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|------------------------------------------------------------------------------------------|------------------------------------------------|--------------------------|--------------|------------|-------------------|
|           | <b>EPR Compliance Assessment Report</b>        | Report ID: 30346/0231452 |              |            |                   |
| <b>This form will report compliance with your permit as determined by an NRW officer</b> |                                                |                          |              |            |                   |
| Site                                                                                     | Penallta Civic Amenity Site                    |                          | Permit Ref   | 30346      |                   |
| Operator/ Permit holder                                                                  | Caerphilly County Borough Council              |                          |              |            |                   |
| Date                                                                                     | 08/01/2015                                     |                          | Time in      | 11:35      | Out 11:55         |
| What parts of the permit were assessed                                                   | Environment management system                  |                          |              |            |                   |
| Assessment                                                                               | Audit                                          | EPR Activity:            | Installation | Waste Op   | X Water Discharge |
| Recipient's name/position                                                                | Peter Carpenter, Malcolm Smith and Scott Jones |                          |              |            |                   |
| Officer's name                                                                           | Laoni Tye, William Powell                      |                          | Date issued  | 11/02/2015 |                   |

### Section 1 - Compliance Assessment Summary

This is based on the requirements of the permit under the Environmental Permitting Regulations. A detailed explanation and any action you may need to take are given in the "Detailed Assessment of Compliance" (section 3). 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                    |                                                      |    | Condition(s) breached |
|-------------------------------------------------------------|------------------------------------------------------|----|-----------------------|
| <b>a) Permitted activities</b>                              | 1. Specified by permit                               | N  |                       |
| <b>b) Infrastructure</b>                                    | 1. Engineering for prevention & control of pollution | N  |                       |
|                                                             | 2. Closure & decommissioning                         | N  |                       |
|                                                             | 3. Site drainage engineering (clean & foul)          | N  |                       |
|                                                             | 4. Containment of stored materials                   | A  |                       |
|                                                             | 5. Plant and equipment                               | N  |                       |
| <b>c) General management</b>                                | 1. Staff competency/ training                        | C4 | 1.1.1                 |
|                                                             | 2. Management system & operating procedures          | A  |                       |
|                                                             | 3. Materials acceptance                              | A  |                       |
|                                                             | 4. Storage handling, labelling, segregation          | A  |                       |
| <b>d) Incident management</b>                               | 1. Site security                                     | A  |                       |
|                                                             | 2. Accident, emergency & incident planning           | N  |                       |
| <b>e) Emissions</b>                                         | 1. Air                                               | N  |                       |
|                                                             | 2. Land & Groundwater                                | N  |                       |
|                                                             | 3. Surface water                                     | N  |                       |
|                                                             | 4. Sewer                                             | N  |                       |
|                                                             | 5. Waste                                             | N  |                       |
| <b>f) Amenity</b>                                           | 1. Odour                                             | N  |                       |
|                                                             | 2. Noise                                             | N  |                       |
|                                                             | 3. Dust/fibres/particulates                          | N  |                       |
|                                                             | 4. Pests, birds & scavengers                         | N  |                       |
|                                                             | 5. Deposits on road                                  | N  |                       |
| <b>g) Monitoring and records, maintenance and reporting</b> | 1. Monitoring of emissions & environment             | N  |                       |
|                                                             | 2. Records of activity, site diary, journal & events | N  |                       |
|                                                             | 3. Maintenance records                               | N  |                       |
|                                                             | 4. Reporting & notification                          | N  |                       |
| <b>h) Resource efficiency</b>                               | 1. Efficient use of raw materials                    | N  |                       |
|                                                             | 2. Energy                                            | N  |                       |

**KEY:** C1, C2, C3, C4 = CCS breach category ( \* suspended scores are marked with an asterisk),  
A = Assessed (no evidence of non-compliance), N = Not assessed, NA = Not Applicable, O = Ongoing non-compliance – not scored

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

If the Total No Breaches is greater than zero, then please see Section 3 for details of 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 (e.g. 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 suspended or consolidated scores.
- details of advice given
- any other areas of concern
- all actions requested
- any examples of good practice.
- a reference to photos taken

This report should be clear, comprehensive, unambiguous and normally completed within 14 days of an assessment.

Laoni Tye and William Powell met with Scott Jones on the 8th January 2015 to conduct a general site inspection and Environment Management System audit. Thank you to Scott and the other site staff for your time during this visit. All areas of the site were inspected. During the audit waste was being accepted, sorted and stored on site. The visit was after a prolonged busy time for CA sites after the Christmas period.

