Corporate Enforcement Policies which set out our commitment to the Principles of Good Enforcement and the Regulators Code.

Throughout this document, the term "landlord" also includes "property agents" and "letting agents" unless specified otherwise.

### **Approach to Enforcement**

The Council recognises that most landlords and individuals wish to comply with the law and will seek to assist them in doing so by providing assistance to enable them to comply with legal requirements. Reasonable efforts will be made to ensure compliance without the need for formal action and in most circumstances, landlords will first be given the opportunity to investigate and resolve any issues at their properties. However, formal action will be considered where necessary, for example, where there is a serious or imminent risk to public health, a history of non-compliance or where landlords have failed to take action within informally agreed timescales.

The Council expects landlords to have a good understanding of the standards required in privately rented accommodation and refer to published guidance. The Council works closely with DASH Services (Decent and Safe Homes) to provide the Lincolnshire Landlord Accreditation Scheme to encourage and promote good property standards and management practices in the private rented sector.

The Private Sector Housing team will respond to complaints from tenants and other residents about the condition of private housing, prioritising them on the basis of an assessment of risk. Unless there appears to be an imminent risk, tenants are encouraged to contact their landlord initially to try to resolve the matter themselves in the first instance.

The Council may proactively target enforcement activity where intelligence suggests that this may be necessary, or to support the Council's wider priorities. This may include but is not restricted to; houses in multiple occupation, properties with poor energy efficiency ratings, poorly built/converted properties, and area-based interventions.

### **Housing Health and Safety Rating System (HHSRS)**

The assessment of housing conditions will be carried out using the Housing Health and Safety Rating System as set out in the Housing Act 2004. This is a risk-based evaluation tool

used to identify and protect against risks and hazards to health and safety from deficiencies identified in dwellings. The HHSRS is based on statistical evidence relating to the likelihood and outcome of the occurrence of 29 different hazards. The assessment method results in a score for each relevant hazard which falls within one of two categories:

- Category 1 hazards – these represent a serious hazard to health and the Council has a duty to take appropriate action.
- Category 2 hazards – these represent a lesser hazard to health and the Council has a discretionary power to take action.

The Council will not normally take enforcement action to remedy (or reduce) minor or moderate Category 2 hazards. However, where any significant Category 2 hazards are identified, a number of Category 2 hazards exist which in combination present a greater cumulative risk, or where the vulnerability of the occupants is a particular factor, appropriate formal action to secure improvements will be considered.

The HHSRS can be used to assess hazards across all tenures. However, the Council will not normally require owner occupiers to undertake works to their own homes unless there is an imminent risk to the occupier or deficiencies at the property are adversely affecting another property or person.

### **Overcrowding**

The Housing Act 2004 introduced “crowding and space” as a hazard under the HHSRS, however, the Housing Act 1985 was not repealed and as such there are two provisions in force. The standards in the Housing Act 1985 are prescriptive based on the number and size of rooms in a property, often including living and dining rooms as being suitable sleeping rooms. It takes no account of the remaining living space.

The Council will follow the Government’s HHSRS enforcement guidance which advises councils to use the HHSRS in respect of overcrowding. The Council will have regard to guidance in considering appropriate action on a case-by-case basis.

Where enforcement action may result in a family having to leave their home the Council will work with all parties to mitigate the impact.

### **Summary of Enforcement Options**

A range of enforcement powers are available to the Council relating to the regulation of the Private Rented Sector the table below details some of these and describes the circumstances as to when they may be considered appropriate.

