

# Fact sheet


## New Compliance Assessment report (CAR 2) form NCAD Version 1

The CAR form is used by Environment Agency officers when assessing compliance with a permit and to record the findings of our compliance assessment activities. This guide will explain the CAR 2 to you.

The form is used to record: Site inspections; Audits; Monitoring activities and reviews of monitoring or other data reports we receive

### The Form Header

The form header provides details of the name of the site, the operator's name and permit number. It provides details of who carried out the assessment and when.

 Environment Agency	<b>EPR Compliance Assessment Report</b>	Report ID:	
<b>This form will report compliance with your permit as determined by an Environment Agency officer</b>			
Site	Permit Ref		
Operator/ Permit holder			
Date	Time in		Out
What parts of the permit were assessed			
Assessment	EPR Activity:	Installation	Waste Op      Water Discharge
Recipient's name/position			
Officer's name	Date issued		

The form header will also tell you if the assessment was routine, incident response or other and what parts of the permit were assessed. The CAR forms are produced electronically and so the typed officers name in the box acts as a signature for the form.

### Section 1 - Compliance assessment summary

Permit Conditions and Compliance Summary	Condition(s) breached
a) Permitted activities	1. Specified by permit
b) Infrastructure	1. Engineering for prevention & control of pollution
	2. Closure & decommissioning
	3. Site drainage engineering (clean & foul)
	4. Containment of stored materials
	5. Plant and equipment
c) General management	1. Staff competency/training
	2. Management system & operating procedures
	3. Materials acceptance
	4. Storage handling, labelling, segregation
d) Incident management	1. Site security
	2. Accident, emergency & incident planning
e) Emissions	1. Air
	2. Land & Groundwater
	3. Surface water
	4. Sewer
	5. Waste
f) Amenity	1. Odour
	2. Noise
	3. Dust/fibres/particulates
	4. Pests, birds & scavengers
	5. Deposits on road
g) Monitoring and records, maintenance and reporting	1. Monitoring of emissions & environment
	2. Records of activity, site diary, journal & events
	3. Maintenance records
	4. Reporting & notification
h) Resource efficiency	1. Efficient use of raw materials

This section provides a summary of the results of the assessment based on the 28 sub-criteria - a1 to h2. It sets out which requirements of your permit were included in the assessment. Where a breach of your permit has occurred this part will highlight the conditions in question and how the potential environmental impact has been categorised.

Any breaches are categorised using our Compliance Classification Scheme scoring system. If you disagree with any of the scores given or require more information then please contact your inspecting officer or their team leader.

The number of breaches recorded and the subsequent compliance score for this specific assessment are totalled at the bottom of the page.



## Section 2 - Comments

Section 2 – Compliance Assessment Report Detail	
This section contains a report of our findings and will usually include information on:	
<ul style="list-style-type: none"> <li>&gt; the part(s) of the permit that were assessed (e.g. maintenance, training, combustion plant, etc)</li> <li>&gt; where the type of assessment was 'Data Review' details of the report/results triggering the assessment</li> <li>&gt; any non-compliances identified</li> <li>&gt; any non-compliances with directly applicable legislation</li> <li>&gt; details of any multiple non-compliances</li> </ul>	<ul style="list-style-type: none"> <li>&gt; information on the compliance status</li> <li>&gt; details of suspended or consolidated advice given</li> <li>&gt; any other areas of concern</li> <li>&gt; all actions requested</li> <li>&gt; any examples of good practice.</li> <li>&gt; a reference to photos taken</li> </ul>
This report should be clear, comprehensive, unambiguous and completed within 14 days of an assessment.	

The box contains an account of our compliance assessment. It will give details of any permit breaches and may include other observations about the activity being assessed. It should be clear from this section what our officer inspected and what is expected from you.

Our CAR forms can usually be disclosed under the Freedom of information act unless there are good security, commercial or legal reasons not to. You have 28 days to inform us of any mistakes or that there are good reasons not to place the information on our public register.

## Section 3 - Enforcement action

Section 3: Enforcement Response		Only one of the boxes below should be ticked	
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.			
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.			

Any breach of a permit condition is an offence. If a breach has been identified we will tell you if we intend to consider further enforcement action or whether we will deal with the matter as a warning or with advice. The CAR form can be used to issue a warning which means you may not receive a separate warning letter.

## Section 4 - Actions

Section 4: Action(s)			
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			

This section details the key actions required to rectify any permit breaches and the timescales for completion.

## Section 5 and 6 - Compliance notes and general information

Section 5 - Compliance notes for the Operator	Section 6 – General Information
<p>To ensure you correct actual or potential non-compliance we may</p> <ul style="list-style-type: none"> <li>● advise on corrective actions verbally or in writing</li> <li>● require you to take specific actions in writing</li> <li>● issue a notice</li> <li>● require you to review your procedures or management system</li> <li>● change some of the conditions of your permit</li> <li>● decide to undertake a full review of your permit</li> </ul> <p>Any breach of a permit condition is an offence and we may take legal action against you.</p> <ul style="list-style-type: none"> <li>● 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.</li> <li>● Enforcement action can include the issue of a formal caution, prosecution, the service of a notice and or suspension or revocation of the permit.</li> </ul> <p>See our Enforcement and Civil Sanctions guidance for further information</p>	<p><b>Data protection notice</b></p> <p>The information on this form will be processed by the Environment Agency to fulfill its regulatory and monitoring functions and to maintain the relevant public register(s). The Environment Agency may also use and/or disclose it in connection with:</p> <ul style="list-style-type: none"> <li>● offering/providing you with its literature/services relating to environmental matters</li> <li>● consulting with the public, public bodies and other organisations (e.g. Health and Safety Executive, local authorities) on environmental issues</li> <li>● carrying out statistical analysis, research and development on environmental issues</li> <li>● providing public register information to enquirers</li> <li>● investigating possible breaches of environmental law and taking any resulting action</li> <li>● preventing breaches of environmental law</li> <li>● assessing customer service satisfaction and improving its service</li> <li>● Freedom of Information Act/Environmental</li> </ul>

These sections provide further information for you, where more detailed information can be found and contact numbers.

If you have any queries regarding this factsheet or your CAR form then please contact your inspecting officer or our customer service number 03708 506 506.

customer service line  
03708 506 506

incident hotline  
0800 80 70 60

floodline  
0845 988 1188

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