# Compliance Assessment Report

**Report ID:**
**CAR_NRW0023714**

| This form will report compliance with your permit as determined by an NRW officer | | | | | |
|---|---|---|---|---|---|
| Site | Transfer Station / Recycling Centre | Permit Ref | VP3698FD | | |
| Operator/Permit holder | Carmarthenshire Recycling Company Limited | | | | |
| Regime | Waste Operations | | | | |
| Date of assessment | 28/06/2016 | Time in | N/A | Out | N/A |
| Assessment type | Report/Data Review | | | | |
| Parts of the permit assessed | Waste returns | | | | |
| Lead officer's name | Bacon-Weekes, Liane | | | | |
| Accompanied by | | | | | |
| Recipient's name/position | Bruce Creamer/ Site Manager | Date issued | 28/06/2016 | | |

## Section 1 – Compliance Assessment Summary

This is based on the requirements of the permit under the Environmental Permitting Regulations or the licence under the Water Resources Act 1991 as amended by the Water Act 2003. A detailed explanation is captured in "Compliance Assessment Report Detail" (Section 2) and any actions you may need to take are given in the "Action(s)" (section 4). This summary details where we believe any non-compliance with the permit has occurred, the relevant condition and how the non-compliance has been categorised using our Compliance Classification Scheme (CCS). CCS Scores can be consolidated or suspended where appropriate, to reflect the impact of some non-compliances more accurately. For more details of our CCS scheme, contact your local office.

| Permit conditions and compliance summary | CCS Category | Condition(s) breached |
|---|---|---|
| G4 - Monitoring and Records, Maintenance and Reporting - Reporting and notification to Natural Resources Wales | C4 | 7.2.2 |

**KEY**: See Section 5 for breach categories, suspended scores will be indicated as such.
**A** = Assessed or assessed in part (no evidence of non-compliance), **X** = Action only,
**O** = Ongoing non-compliance, not scored.

| Number of breaches recorded | 1 | Total compliance score (see section 5 for scoring scheme) | 0.1 |
|---|---|---|---|

**If the Number of breaches recorded is greater than zero, please see Section 3 for our proposed enforcement response**

## Section 2 – Compliance Assessment Report Detail

This section contains a report of our findings and will usually include information on:

- The part(s) of the permit that were assessed (eg. Maintenance, training, combustion plant, etc)
- Where the type of assessment was 'Data Review' details of the report/results triggering the assessment
- Any non-compliances identified
- Any non-compliances with directly applicable legislation
- Details of any multiple non-compliances
- Information on the compliance score accrued inc.
- Details of advice given
- Any other areas of concern
- Any actions requested
- Any examples of good practice
- A reference to photos taken

Operators with an environmental permit have to complete waste returns to tell Natural Resources Wales about the waste they have received or removed from their site.

The required timescales for submissions are:

| Quarterly Returns Period | Return submission deadline |
|---|---|
| Q1 01 Jan- 31 March | 30 April |
| Q2 01April – 30 June | 31 July |
| Q3 01 July – 30 Sept | 31 October |
| Q4 01 Oct – 31 Dec | 31 January |

If you have not dealt with any waste at all during the period that your returns form relates to, you should indicate NIL in the relevant box. You must sign and return your form even if it is a nil return.

**Monitoring and records, maintenance and reporting: g4**

**Score recorded on CCS: 4**

You have been scored for failing to submit your waste returns within the specified period for Q4 2015 and Q1 2016

We have produced a new waste returns spreadsheet that incorporates the requirements of the Environmental Permitting Regulations Amendment 2014 for Materials Facilities. Please ensure you only use this version of the spreadsheet to submit your returns as other versions will be rejected by our database. It is important that you complete all of the mandatory fields within the spreadsheet and use your EPR (Environmental Permitting Regulations) number rather than any historical reference numbers.