Action	Circumstances
1. No Action	<ul style="list-style-type: none"> <li>• Complaints or allegations of housing legislation breaches or statutory nuisances are of minor or low risk to health and the landlord has not been informed by the complainant, or allegations are unsubstantiated and unwitnessed.</li> <li>• Formal action is inappropriate in the circumstances.</li> </ul>
2. Advisory notices and letters	<ul style="list-style-type: none"> <li>• Where conditions are evidenced to justify action and investigation and it is appropriate to give the opportunity to landlords and tenants to make representations, provide information or effect change to meet compliance.</li> <li>• No health impacts are present which pose a risk to health or nuisance</li> </ul>
3. Formal notices or Orders	<ul style="list-style-type: none"> <li>• The defect/conditions present a risk to health and/or a nuisance.</li> <li>• There are previous failures of statutory requirements.</li> <li>• Previous advisory notices/letters were ignored, or action was not taken in a timely manner or to the correct standard.</li> <li>• There is a lack of confidence in the individual or management i.e. the willingness to respond to an informal approach.</li> <li>• The Council is legally required to serve a statutory notice</li> </ul>
4. Financial Penalties (up to £30,000 if under the Housing and Planning Act 2016, The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 or Tenant Fees Act 2019. Up to £5000 under other legislation)	<ul style="list-style-type: none"> <li>• Non-compliance with an improvement or overcrowding notice.</li> <li>• Failure to obtain a property licence (Both parts 2 and 3 Housing Act 2004).</li> <li>• Significant and/or repeated breaches of HMO management regulations.</li> <li>• Breaches of the conditions of the property licence.</li> <li>• The amount of penalty decided by Financial Penalty Matrix for Housing Act 2004 offences is detailed below.</li> <li>• Used as an alternative to a prosecution.</li> <li>• Other financial penalty powers are within breaches of the following legislation:</li> <li>• The Electrical Safety Standards in the Private Rented Sector (England) Regulations</li> </ul>

	<p>2020, Amount of penalty decided by Financial Penalty Matrix for offences is The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 detailed below.</p> <ul style="list-style-type: none"> <li>• The Smoke and Carbon Monoxide Alarm (England) Regulations 2015</li> <li>• Redress Schemes for Lettings Agency Work and Property Management Work (Requirement to Belong to a Scheme etc.) (England) Order 2014 and</li> <li>• The Energy Efficiency (Private Rented Property) (England and Wales) Regulations 2015 and subsequent amendments.</li> </ul>
<p>5. Works in Default - Emergency Remedial Action &amp; Emergency Prohibition Order</p>	<ul style="list-style-type: none"> <li>• There is an imminent risk to the health and safety of the occupant and/or public.</li> <li>• Awaiting the service of a notice or a prosecution would not adequately protect the public interest.</li> <li>• However, this does not rule out subsequent action being taken in conjunction with a prosecution, financial penalty, RRO or other legal action.</li> </ul>
<p>6. Works in Default – noncompliance with a notice.</p>	<ul style="list-style-type: none"> <li>• We may choose to carry out works required by notice if they have not been completed within the permitted time or are not likely to be completed within the permitted time.</li> <li>• This may be taken in conjunction or followed with a prosecution or financial penalty and/or RRO.</li> </ul>
<p>7. Rent Repayment Orders (RRO)</p>	<ul style="list-style-type: none"> <li>• RROs will be considered after every successful prosecution for failure to comply with an Improvement Notice (section 30); Prohibition Order, including Emergency Prohibition Orders (section 32); Offences in relation to licensing of HMOs (section 72) and in relation to licensing of houses under Part 3 of the Act (section 95).</li> <li>• Where a landlord fails to licence a licensable property and they received a significant amount of Housing Benefit or Universal Credit, a RRO application may be made to the First Tier Tribunal.</li> </ul>
<p>8. Banning Orders</p>	<ul style="list-style-type: none"> <li>• The Council may decide to seek a Banning Order following the breach of 'banning</li> </ul>

	order offences' by landlords and agents. A banning order lasts for a minimum of 12 months and prevents landlords or agents from letting their own properties or being involved in the lettings and property management industry across England.
9. Interim & Final Management Order	<ul style="list-style-type: none"> <li>• The Council may decide to seek an Interim Management Order (IMO), following the breach of certain licensing offences, where the health and safety or welfare of the occupants is at serious risk (the 'health and safety condition' section 104 Housing Act 2004) and/or breach of a banning order by landlords and agents. An IMO lasts for a maximum of 12 months and gives control of the subject property to the Council. At the end of the Interim period, a Final Management Order (FMO) of up to 5 years may be sought, which follows the same principles but on a longer-term basis.</li> </ul>
10.	

