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Water Use

# **Regulatory Method (WAT-RM-40)**

## **Assessment of Numeric Discharge Quality Conditions (for CAR, UWWTD and PPC Compliance)**

Version: v5.1

Released: Oct 2017

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## Update Summary

Version	Description
v1.0	First issue for Water Use reference using approved content from the following documents: <i>WAT-RM-40_Compliance_Assessment_Scheme-GD draft</i>
v2.0	New base template applied, links to docs revised for new SEPA website, Nov 2008
v3.0	Title revised, doc rewritten to emphasise that regulatory method designed to assess compliance with numeric conditions.
v4.0	Sections 3 & 4, Annex 1 added. (S3 content from WAT-SG-82, now merged into this document).
v5.0	Inclusion of rules for types of sample results to be used in compliance assessment of an effluent discharge.
v5.1	CR/17/6987 issues resolved (duplicate text in s4.5, fig 7 missing)

## Notes

**References:** Linked references to other documents have been disabled in this web version of the document. See the References section for details of all referenced documents.

**Printing the Document:** This document is uncontrolled if printed and is only intended to be viewed online.

If you do need to print the document, the best results are achieved using Booklet printing or else double-sided, Duplex (2-on-1) A4 printing (both four pages per A4 sheet).

**Always refer to the online document for accurate and up-to-date information.**

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# 1. Key Points

This guidance provides the principles for determining compliance with conditions to protect the water environment in a *Water Environment (Controlled Activities) (Scotland) Regulations 2011* (CAR) licence or Pollution Prevention and Control (PPC) permit.

The assessment of numeric conditions, for the purposes of SEPA's *Compliance Assessment Scheme* (CAS) is covered in the CAS Manual and the relevant annexes under Environmental Limit Conditions (ELCs).

The introduction and roll-out of operator self-monitoring has resulted in this Regulatory Method needing to be applicable to operator sampling programme whilst also being applicable to those where SEPA undertakes the sampling programme.

Section 2 details the assessment of point source discharge compliance.

Section 3 provides the principles of how SEPA will enforce the requirements of the *Water Environment (Controlled Activities) (Scotland) Regulations* (CAR) in relation to point source discharges which are routinely sampled.

This enforcement guidance supplements, and should be read in conjunction with:

- *SEPA's Enforcement Policy and Enforcement Guidance*

and complements:

- *WAT-RM-10: Use of Enforcement Notices*

Section 4 provides guidance as to how SEPA will determine if a sample result can be excluded from the compliance record.

## 2. Assessment of Point Source Numeric Discharge Compliance – SEPA monitoring

### 2.1 Introduction

This section specifies how SEPA will assess discharge compliance for:

- Numerical conditions to protect the water environment in a *Water Environment (Controlled Activities) (Scotland) Regulations 2011* (CAR) licence or Pollution Prevention and Control (PPC) permit.
- Numerical conditions to implement the Urban Waste Water Treatment Directive (91/271/EEC (UWWTD) in a CAR licence.

Conditions for aquatic discharges may be specified in a numerical single or two tier format. It is SEPA policy to move to the two -tier format for all significant, audit-monitored discharges. Single-tier conditions will be retained on a number of discharges with intermittent flow and quality performance patterns, such as quarry discharges.

SEPA considers that lower-tier standards provide the design standards for the treatment system. The upper-tier standard by comparison, allows for immediate enforcement action over extreme events which have the potential to cause immediate and serious environmental harm.

SEPA has three sample types with regard to CAR licensed discharges. These are:

- **Operator planned sampling** – a series of pre-planned samples taken at regular but randomised intervals by the Operator as required by licence conditions.
- **SEPA Planned sampling** - a series of pre-planned samples taken at regular but randomised intervals as determined by an annual plan. Where the operator undertakes “operator planned sampling” the SEPA planned samples are likely to focus on discharges that represent a high risk of failure of discharge conditions and/or are of such environmental sensitivity that it is important for SEPA to maintain its own sampling and analysis program in addition to any sampling by the Operator.
- **SEPA response sampling (enforcement/ incident/ complaint)** – a single sample or series of unplanned samples taken in response to specific events e.g. identified process upset or exceedances identified by routine sampling. May be corroborated or not.