Various areas of the Environment Management System (EMS) were covered during the audit and we asked questions in relation to:

Materials acceptance procedures  
Storage procedures  
Accidents and incidents procedures  
Staff training  
Site security  
Drainage

We were satisfied that the site is accepting the correct wastes, we did not see any unauthorised waste accepted on site. Staff appear to be following the correct waste acceptance procedures for example, when accepting asbestos, in line with the EMS. Staff are trained to be vigilant and to assist customers when waste is being accepted.

Wastes were stored correctly whilst on site for example, oils stored in a double bunded container and gas bottles kept in a locked cabinet. Electrical items were stored inside with televisions separated from smaller electrical items. Storage containers were checked approximately twice a week by site managers to ensure there were no leaks or containment issues.

There was a paint spill in action whilst we were on site that staff were not aware of. Spill kits were located and used in line with the EMS procedure. **Please ensure spills are cleaned up immediately so as not to allow any paint or other oils to access the surface water drains.** Any incidents are said to be recorded daily then sent through to the site managers for processing and recording.

You advised us that monthly briefings were held with all staff members to ensure they are kept aware of any site procedures, whether new or existing. The area manager was due to conduct a training session for all site staff focusing on vigilance whilst on site.

Note: It is important that all site staff are aware of the EMS and permit and where it is located. We recommend keeping a copy at each site that can be easily accessed should it need to be referred to. **Please ensure all staff are made aware of this.**

There were no issues with the site fencing whilst on site but we were advised that break ins do occur. There is 24/7 CCTV monitoring and any break ins are reported to the police and recorded. You advised us that the CCTV systems were being improved this year to help reduce further break ins which will be a good improvement.

**C1 Management- Staff competency and training. Category 4 breach. Condition 1.1.1 The operator shall manage and operate the activities**

- a) In accordance with a written management system that identifies and minimises risks of pollution, including those arising from operations, maintenance, accidents, incidents, non-conformances, closure and those drawn to the attention of the operator as a result of complaints; and
- b) Using sufficient competent persons and resources.

As discussed with Scott Jones on site there are concerns over the site drainage especially in relation to staff awareness. It is important for all site staff, including site managers to know where the areas of the site drain to and where this eventually ends up. There was uncertainty about this on site. **Please ensure all staff are trained and made aware of drainage plans as soon as possible. In the meantime please let us know what drainage you have on site and where it discharges to by the 9th**

**February 2015.**

As discussed on site could we please request a copy of the latest COTC checklist that is used by the TCM when conducting twice weekly inspections on site. The latest completed form for this site will be sufficient. **Please can you return this to us before the 9th February 2015.**

|                                                                                          |                                         |                          |            |
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| Site                                                                                     | Penallta Civic Amenity Site             | Permit                   | 30346      |
| Operator/ Permit                                                                         | Caerphilly County Borough Council       | Date                     | 08/01/2015 |

|                                                                                                                                                                                                                                                                                                                                                 |  |                                                     |   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------|---|
| <b>Section 3- Enforcement Response</b>                                                                                                                                                                                                                                                                                                          |  | <b>Only one of the boxes below should be ticked</b> |   |
| 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.                                            |  |                                                     | X |
| In respect of the above non-compliance you have been issued with a warning. At present we do not intend to take further enforcement action. This does not preclude us from taking additional enforcement action if further relevant information comes to light or offences continue.                                                            |  |                                                     |   |
| We will now consider what enforcement action is appropriate and notify you, referencing this form.                                                                                                                                                                                                                                              |  |                                                     |   |

| <b>Section 4- Action(s)</b>                                                                                                                                                                                              |              |                                                                                                                                                                                                                  |          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| Where non-compliance has been detected and an enforcement response has been selected above, this section summarises the steps you need to take to return to compliance and also provides timescales for this to be done. |              |                                                                                                                                                                                                                  |          |
| Criteria Ref.                                                                                                                                                                                                            | CCS Category | Action Required/Advised                                                                                                                                                                                          | Due Date |
| See Section 1 above                                                                                                                                                                                                      |              |                                                                                                                                                                                                                  |          |
| C1                                                                                                                                                                                                                       | C4           | Please ensure all staff are trained and made aware of drainage plans as soon as possible. In the meantime please let us know what drainage you have on site and where it discharges to by the 9th February 2015. | N/A      |

## 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 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 which could have a <b>major</b> environmental effect       | 60    |
| C2           | A non-compliance which could have a <b>significant</b> environmental effect | 31    |
| C3           | A non-compliance which could have a <b>minor</b> environmental effect       | 4     |
| C4           | A non-compliance which has <b>no</b> 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 fulfill 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 (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 and taking any resulting action
- preventing breaches of environmental law
- assessing customer service satisfaction and improving its service
- Freedom of Information Act/Environmental Information 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 twenty 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 the officer's line managers. 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](mailto: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.