#### **Housing Act 2004 offences Financial Penalty Matrix.**

The following matrix is used by officers in determining the penalty amounts for a Financial Penalty Notice under the Housing Act 2004 which were introduced as an alternative to prosecution by the Housing and Planning Act 2016. It has been created having specific regard to the Government Guidance for Local Authorities: Civil Penalties under the Housing and Planning Act 2016, published in April 2018.

Each of the rows in the matrix takes into account certain criteria set out in the guidance. Each row produces a score dependent on the severity of the issue, being either 1, 5, 10, 15 or 20. At the end of every row, the officer will have to justify the most appropriate score chosen based on evidence in the case. The sum of the scores of each of the 4 rows produces a total. This final total is then compared against the council's set fee ranges, which determines the exact penalty amount; see table below. For example, a matrix total of 17 would result in a penalty of £7,500, a score of 55 would result in a penalty of £20,000 etc.

Consequently, the officer using the matrix will at no point be setting the penalty amount themselves as it is automatically calculated by the matrix, dependent on their assessment and resultant scores in each of the 4 rows.

In setting the financial penalty the Council assumes that the offender is able to pay any penalty imposed unless they supply suitable and sufficient financial evidence to the contrary. It is for the offender to provide this information. If the Council is not satisfied that reliable or suitable information has been provided, reasonable inferences relating to their ability to pay will be drawn from the information available and any other evidence available to the Council.

The ability of an offender to raise finance against their rental portfolio may be taken into consideration where the offender claims they are unable to pay a financial penalty and shows they have only a low income.

Score Range	Fee
1-5	£1,000
6-10	£2,500
11-15	£5,000
16-20	£7,500
21-30	£10,000
31-40	£15,000
41-60	£20,000
61-80	£25,000
81-100	£30,000

Factors	Score = 1	Score = 5	Score = 10	Score = 15	Score = 20	Total	Justification
1. Deterrence & Prevention.	High confidence that a financial penalty will deter repeat offending. Informal publicity not required as a deterrence	Medium confidence that a financial penalty will deter repeat offending. Minor informal publicity required for mild deterrence in the landlord community.	Low confidence that a low financial penalty will deter repeat offending (e.g. no contact from offender). Some informal publicity will be required to prevent similar offending in the landlord community.	Little confidence that a low financial penalty will deter repeat offending. Likely informal publicity will be required to prevent similar offending in the landlord community.	Very Little confidence that a low financial penalty will deter repeat offending. Informal publicity will be required to prevent similar offending in the landlord community		
2. Removal of Financial Incentive	No significant assets. No or very low financial profit made by offender	Little asset value. Little profit made by offender.	Small portfolio landlord (between 2-3 properties). Low asset value. Low profit made by offender.	Medium portfolio landlord (between 4-5 properties) or a small Managing Agent. Medium asset value. Medium profit made by offender	Large portfolio landlord (over 5 properties) or a medium to large Managing Agent. Large asset value. Large profit made by offender.		