If you have not received a reminder and require the spreadsheet please contact us via waste.returns@cyfoethnaturiolcymru.gov.uk

You can complete your returns in one of two ways:

- complete the waste returns spreadsheet and email it to waste.returns@cyfoethnaturiolcymru.gov.uk
- request a paper version of the waste return form, complete and return it to:

Natural Resources Wales
Customer Care Centre
29 Newport Rd
Cardiff, CF24 0TP

If you have any additional queries, please do not hesitate to contact me.

| Cyfoeth Naturiol Cymru Natural Resources Wales | **EPR Compliance Assessment Report** | **Report ID: CAR_NRW0023714** |
|---|---|---|

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| | | | |
|---|---|---|---|
| Site | Transfer Station / Recycling Centre | Permit Ref | VP3698FD |
| Operator/Permit holder | Carmarthenshire Recycling Company Limited | Date | 28/06/2016 |

## Section 3 – Enforcement Response

You must take immediate action to rectify any non-compliance and prevent repetition.
Non-compliance with your permit conditions constitutes an offence and can result in criminal prosecutions and/or suspension or revocation of a permit. Please read the detailed assessment in Section 2 and the steps you need to take in Section 4 below.

Other than the provision of advice and guidance, at present we do not intend to take further enforcement action in respect of the non-compliance identified above. This does not preclude us from taking enforcement action if further relevant information comes to light or advice isn't followed.

## Section 4 – Action(s)

This section summarises the actions identified during the assessment along with the timescales for when they will need to be completed.

| **Criteria Ref.** | **CCS Category** | **Action required/advised** | **Due Date** |
|---|---|---|---|
| See Section 1 above | | | |
| G4 | C4 | Submit nil waste returns | 28/07/2016 |

## Section 5 – Compliance notes for the Operator

To ensure you correct actual or potential non-compliance we may

- Advise on corrective actions verbally or in writing
- Require you to take specific actions verbally or in writing
- Issue a notice
- Require you to review your procedures or management system
- Change some of the conditions of your permit
- Decide to undertake a full review of your permit

Any breach of a permit condition is an offence and we may take legal action against you

- We will normally provide advice and guidance to assist you to come back into compliance either after an offence is committed or where we consider that an offence is likely to be committed. This is without prejudice to any other enforcement response that we consider may be required.
- Enforcement action can include the issue of a formal caution, prosecution, the service of a notice and/or suspension or revocation of the permit.

**See our Enforcement and Civil Sanctions guidance for further information**

This report does not relieve the site operator of the responsibility to

- Ensure you comply with the conditions of the permit at all times and prevent pollution of the environment
- Ensure you comply with other legislative provisions which may apply

### Non-compliance scores and categories

| CCS category | Description | Score |
|---|---|---|
| C1 | A non-compliance that could have a major environmental effect | 60 |
| C2 | A non-compliance which could have a significant environmental effect | 31 |
| C3 | A non-compliance which could have a minor environmental effect | 4 |
| C4 | A non-compliance which has no potential environmental effect | 0.1 |

**Operational Risk Appraisal (Opra) -** Compliance assessment findings may affect your Opra score and/or your charges. This score influences the resource we use to assess permit compliance.

## Section 6 – General information

### Data protection notice

The information on this form will be processed by the Natural Resources Wales (NRW) to fulfil its regulatory and monitoring functions and to maintain the relevant public register(s). The NRW may also use and/or disclose it in connection with:

- Offering/providing you with its literature/services relating to environmental matters
- Consulting with the public, public bodies and other organisations (eg. 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 its service
- Freedom of Information Act/Environmental Regulations request

The NRW may pass it on to its agents/representatives to do these things on its behalf. You should ensure that any persons named on this form are informed of the contents of this data protection notice.

### Disclosure of information

The NRW will provide a copy of this report to the public register(s). However, if you consider that any information contained in this report should not be released to the public register(s) on the grounds of commercial confidentiality, you must write to your local area office within fifteen working days of receipt of this form indicating which information it concerns and why it should not be released, giving your reasons in full.

### Customer charter

**What can I do if I disagree with this compliance assessment report?**

If you are unable to resolve the issue with your site officer, you should firstly discuss the matter with officer's line managers using the informal appeals procedure. If you wish to raise your dispute further through our official Complaints and Commendations procedure, phone our general enquiry number 0300 065 3000 (Mon to Fri 08.00 – 18.00) and ask for the Customer Contact team or send an email to enquiries@naturalresourceswales.gov.uk. If you are still dissatisfied you can make a complaint to the Public Services Ombudsman for Wales. For advice on how to complain to the Ombudsman phone their helpline on 0845 607 0987.

**Welsh Language**
If you would like this form in Welsh please contact your Regulatory Officer.