Cyfoeth Naturiol Cymru
Natural Resources Wales

Compliance Assessment Report CAR_NRW0040244

Permit being assessed: BB3790FX.
For: ALUK (GB) LTD, held by ALUK (GB) Ltd
At: Aluk GB Ltd, Newhouse Farm Industrial Estate, Mathern, Chepstow, Monmouthshire, NP16 6UD.

Type of assessment carried out: Audit, Reason: Routine.
On 02/08/2022 between 09:30 and 16:45.
Parts of permit assessed: 3.5 Monitoring - OMA audit

NRW Lead Officer: Rebecca Green, accompanied by Ian James.
Report sent to: Toby Ambler, Head of Health & Safety and Environment on 12/08/2022.

1. Summary of our findings (full details in section 4)

Part of permitted activity assessed (criteria)	Assessment result	Permit condition
A1 - Specified by permit	Assessed (A)	
C2 - General Management - Management system and operating procedures	Assessed (A)	
G1 - Monitoring and Records, Maintenance and Reporting - Monitoring of emissions and environment	Assessed (A)	
C1 - General Management - Staff competency/training	Assessed (A)	
E1 - Emissions - Air	Assessed (A)	
E3 - Emissions - Surface water	Assessed (A)	
E4 - Emissions - Sewer	Assessed (A)	

Result types are explained in more detail in the 'Important Information' section below.

Total number of non-compliances recorded	Total non-compliance score
0	0

How we use the non-compliance score to calculate your annual fee is explained in the 'Important Information' section below.

2. What action is required?

No action required.

3. What will happen next?

Any non-compliance we have identified and recorded on this form is an offence. It can result in criminal prosecution and/or suspension or revocation of your permit.

At this time, we do not intend to take any further action.

This statement does not stop us from taking additional enforcement action if further relevant information comes to light or offences continue.

4. Details of our assessment

Operator Monitoring Assessment (OMA) Audit Timetable

1. Introductions and audit plan.
2. OMA audit
   a. Inspect emission and sampling points - A1, A2, S1, W1 and W2;
   b. Observe sampling and testing of emissions to water and sewer;
   c. Procurement - air monitoring documentation;
   d. OMA 1 Management of Monitoring and OMA 4 Quality Assurance of Monitoring - desk audit of procedures.
3. Review audit findings (IJ and RVG).
4. Brief overview of OMA audit findings and scores with ALUK personnel.

Meeting close.

Present for all or part of the audit:-

MW, Managing Director, ALUK;
GB, Operations Director, ALUK;
LG, Head of Production; ALUK;
LS, Head of Quality, ALUK;
TA, Head of Health, Safety & Environment;
AP, Process Development Scientist, ALUK;
AL, Training Officer, ALUK;
LD, Water Treatment Plant Supervisor, ALUK;
HN; Health, Safety & Environment Engineer, ALUK;
Ian James, Senior Officer, South East Industry Regulation (SE IR), Natural Resources Wales (NRW);
Rebecca Green, Senior Officer, SE IR, NRW (Site Officer).

1. Introductions and OMA audit objectives and format

The objective of an OMA audit is to ensure the monitoring data provided to NRW as part of the permit conditions is accurate and reliable. It is specific to emissions monitoring and covers in-house and contractor measurements. It is prescriptive, following OMA guidance and using current technical guidance for reference.
The audit is mainly desk-based, with some aspects of monitoring inspected in-situ.

2. OMA audit

Three aspects of monitoring were audited. Emissions to air, sampled and analysed by contractors.
Emissions to sewer, sampled by Dwr Cymru Welsh Water (DCWW) and analysed by RPS.
Emissions to water and sewer, sampled and analysed by ALUK.
Detailed findings are given in a separate OMA audit report.

4. Brief overview of audit findings

There were two major areas of concern, common to monitoring for air, water and sewer.
Internal audits of monitoring had not been conducted, although this will be rectified once the internal audit schedule is implemented.
There is very little review of monitoring results and methods. ALUK should endeavour to improve their quality assurance for all aspects of monitoring.