3. Offence & History	No previous enforcement history. Single low-level offence.	Minor previous enforcement. Single offence	Recent second time offender. Offence has moderate severity or small but frequent impact(s).	Multiple offender. Ongoing offences of moderate to large severity or a single instance of a very severe offence.	Serial offender. Multiple enforcement over recent times. Continuing serious offence		
4. Harm to Tenants(s) (*Score is doubled on this section in line with Statutory Guidance)	Very little or no harm caused. No vulnerable occupants. Tenant provides no information on impact.	Likely some low-level health/harm risk(s) to occupant. No vulnerable occupants. Tenant provides poor quality information on impact.	Likely moderate level health/harm risk(s) to occupant. Vulnerable occupants potentially exposed. Tenant provides some information on impact but with no primary or secondary	High level of health/harm risk(s) to occupant. Tenant(s) will be affected frequently or by occasional high impact occurrences. Vulnerable occupants more than likely exposed. Small HMO (3-4 occupants), multiple occupants exposed. Tenant	Obvious high-level health/harm risk(s) and evidence that tenant(s) are badly and/or continually affected. Multiple vulnerable occupants exposed. Large HMO (5+ occupants), multiple occupants exposed. Tenant provides excellent information on impact with primary and secondary evidence provided (e.g. medical, social services reports).		

				provides good information on impact with primary evidence (e.g. prescription drugs present, clear signs of poor health witnessed) but no secondary evidence.			
Total:							

## **The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 Penalty Matrix**

The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 provide duties for landlords of certain rented domestic properties in relation to managing risks associated with the electrical installation. Without prejudice to the wording of the regulations, these include:

- Ensure national standards for electrical safety are met. These are set out in the 18th edition of the 'Wiring Regulations', which are published as British Standard 7671.
  - Ensure all electrical installations in their rented properties are inspected and tested by a qualified and competent person at least every 5 years.
  - Obtain a report from the person conducting the inspection and test which gives the results and sets a date for the next inspection and test.
  - Supply a copy of this report to the existing tenant within 28 days of the inspection and test.
  - Supply a copy of this report to a new tenant before they occupy the premises.
  - Supply a copy of this report to any prospective tenant within 28 days of receiving a request for the report.
  - Supply the local housing authority with a copy of this report within 7 days of receiving a written request for a copy.
  - Retain a copy of the report to give to the inspector and tester who will undertake the next inspection and test.
  - Where the report shows that further investigative or remedial work is necessary, complete this work within 28 days or any shorter period if specified as necessary in the report.

The full wording of the regulations can be found online and at the time of draft are located here: [www.legislation.gov.uk/uksi/2020/312/contents/made](http://www.legislation.gov.uk/uksi/2020/312/contents/made).

Where a local housing authority is satisfied, beyond reasonable doubt, that a private landlord has breached a duty under regulation 3, the authority may impose a financial penalty of up to £30,000.

The regulations detail the steps required by a local authority to take as well as the right of a landlord to make representations and the right of appeal against any subsequent decision to issue a financial penalty. In determining the value of a financial penalty, the Council will have regard to the matrix below.

In using this matrix, the council has regard to the non-statutory guidance issued by the government “Guide for local authorities: electrical safety standards in the private rented sector.”

General principles (to be applied to all financial penalties made under the Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020)
No penalty charge shall be issued above the statutory maximum of £30,000
No penalty charge shall be less than 20% of the starting value after all aggravating and mitigating factors are considered and taken into account.
Mitigating factors will be considered based on evidence submitted by the landlord or their agent to the Private Sector Housing Team prior to and including any representations that the landlord provides following service of a Notice of Intent to issue a Financial Penalty

The offences under the Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 have been split into two tiers of offences as detailed below:

The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020	Regulation	Tier
Ensure national standards for electrical safety are met. These are set out in the 18th edition of the ‘Wiring Regulations’, which are published as British Standard 7671.	3(1)(a))	Tier 1
Ensure all electrical installations in their rented properties are inspected and tested by a qualified and competent person at least every 5 years	3(1)(b))	Tier 1
Obtain a report from the person conducting the inspection and test which gives the results and sets a date for the next inspection and test.	3(3)(a)	Tier 1
Supply a copy of this report to the existing tenant within 28 days of the inspection and test.	3(3)(b)	Tier 2
Supply a copy of this report to a new tenant before they occupy the premises.	(3(3)(e)(i))	Tier 2
Supply a copy of this report to any prospective tenant within 28 days of receiving a request for the report	3(3)(e)(ii)	Tier 2
Supply the local housing authority with a copy of this report within 7 days of receiving a written request for a copy.	3(3)(c)	Tier 2
Retain a copy of the report to give to the inspector and tester who will undertake the next inspection and test.	3(3)(d)	Tier 2
Where the report shows that further investigative or remedial work is necessary, complete this work within 28 days or any shorter period if specified as necessary in the report.	3(4) – 3(6)	Tier 1

