

## SCHEDULE 5

### Environmental permits

## PART 1

### Grant, variation, transfer and surrender of environmental permits

#### Interpretation

**1.** In this Part—

“application” means an application—

- (a) for the grant of an environmental permit under regulation 13(1),
- (b) by an operator under regulation 20(1), for the variation of an environmental permit,
- (c) for the transfer, in whole or in part, of an environmental permit under regulation 21(1), or
- (d) for the surrender, in whole or in part, of an environmental permit under regulation 25(2);

“applicant” means—

- (a) in the case of an application to transfer an environmental permit in whole or in part, the operator and the proposed transferee,
- (b) in every other case, the operator;

“confidential information” has the meaning given in regulation 45;

“proposed transferee” means the person to whom an operator proposes to transfer an environmental permit in whole or in part;

“public consultee” means a person who in the regulator’s opinion is affected by, is likely to be affected by, or has an interest in, an application;

“regulator initiated variation” means the variation of an environmental permit on the initiative of the regulator under regulation 20(1).

#### Making an application

**2.—(1)** An application must—

- (a) be made by the applicant on the form provided by the regulator; and
- (b) include the information specified on the form.

(2) Every application must be accompanied by any fee prescribed in a charging scheme made by the regulator under section 41 of the 1995 Act<sup>(1)</sup> or by the appropriate authority under regulation 65.

#### Withdrawing an application

**3.—(1)** A duly-made application may be withdrawn by the applicant before it is determined.

(2) If an application is withdrawn the applicant is not entitled to the return of any fee which accompanied it.

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(1) Section 41 was amended by S.I.2005/894, 2005/1806 (W. 138), 2006/937 and 2007/1711.

**Further information in respect of a duly-made application**

4.—(1) If the regulator considers that it requires further information to determine a duly-made application, it may serve a notice on the applicant specifying the further information and the period within which it must be provided.

(2) If the applicant fails to provide the further information in accordance with the notice, the regulator may serve a further notice on the applicant stating that the application is deemed to be withdrawn, upon which the application is deemed to be withdrawn.

(3) If an application is deemed to be withdrawn, the applicant is not entitled to the return of any fee which accompanied it.

**Public participation: scope**

5.—(1) Paragraph 6 applies to every application for the grant of an environmental permit except an application in relation to—

- (a) mobile plant; or
- (b) a standard facility, unless the facility is a Part A installation.

(2) Paragraph 6 applies to every application to vary an environmental permit if—

- (a) it would entail a substantial change; or
- (b) the regulator determines that the paragraph should apply.

(3) Paragraph 8 applies to every regulator initiated variation if—

- (a) it would entail a substantial change; or
- (b) the regulator determines that the paragraph should apply.

(4) But, paragraphs 6 and 8 do not apply to the extent that the application or regulator initiated variation relates to—

- (a) the burning of waste oil in an appliance with a rated thermal input of less than 0.4 megawatts;
- (b) dry cleaning;
- (c) the unloading of petrol into stationary storage tanks at a service station if it is an activity within paragraph (d) of Part B of Section 1.2 of Part 2 of Schedule 1; or
- (d) any motor vehicle refuelling activity within paragraph (e) or (f) of Part B of Section 1.2 of Part 2 of Schedule 1.

(5) In this paragraph—

“change in operation” means a change in the nature or functioning, or an extension, of an installation, which may have consequences for the environment;

“co-incineration plant” has the meaning given in Section 5.1 of Part 2 of Schedule 1;

“dry cleaning” has the meaning given in Part B of Section 7 of Part 2 of Schedule 1;

“incineration plant” has the meaning given in Section 5.1 of Part 2 of Schedule 1;

“substantial change” means a change in operation of an installation which in the regulator’s opinion may have significant negative effects on human beings or the environment and includes—

- (a) in relation to a Part A installation, a change in operation which in itself meets the thresholds, if any, set out in Part 2 of Schedule 1, and
- (b) in relation to an incineration plant or co-incineration plant for non-hazardous waste, a change in operation which would involve the incineration or co-incineration of hazardous waste.

(6) When assessing whether a change in operation of a Part B installation has significant effects on the environment, the regulator must consider only its emissions to air.

### **Public participation in relation to certain applications**

6.—(1) Subject to sub-paragraphs (2) and (3), if this paragraph applies the regulator must, within the consultation communication period,—

- (a) take the steps it considers appropriate to inform the public consultees of the application and the place and times its public register can be inspected free of charge;
- (b) invite the public consultees to make representations on the application; and
- (c) specify to the public consultees the address to which and the period within which representations must be made.

(2) The regulator must not inform the public consultees of information which is to be excluded from a public register in the interests of national security unless the appropriate authority directs that it must do so.