Training for personnel who carry out monitoring is adequate, but NRW feel that a more in-depth understanding of the theory behind the methods would be beneficial.
Access to the permit and equipment operating manuals should be much easier and these documents should be readily available at the point of use in hard copy. It is not always practical to have access only via an electronic system.

Two actions were raised as a result of the audit of monitoring of emissions to sewer; four were raised as a result of the audit of monitoring of emissions to air and four as a result of the audit of monitoring of emissions to water. Details are given in the relevant audit report form. Completion dates have not been set.

ALUK scored 76% for monitoring of emissions to air and 77% for emissions to sewer. These high scores are to be expected as the monitoring and analysis is carried out by MCERTS/ISO17025 accredited third parties. Higher scores would have been achieved if ALUK's quality assurance of monitoring data had been better.
ALUK scored 66% for their in-house monitoring of emissions to water and sewer. This low score is largely due to weak quality assurance and use of data and would be increased if these shortcomings were addressed.

The results of this audit show that NRW can be reasonably confident in the monitoring results reported to them by ALUK.

Reporting of emissions to sewer
ALUK are required to report their emissions to sewer every quarter, using form S1. Table S3.3 in Schedule 3, states -

Emission point ref. & location	Source	Parameter	Limit (incl. Unit)	Reference period	Monitoring frequency	Monitoring standard or method
Emission point S1 on site plan in Schedule 7 emission into foul sewer	Effluent treatment plant	Total Aluminium	2.0 mg/L	**Weekly average**	**Monthly**	As agreed in writing with Natural Resources Wales Note 1

The reference period was set as a weekly average on the assumption that the in-line aluminium (Al) monitor, which measures Al concentration in the emission to sewer, would be suitable. This has proved untenable as the in-line Al monitor measures dissolved Al and is not sufficiently accurate. NRW have agreed that ALUK should submit the highest Al concentration from all the samples taken by DCWW for a given quarter on the S1 form. This should be noted on the form and the measurement uncertainty entered in the relevant column. This form can be amended at a later date.

This was the first OMA audit that NRW has conducted at ALUK and NRW would like to thank them for all the time and resources committed to this OMA, both in preparation and on the day of the audit.
The next OMA audit will be due in 2026.

If you have any queries about this report, or to discuss completion of any actions, please contact the NRW Officer named above.

Important information

Legal status of this report

Your permit is issued to you under the Environmental Permitting Regulations. You have a responsibility to comply with the conditions of your permit and prevent pollution/harm of the environment. You must also ensure that you comply with any other relevant legislation that may apply to your site's operations.

This report explains the findings of our assessment and any action you are required to take. We categorise non-compliance using our guidance for assessing non-compliance at regulated sites.

When we find potential non-compliance/s we will normally give you advice on how to maintain compliance.

To correct non-compliance, we may:

- require you to take specific actions
- issue a notice
- review the conditions of your permit.

Any advice and guidance we give will be without prejudice to any other enforcement response that we consider may be required.

Assessment results and non-compliance categories (used in section 1):

Assessment result	Description
Assessed (A)	Assessed or assessed in part, no evidence of non-compliance found
Action only (X)	Action only relating to the activity assessment
Ongoing (O)	Ongoing non-compliance, not scored

Non-compliance category	Description	Score
C1 Major	Potential to have a major, serious, persistent and/or extensive impact or effect on the environment, people and/or property	60
C2 Significant	Potential to have a significant impact or effect on the environment, people and/or property	31
C3 Minor	Potential to have a minor or minimal impact or effect on the environment, people and/or property	4
C4 No environmental impact	Non-compliance at a regulated site that cannot foreseeably have any impact on the environment, people and/or property	0.1

How we use assessment scores

The number and severity of non-compliances recorded in a year will affect your annual subsistence fee the following year. A non-compliance factor is added to your site's Operator

Performance Risk Appraisal (OPRA) score when we calculate your fee to reflect the additional resource we use to assess permit compliance.