Failure to comply with duties under the Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020

Starting Value of penalty charge (Note 1)	Tier 1	Tier 2
1 <sup>st</sup> Relevant Penalty	£6,000	£1,200
2 <sup>nd</sup> subsequent penalty issued to the same person/company	£15,000	£3,000
Subsequent penalty issued to the same person/company	£24,000	£4,800

Aggravating Factors (use all that apply) (note 2)	Tier 1	Tier 2
Evidence of failure to comply with multiple duties. (note 6)	£3,000	N/A
Acts or omissions demonstrating high culpability (note 4)	£3,000	£600
Large housing portfolio (note 5)	£3,000	£600
Vulnerable occupant and/or significant harm occurred as a result of failure to comply with regulations (note 7)	£3,000	£600

Mitigating Factors (use all that apply) (note 3)	Tier 1	Tier 2
Evidence of Low culpability (note 8)	-£3,000	-£600
Rapid action taken to remedy failings (note 9)	-£3,000	-£600

Notes 1-3 set out the overall process for determining the value of a given financial penalty. Notes 4-10 give details on specific other issues.

**Note 1 Determining the starting value of a financial penalty.**

The starting point for a financial penalty is based on the number of previous financial penalties issued under these regulations in the previous four years. The Council will take into account any such financial penalties irrespective of the locality to which the breach of legal duty relates.

**Note 2 Aggravating factors.**

After the starting point as per note 1 has been determined any relevant aggravating factors are considered and where appropriate to do so, the given value is added to the starting point to provide the maximum level of financial penalty. At this stage, it is possible for the notional penalty to be above the statutory maximum, but once mitigation and income are considered if the value is still above the statutory maximum, it will be capped as per the “general principles.”

**Note 3 Mitigating factors.**

After aggravating factors are considered and applied where appropriate, mitigating factors are considered and where there is sufficient and compelling evidence the relevant value will be discounted from the Financial Penalty. In considering whether it is appropriate to include a mitigating factor, evidence shall be considered that has been gathered by the inspecting officer in the course of any investigation as well as any representations that have been provided following a served Notice of Intent.

#### **Note 4 Acts or omissions demonstrating high culpability.**

This aggravating factor will be applied where, the person to which the financial penalty applies, acted in a reckless or deliberate manner in not complying with a statutory notice or previous relevant formal advice.

#### **Note 5 Large housing portfolio.**

The aggravating factor is applied where the perpetrator has control or manages of 10 or more units of accommodation. For the purposes of this aggravating factor, the definition of a person having control and person managing are as defined by Housing Act 2004 Section 263.

#### **Note 6 Multiple failings.**

To be included where there is evidence of a failure to comply with three or more regulations, irrespective of whether they are defined as “Tier 1” or “Tier 2”. For the avoidance of doubt, multiple failures of the same regulation do not apply, it is based on evidence of failure of duties under separate provisions within the regulations.

#### **Note 7 Vulnerable persons and/or serious harm.**

This factor will be applied if either the property is occupied by a vulnerable person or if significant harm has occurred as a result of the failure to comply with the duties imposed by these regulations. A vulnerable person is defined as:

*A person who suffers or is at risk of suffering harm or detriment which the ordinary person would not suffer or be at risk of suffering due to age, disability, or severe financial insecurity.*

This factor applies where an occupant is vulnerable and, due to the underlying failure to comply with the relevant legislation is placed at additional risk or harm compared with a non-vulnerable resident.