(3) The regulator must not inform the public consultees of information which is to be excluded from a public register because it is confidential information, unless the public consultee is—

- (a) a public authority and the information is necessary for the exercise of its functions; or
- (b) a sewerage undertaker and the information relates to the release of any substance into a sewer vested that undertaker.

### **Calculation of the consultation communication period**

7.—(1) In paragraph 6 “the consultation communication period” means a period of 30 working days starting on the day the regulator receives a duly-made application.

(2) But if—

- (a) a determination in relation to national security or confidentiality is to be made under regulation 47 or 50; or
- (b) the regulator gives notice under regulation 49(1) that it considers information in an application may be confidential information,

“the consultation communication period” means a period of 30 working days starting on the determination date, or on the day the applicant gives notice of consent under regulation 49(2), as the case may be.

(3) In sub-paragraph (2), “determination date” means—

- (a) the date of a determination under regulation 47(3) or 47(7);
- (b) if the regulator determines under regulation 51 that the information must be excluded from the public register, the date of the determination; or
- (c) if the regulator determines otherwise under that regulation—
  - (i) if an appeal is brought, the date of determination or withdrawal of that appeal, or
  - (ii) if no appeal is brought, the date on which the period for bringing an appeal expires.

### **Public participation in relation to regulator initiated variations**

8.—(1) If this paragraph applies, the regulator must notify the operator—

- (a) that the public participation procedures in sub-paragraph (2) apply;
- (b) of the variation it proposes to the environmental permit; and

- (c) of any fee prescribed in respect of this paragraph in a charging scheme made by the regulator under section 41 of the 1995 Act or by the appropriate authority under regulation 65.
- (2) The regulator must—
  - (a) take the steps it considers appropriate to inform the public consultees of the proposed variation;
  - (b) invite the operator and the public consultees to make representations on the proposed variation; and
  - (c) specify to the operator and the public consultees the address to which and the period within which representations must be made.

**Consultation: conditions mentioned in regulation 15(1)**

9.—(1) This paragraph applies if the regulator proposes to include a condition mentioned in regulation 15(1) in an environmental permit.

(2) If this paragraph applies, the regulator must serve a notice which complies with sub-paragraph (3) on every person appearing to it to fall within sub-paragraph (4).

- (3) The notice must specify—
  - (a) the proposed condition;
  - (b) the works or other things which the condition would require; and
  - (c) the address to which and the period within which representations must be made (which period must not expire less than 20 working days after the day the notice is served).
- (4) A person falls within this sub-paragraph if—
  - (a) he is the owner, lessee or occupier of land; and
  - (b) regulation 15(2) would require him to grant the rights mentioned there if the proposed condition were included in the environmental permit.
- (5) In sub-paragraph (4)(a), “owner” means the person who—
  - (a) is receiving the rack-rent of the land, whether on his own account or as agent or trustee for another person; or
  - (b) would receive the rack-rent if the land were let at a rack-rent,
 but does not include a mortgagee not in possession.

**Consultation with other member States**

- 10.—(1) This paragraph applies if—
  - (a) an appropriate authority is aware that a relevant application or regulator initiated variation is likely to have significant negative effects on the environment of another member State; or
  - (b) another member State requests information about a relevant application or regulator initiated variation.
- (2) As soon as is reasonably practicable the appropriate authority must—
  - (a) send the particulars of the application or variation to that member State to serve as the basis for bilateral consultations of the type referred to in Article 17 of the IPPC Directive;
  - (b) inform that member State of the relevant matters; and
  - (c) notify the applicant or the operator, as the case may be, and the regulator that it has complied with paragraphs (b) and (c).

(3) If a regulator receives notification under sub-paragraph (2)(c), it must not determine the application or make a regulator initiated variation until the appropriate authority has—

- (a) notified it that the bilateral consultations have been completed; and
- (b) sent it any representations made by the member State.

(4) In this paragraph—

“member State” includes Iceland, Liechtenstein and Norway;

“relevant application” means an application in relation to an installation carrying on an activity listed in Annex I of the IPPC Directive—

- (a) for the grant of an environmental permit, or
- (b) to vary an environmental permit;

“relevant matter” means a matter in paragraph 1 of Annex V of the IPPC Directive ignoring any matter in paragraph 1(f) of that Annex.

### **Duty to consider representations**

**11.** Before it determines an application or makes a regulator initiated variation, the regulator must consider any representation—

- (a) made pursuant to paragraph 6(1)(b), 8(2)(b) or 9(3)(c); or
- (b) sent to it under paragraph 10(3)(b).

### **Duty to determine an application**

**12.—**(1) The regulator must grant or refuse a duly-made application.

(2) Except in the case of an application to surrender an environmental permit in whole, the regulator may grant an application subject to such conditions as it sees fit.