## 2.2 CAR/UWWT/PPC Numeric Conditions for CAS reporting

### 2.2.1 Qualifying Samples (Refer to Annex 1 for Summary)

**Qualifying** samples for compliance assessment with CAR/UWWT/PPC numerical licence conditions are:

- **Operator's planned samples** taken during the period,
- **SEPA's planned samples** taken during the period, and
- **SEPA's response samples** taken for **enforcement and incident/complaint samples** which **fail the upper tier limit of a two-tier licence** or which constitutes a serious breach of a single tier licence (as defined in SEPAs Enforcement Policy and Enforcement Guidance).

When the discharger claims, and SEPA agrees, that the Unusual Situations referred to in CAR licences and UWWTR Schedule 3, Part II, or a statutory defence under CAR Regulation 48 applies, then the sample shall not be taken into account in the assessment.

### 2.2.2 Single Tier Conditions

Single-tier conditions will be retained on a number of discharges with intermittent flow and quality performance patterns, such as quarry discharges. It should be noted that some licences will have upper tier conditions where no exceedances are allowed (e.g. 100 mg/l suspended solids for secondary / tertiary treated sewage effluent) – such conditions are not assessed as single tier conditions. Compliance with upper tier only conditions is assessed as detailed under section 2.2.4.

For discharges with numeric licence conditions in single tier format each sample of the discharge is viewed independently of any other and compliance with the licence is assessed on a sample by sample basis. Therefore a sample will either comply with or fail to comply with the numeric licence conditions.

Consequently, in reviewing the performance of that discharge **compliance with numerical conditions is assessed as satisfactory if:**

- 75% or more of (the **Operator** and **SEPA**) **planned samples** taken in the period comply with the numeric conditions of the licence/authorisation, and
- No result for a licensed parameter exceeds the numeric condition by more than 100% on any **Operator planned sample, SEPA planned sample, or SEPA response samples (enforcement/ incident/ complaint).**

### 2.2.3 Two Tier Conditions

Two-tier numeric licence conditions take account of the statistical distribution of effluent quality performance. For each parameter they may incorporate two conditions, a 95-percentile standard and an upper-tier limit (normally the 99.5-percentile or effective maximum).

Consequently, **compliance with numerical conditions is satisfactory if:**

- Each parameter with a 95%ile (lower tier) numeric condition complies with the permitted exceedances look-up table, assessed from the **Operator planned sample and SEPA planned samples** taken in the period, and
- No result for a licensed parameter exceeds the upper tier numeric condition on any **Operator planned sample or SEPA planned sample or SEPA response samples (enforcement/ incident/ complaint)**.

### 2.2.4 Upper Tier Only Conditions

Some licences may have an instantaneous upper tier condition (or effective maximum) with no corresponding lower tier condition (e.g. 100 mg/l suspended solids for secondary / tertiary treated sewage effluent). Typically, such conditions are used to prevent gross failures associated with operational issues such as equipment failure or problems with maintenance.

Compliance with an upper tier numerical condition (with no corresponding lower tier condition) is satisfactory if:

- No result for a licensed parameter exceeds the upper tier numeric condition on any **Operator planned sample, SEPA planned sample or SEPA response samples (enforcement/ incident/ complaint)**.

(Please note that as there is no corresponding lower tier limit then any failure of this instantaneous upper tier limit cannot be regarded as a lower tier exceedance also. However, until such time as the NEMS compliance reporting procedures can be modified these will show on the discharge compliance reports as both upper tier and lower tier exceedances).