For purposes of this factor, significant harm is defined as:

*A physical or mental illness or injury that corresponds to one of the four classes of harm as recorded in Housing Act 2004 Section 9 Operating Guidance for the Housing Health and Safety Rating System.*

#### **Note 8 Low culpability.**

This factor will apply where the perpetrator provides sufficient evidence that they only marginally fell short of their legal obligations, for instance:

- Significant efforts were made to address the relevant breach of duty, although they were inadequate to mitigate the underlying cause to issue the penalty.
- They have offered a reasonable defence for why they were unaware of the breach of duty.
- Failings were minor and occurred as an isolated incident.

It will not be sufficient to claim not to have known of the legal requirement or deficiency that forms the underlying reason for the financial penalty in order to benefit from this factor.

It will also not apply where the underlying failure was due to the inaction of the perpetrator in properly managing rented properties, responding to complaints of poor standards, carrying out routine visits, instructing others to assist where necessary etc.

**Note 9 Rapid action taken to remedy failings.**

This factor will apply where, on notification of the alleged failure of the legal duty, the perpetrator took rapid action to remedy the underlying failings which could mean:

- Undertaking remedial works to address the deficiencies noted.
- Obtaining copies of existing electrical reports and providing them to the relevant party.

In order to benefit from this factor, it is the responsibility of the perpetrator to provide sufficient evidence of compliance. It will not be sufficient to simply claim works have been completed, but photographs, videos, and arrangements with the Private Sector Housing Team to visit are all appropriate measures to demonstrate compliance.

In assessing whether “rapid action” was taken, the Council will take into account the extent of the remedial works or actions required, and the time taken from receipt of any requirement to action. This could be evidence of quotes for works, agreed start dates from contractors etc.

In setting the financial penalty the Council assumes that the offender is able to pay any penalty imposed unless they supply suitable and sufficient financial evidence to the contrary. It is for the offender to provide this information. If the Council is not satisfied that reliable or suitable information has been provided, reasonable inferences relating to their ability to pay will be drawn from the information available and any other evidence available to the Council.

The ability of an offender to raise finance against their rental portfolio may be taken into consideration where the offender claims they are unable to pay a financial penalty and shows they have only a low income.

## **Statement of Principles under the Smoke and Carbon Monoxide Alarm (England) Regulations 2015**

This statement sets out the principles that South Kesteven District Council will apply in exercising its powers to require a relevant landlord to pay a financial penalty.

The Regulations require the Council to prepare and publish a statement of principles which it proposes to follow in determining the amount of a penalty charge.

In determining the amount of a penalty charge, the Council must have regard to the statement of principles which was most recently prepared and published at the time when the breach in question occurred.

### **Legislative background**

The Smoke and Carbon Monoxide Alarm (England) Regulations 2015 came into force on 1 October 2015 and introduced the following duties (amended by the Smoke and Carbon Monoxide Alarm (Amendment) Regulations 2022) for “relevant landlords” when premises are occupied under a “specified tenancy”:

- A smoke alarm is equipped on each storey of the premises on which there is a room used wholly or partly as living accommodation; and
- A carbon monoxide alarm is equipped in any room of the premises which is used wholly or partly as living accommodation and contains a fixed combustion appliance other than a gas cooker.
- Checks are made by or on behalf of the landlord to ensure that each prescribed alarm is in proper working order on the day the tenancy begins if it is a new tenancy, and
- Where, following a report made on or after 1<sup>st</sup> October 2022 by a tenant or by their nominated representative to the landlord, a prescribed alarm is found not to be in proper working order, the alarm is repaired or replaced.

Where the Council has “reasonable grounds” to believe that a relevant landlord is in breach of one or more of the duties the authority must serve a remedial notice on the landlord. Reasonable grounds include evidence from a Private Sector Housing Officer or other relevant professional such as an Officer of the Council, Fire service, Police etc.