(3) But—

- (a) variations of an environmental permit in relation to the grant of an application for variation, transfer in whole or in part, or partial surrender must be in consequence of the variation, transfer or partial surrender, as the case may be; and
- (b) if granting an application for partial transfer, the regulator must grant a new environmental permit to the transferee subject to the same conditions as the original permit, varied in consequence of the partial transfer.

### **Identity and competence of the operator**

**13.—**(1) The regulator must refuse an application for the grant of an environmental permit or the transfer in whole or in part of an environmental permit if it considers that the requirements in sub-paragraph (2) will not be satisfied.

(2) The requirements are that the applicant, in the case of the grant of a permit, or the proposed transferee, in the case of the transfer of a permit in whole or in part, must—

- (a) be the operator of the regulated facility; and
- (b) operate the facility in accordance with the environmental permit.

### **Surrender applications**

**14.** The regulator must accept an application to surrender an environmental permit in whole or in part under regulation 25(2) if it is satisfied that the necessary measures have been taken—

*Status: This is the original version (as it was originally made).*

- (a) to avoid a pollution risk resulting from the operation of the regulated facility; and
- (b) to return the site of the regulated facility to a satisfactory state, having regard to the state of the site before the facility was put into operation.

#### **Time limits for determination**

##### **15.—(1) If—**

- (a) the regulator has not determined an application within the relevant period; and
- (b) the applicant serves a notice on the regulator which refers to this paragraph,

the application is deemed to have been refused on the day on which the notice is served.

(2) In sub-paragraph (1) “the relevant period” means a period, calculated in accordance with paragraph 16, of—

- (a) in the case of an application to transfer an environmental permit in whole or in part, 2 months;
- (b) in a case where paragraph 6 applies, 4 months; or
- (c) in any other case, 3 months,

or in any case, a longer period than the period in paragraph (a), (b) or (c), if it is agreed by the regulator and the applicant.

#### **Calculation of the relevant period**

##### **16.—(1) This paragraph provides for the calculation of a period referred to in paragraph 15(2).**

##### **(2) The period starts—**

- (a) on the day the regulator receives a duly-made application; or
- (b) if paragraph 10 applies, on the day the appropriate authority complies with paragraph 10(3).

##### **(3) In calculating the period the following periods must be ignored—**

- (a) a period from the service of a notice requiring further information under paragraph 4(1) to the receipt by the regulator of that information;
- (b) a period for representations mentioned in paragraph 9(3)(c) to the extent that it does not overlap with a period for representations mentioned in paragraph 6(1)(c);
- (c) a period during which national security or confidentiality is being considered in relation to the application, that is to say—
  - (i) any period during which a determination under regulation 47(3), 47(7) or 50 is being considered (including any appeal), or
  - (ii) a period of 15 working days after the service of a notice under regulation 49(1); and
- (d) if the regulator informs the public in relation to a draft decision in accordance with paragraph 1(d) of Annex V to the IPPC Directive, a period of 20 working days.

#### **Notification of a determination or decision**

**17.—(1)** As soon as is reasonably practicable after it determines an application or decides to make a regulator initiated variation, the regulator must comply with sub-paragraph (2).

##### **(2) The regulator must—**

- (a) notify the applicant or operator, as the case may be, of—
  - (i) its determination or decision,

- (ii) the rights of appeal the applicant or operator has under regulation 31, and
- (iii) the requirements relating to the exercise of those rights in paragraphs 2 and 3 of Schedule 6; and
- (b) if paragraph 10 applies, notify the appropriate authority of the determination or decision.
- (3) In this paragraph, “determination” and “decision” include the reasons for the determination or decision.

#### **Date of effect of certain determinations and decisions**

**18.—**(1) This paragraph applies to—

- (a) a determination by which the regulator grants an application which—
  - (i) varies an environmental permit in consequence of an application for variation, transfer in whole or in part, or partial surrender, or
  - (ii) grants a new environmental permit in consequence of an application for partial transfer; and
- (b) a decision to make a regulator initiated variation.
- (2) The determination or decision must specify any variation and the date it is to take effect.
- (3) If the regulator grants an application for the transfer of an environmental permit in whole or in part, the determination must specify the date agreed between the regulator and the applicant that the transfer is to take effect.

#### **Form of certain determinations and decisions: consolidation of permits**

**19.—**(1) This paragraph applies to every determination and decision to which paragraph 18 applies.

(2) A determination or decision may comprise—

- (a) a consolidated permit reflecting the variations; and
- (b) a notice specifying the variations included in that consolidated permit.
- (3) Only the variations specified are subject to the right of appeal in regulation 31(1)(b).