### 2.2.5 Minimum Sample Frequency

SEPA's *DREAM* (Dynamic Regulatory Effort Assessment Model) guidance sets a minimum sample frequency of 4 samples per annum for discharges > 200 p.e. and it is anticipated that this is the minimum number of samples that would be used for assessment. For two-tier licences the look-up table takes account of fewer than 4 samples and statistically sets the same exceedance allowance as for 4 samples (i.e. one failure). For single tier licences, SEPA applies the same statistical logic and allows one sample failure out of one, two, or three samples (even though this suggests a compliance rate of <75%).

## 2.2.6 New or Varied Licence

When a new licence becomes active the licence assessment in the first 12 months is from the date of issue and is triggered by the analysis of the first sample. Thus that first sample is the only sample for the “preceding” 12 months and the Look-up Table permits a 1 in 1 exceedance.

CAR licences can be reviewed and varied at any time and there is no requirement to reset the assessment start date following a variation. Hence the previous assessment history continues to roll forward after the varied licence has been issued. Similarly assessment of UWWTD compliance is effective from the Qualifying date as set out in the *Urban Waste Water Treatment Regulations Guidance Note* and is not affected by any subsequent licence variation.

## 2.3 UWWT Directive (91/271/EEC) Numeric Conditions for Reporting to EC

### 2.3.1 Qualifying Samples (Refer to Annex 1 for Summary)

- Compliance will be assessed from **Operator’s planned samples** specifically identified for assessing compliance with 91/271/EEC. The minimum number of samples in the year is specified in the *Urban Waste Water Treatment (Scotland) Regulations 1994* Schedule 3, Part II. If the number of samples available is less than the minimum specified then this will be reported as non-compliant.
- When the discharger claims, and SEPA agrees, that the Unusual Situations referred to in *Schedule 3, Part II* or a statutory defence applies, then the sample shall not be taken into account in the assessment.
- Although the sample result is excluded from assessment it will still count for purposes of achieving the required number of samples and re-sampling is not required.

### 2.3.2 Article 4, Secondary Treatment Conditions (Figures 1 & 2)

- **Operator’s planned sample** results will be determined to comply with the Regulations if they meet either criterion of 95%ile concentration or percentage reduction specified in *Schedule 3, Part II*. The latter will be computed from the pair of influent and effluent samples for the same day.
- The upper-tier concentration standards will apply only to planned sample results that have failed the criterion for Percentage Reduction, or to an effluent sample for which Percentage Reduction cannot be calculated because there is no influent sample.



- Compliance will be assessed separately for BOD and COD and a discharge failing either parameter in the annual assessment will be deemed to have failed to comply with the Regulations. Flow charts for the assessments are given in Figure 1 (BOD) and Figure 2 (COD).

### 2.3.3 Article 5, Sensitive Waters Nutrient Conditions (Figure 3)

- **Operator's planned sample** results will be determined to comply with the Regulations for Total Phosphorus (and/or Total Nitrogen if appropriate) based on the annual mean concentration or annual mean percentage reduction. The latter will be determined from the mean of the percentage reductions computed from each pair of influent and effluent samples. Where first time nutrient treatment has been provided mid-year, the annual mean or percentage reduction will be calculated on a pro rata basis.
- Compliance will be assessed for Total Phosphorus (and/or Total Nitrogen) separately and a discharge failing either of these parameters or the BOD or COD assessments will be deemed to have failed to comply with the Regulations. A flow chart for the nutrient assessment is given in 0.