In line with the Council’s Corporate Enforcement Policy, a staged approach will be used, giving the landlord 7 days to comply where there is no history of non-compliance. If there is a history of noncompliance or compliance is not achieved within 7 days a remedial notice will be served.

Where a remedial notice has been served and the Council is satisfied on the balance of probabilities that the landlord on whom a remedial notice was served has failed to take the

remedial action specified in the notice within the specified period the Council must (where the occupier consents) arrange for the remedial action to be taken and may require the landlord to pay a penalty charge.

### **Principles followed in determining the amount of Penalty Charge**

The purpose is to protect the safety of residents in rented accommodation. Where legislation is not complied with the financial penalty aims to:

- Change the behaviour of the landlord and deter future non-compliance.
- Eliminate any financial gain associated with non-compliance.
- Be proportionate; giving consideration to seriousness, past performance, risk, and Government guidance.
- Reimburse the Council for costs incurred in enforcement.

### **Penalty Charge**

The Regulations allow a civil penalty of up to £5,000 to be imposed on landlords who fail to comply with a remedial notice.

The level of penalty covers the cost of all works in default, officer costs, inspections, and administration on a cost recovery basis. In addition to this, an appropriate and proportionate penalty fine is levied.

The level of Penalty Charge is set on a scale with a minimum penalty of £700.

Where there is a history of noncompliance or unspent convictions relating to housing, or where there are increased risk factors such as vulnerable occupiers, or the property presents a high risk, additional charges will apply to a maximum of £4,500.

### **Level of Penalty Charge**

A fee of £700 will be charged in all cases. This covers the cost of works in default, officer costs, inspections, administration, and a penalty for non-compliance with the notice.

In addition to the £700 charge, additional penalties will be levied as follows:

- Previous spent or unspent conviction or works in default undertaken relating to the owner's role as a landlord. £1,000
- Previous remedial action taken under this legislation. £1,000
- Per additional storey above or below ground level (e.g. Two storey house is £100; Three storey house is £200) £100
- No clear or direct means of escape £500

- Increased risk of ignition or spread of fire.  
(e.g. poor electrics, open fires etc.) £500
- Vulnerable occupants (e.g. elderly or disabled persons, children or others considered vulnerable due to their circumstances) £500

### **Energy Efficiency – Private Rented Property Minimum Standard**

The Energy Efficiency (Private Rented Property) (England and Wales) Regulations 2015 set out the minimum level of energy efficiency for private rented property. The minimum is currently set at an Energy Performance Certificate (EPC) rating of band E.

The Council will have regard to the Guidance for landlords and local authorities on the minimum level of energy efficiency required to let domestic property issued by the Department for Business, Energy, and Industrial Strategy in the application of this legislation.

The minimum standard applies to domestic privately rented properties which are let under certain types of tenancy, and which are legally required to have an EPC as described in the Regulations.

Subject to certain exclusions and exemptions the prohibition on letting sub-standard property takes effect as follows:

- From 1 April 2018, landlords of relevant domestic private rented properties may not grant a tenancy to new or existing tenants if their property has an EPC rating of Band F or G (as shown on a valid Energy Performance Certificate for the property).
- From 1 April 2020, landlords must not continue letting a relevant domestic property which is already let if that property has an EPC rating of band F or G (as shown on a valid Energy Performance Certificate for the property)

Where a landlord wishes to continue letting property which is currently sub-standard, they will need to ensure that energy efficiency improvements are made which raise the EPC rating to a minimum of E.

In certain circumstances as defined in the Regulations, landlords may be able to claim an exemption from the prohibition on letting sub-standard property. Where a valid exemption applies, landlords must register the exemption on the national PRS Exemptions Register.

Most exemptions last for 5 years, but do not pass to a new owner or landlord on sale or transfer of the property. The new owner will need to either improve the property to the minimum standard, or register an exemption themselves, where one applies, if they wish to continue to let the property.