What are suspended scores?
In line with our guidance, we may suspend scores for up to six months to allow time for remedial action to be taken. Suspended scores will be re-instated if the action is not completed.

Full list of Industry and Waste action criteria (used in section 1 and 2):

A: Permitted activities
- A1 Specified by permit

B: Infrastructure
- B1 Infrastructure – Engineering for prevention and control of emissions
- B2 Infrastructure – Closure and decommissioning
- B3 Infrastructure – Site drainage engineering (clean and foul)
- B4 Infrastructure – Containment of stored materials
- B5 Infrastructure – Plant and equipment

C: General management
- C1 General management – Staff competency/training
- C2 General management – Management system and operating procedures
- C3 General management – Materials acceptance
- C4 General management – Storage, handling, labelling and segregation

D: Incident management
- D1 Incident management – Site security
- D2 Incident management – Accidents, emergency and incident planning

E: Emissions
- E1 Emissions – Air
- E2 Emissions – Land and groundwater
- E3 Emissions – Surface water
- E4 Emissions – Sewer
- E5 Emissions – Waste

F: Amenity
- F1 Amenity – Odour
- F2 Amenity – Noise
- F3 Amenity – Dust/fibres/particulates and litter
- F4 Amenity – Pests/birds and scavengers
- F5 Amenity – Deposits on road

G: Monitoring and records, maintenance and reporting
- G1 Monitoring and records, maintenance and reporting – Monitoring of emissions and environment
- G2 Monitoring and records, maintenance and reporting – Records of activity, site diary/journal/events
- G3 Monitoring and records, maintenance and reporting – Maintenance records
- G4 Monitoring and records, maintenance and reporting – Reporting and notification to Natural Resources Wales

H: Resources efficiency
- H1 Resource efficiency – Efficient use of raw materials
- H2 Resource efficiency – Energy efficiency

Enforcement response
Any permit condition non-compliance is an offence and we may take legal action against you. Action we take can include prosecution, serving a notice on you and/or suspension or revocation of your permit. See our Enforcement and Sanctions Guidance for further information.

Data protection notice
You should make sure that anyone named in this report knows that the information it contains will be processed by Natural Resources Wales to fulfil its regulatory and monitoring functions and to maintain the relevant public register(s).

We may also use and/or disclose the report in connection with:

- offering or providing you with our literature or services relating to environmental matters
- consulting with the public, public bodies and other organisations (e.g. Health and Safety Executive, local authorities) on environmental issues
- carrying out statistical analysis, research and development on environmental issues
- providing public register information to enquirers
- investigating possible breaches of environmental law
- assessing customer service satisfaction and improving our service
- Freedom of Information Act or Environmental Information Regulations requests.

We may also pass it on to our agents or representatives to do these things on our behalf.

Disclosure of information – this report will be available to view on-line
If you think this report contains commercially confidential information that should not be placed on our public register, you must contact your local Natural Resources Wales office within **fifteen working days** of receiving this report, using the contact details in the accompanying email or letter. You must give a full explanation of why it should not be added to our public register, including specifying which information is commercially confidential. We will assess your request and respond to you within 20 working days to let you know if we agree to your request.

What do I do if I disagree with the report or have a complaint?
If you disagree with this compliance assessment report, you should contact the lead officer without delay to discuss your concerns.

If you are unable to resolve the issue with the lead officer or their line manager you should contact our Customer Contact team on 0300 065 3000 (Monday to Friday 08:00 – 18:00), or email enquiries@naturalresourceswales.gov.uk for details of how to raise your dispute further through our Complaints and Commendations procedure.

If you are dissatisfied with our response, you can contact the Public Services Ombudsman for Wales by phone on 0300 7900203 or by email at ask@ombudsman.wales

Welsh Language Standards
We are committed to establishing Natural Resources Wales as a naturally bilingual organisation. We will provide compliance reports in your preferred language.