The Council will use the information contained in the PRS Exemptions Register to check compliance with the Regulations. Where it is suspected that a landlord may be in breach of the prohibition on letting sub-standard property, the Council may serve a Compliance Notice requesting information from the landlord to decide whether that landlord has in fact breached the prohibition.

The Council will impose a financial penalty at the maximum level permitted by the Regulations and will also impose the publication penalty, where satisfied that the landlord is, or has been in the last 18 months:

- in breach of the prohibition on letting sub-standard property (which may include continuing to let the property after April 2020), or
- in breach of the requirement to comply with a Compliance Notice, or
- has uploaded false or misleading information to the Exemptions Register.

The maximum penalties are currently as follows:

- £2,000 for renting out a sub-standard property for less than 3 months.
- £4,000 for renting out a sub-standard property for 3 months or more.
- £1,000 for providing false or misleading information on the PRS Exemptions Register
- £2,000 for failing to comply with a compliance notice.

Where penalties are imposed under more than one of the above, the total penalty may not exceed £5,000. This applies per property and per breach.

The Council will impose the maximum penalty for each of the breaches.

A publication penalty means that some details of the landlord's breach will be published on a publicly accessible part of the PRS Exemptions Register, where it will be available to view for 12 months.

As a penalty may be served up to 18 months after the suspected breach, a person may be served with a penalty notice after they have ceased to be the landlord of a property.

## Appendix D:

### Example of a Decision Log & Action Plan

<b>Decision Reference:</b>					
<b>Alleged offender</b>			<b>Offence and Legislation</b>		
Name:  Address:					
<b>Corporate Priority:</b>					
<b>Priority Evaluation</b>	<b>Y</b>	<b>N</b>		<b>Y</b>	<b>N</b>
Public safety – protecting our community/removing dangers to life			Immediate & significant environmental harm or nuisance		
Significant financial loss to council			Significant impact on delivery of overall priorities		
Statutory duty/national enforcement priority			Significant reputational loss		
<b>Outline of Circumstances and Decision / Advice Sought</b>					

<b>Evidential / Public Interest Criteria</b>	<b>Y</b>	<b>N</b>		<b>Y</b>	<b>N</b>
Sufficient evidence to prosecute			Offer of caution rejected by offender		
Previous advice / warning given			Court likely to impose nominal penalty		
Any previous conviction(s) / caution(s)			Evidence of recklessness or negligence		
Was there risk to public health & safety			Long (unjustifiable) delay since offence		
Was there risk or danger to environment			Other sanctions available		
(Actual / potential) financial loss incurred			Previous suggestion of no prosecution		
Oversight/ignorance of the law			Victim content for no prosecution		
Has offender been co-operative			Officer obstructed		
Is offender young, elderly, or vulnerable			(Actual/potential) gain to the offender		
Is there a 'vulnerable' victim			Failure to comply with a statutory notice		
A 'technical' offence			Evidence of 'intent' or 'guilty knowledge'		
Widespread publicity about type of offence			Long term/recurrent offending		
Investigating Officer:			Team Leader/ Manager		Consulted Y / N
<b>Signed:</b>			<b>Date:</b>		

<b>Financial and Reputational Costs and Benefits</b>

<b>Decision / Advice</b>			
<b>Decision Summary:</b>			
Prosecution		Further investigation needed	
Injunction		No Further Action – Public Interest	
Simple Caution		No Further Action – Priority Area	
Bankruptcy		No Further Action - Evidential	
Eviction		Other (specify)	
Reprimand/Final Warning			
Further legal advice needed			
<i>Action Plan</i>			
<b>Further Action Agreed</b>		<b>Action Date By</b>	<b>Officer</b>
1.			
2.			
3.			
4.			
<b>Service Manager:</b>		<b>Signed</b>	<b>Date</b>