### 2.3.4 Article 6, Primary Treatment Conditions (Figure 4)

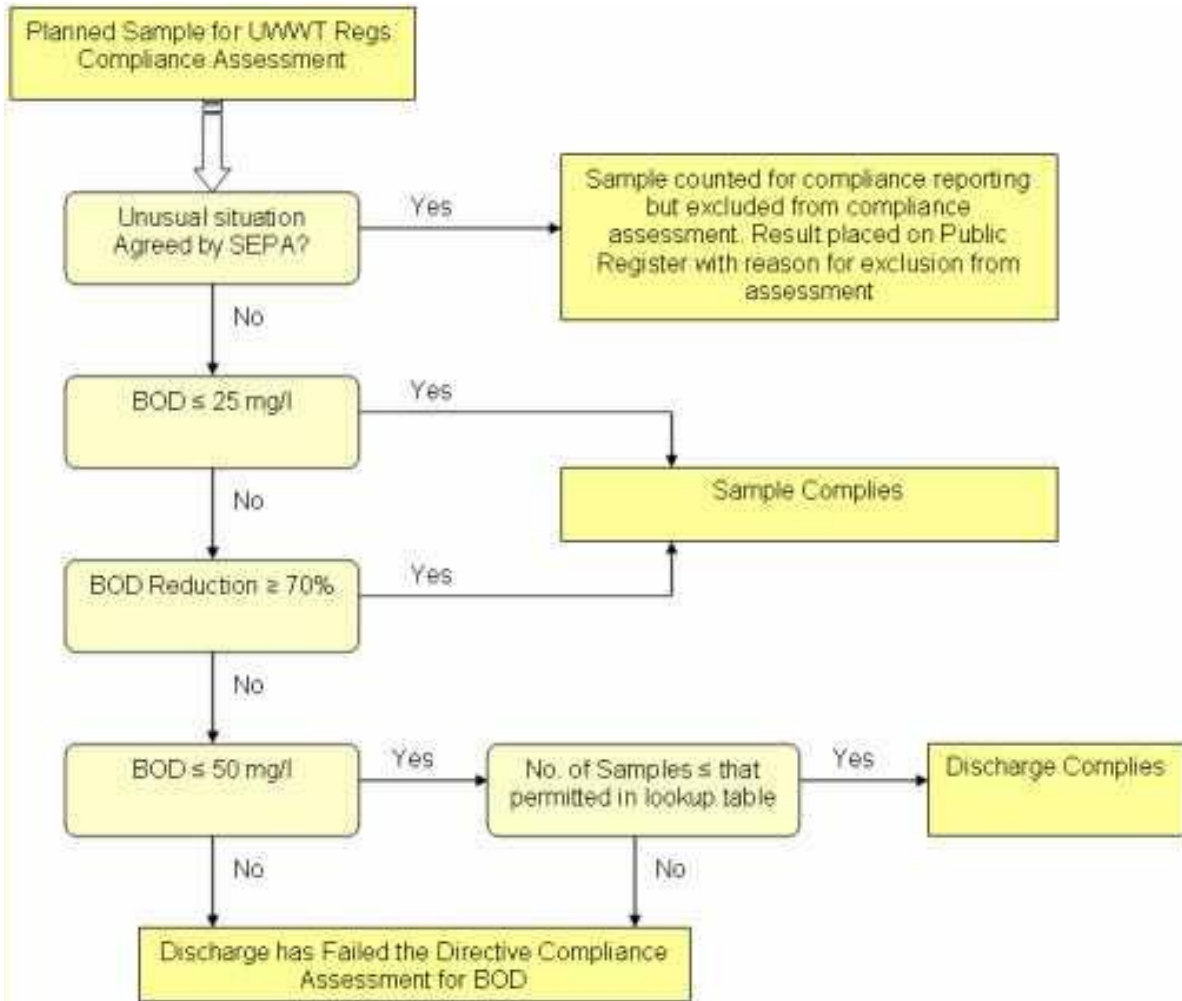
- **Operator's planned sample** results will be determined to comply with the Regulations if they meet the Percentage Reduction criterion in Regulation 5(8)(b).
- Compliance will be assessed separately for BOD and suspended solids and a discharge failing either parameter in the annual assessment will be deemed to have failed to comply with the Regulations. A flow chart for the assessments is given in Figure 4.

## 2.4 Assessment of Compliance with Numeric Conditions

SEPA will determine licence compliance for the purposes of CAR, UWWTD and PPC assessments on an ongoing basis as each **qualifying** sample (as defined in section 2.3.1) is taken – this is termed **Rolling Licence Compliance**. This is essential to monitor ongoing compliance with licence conditions and for instigation of any necessary enforcement action. Rolling licence compliance with numeric conditions will be undertaken as stated in Section 2.2 of this document.

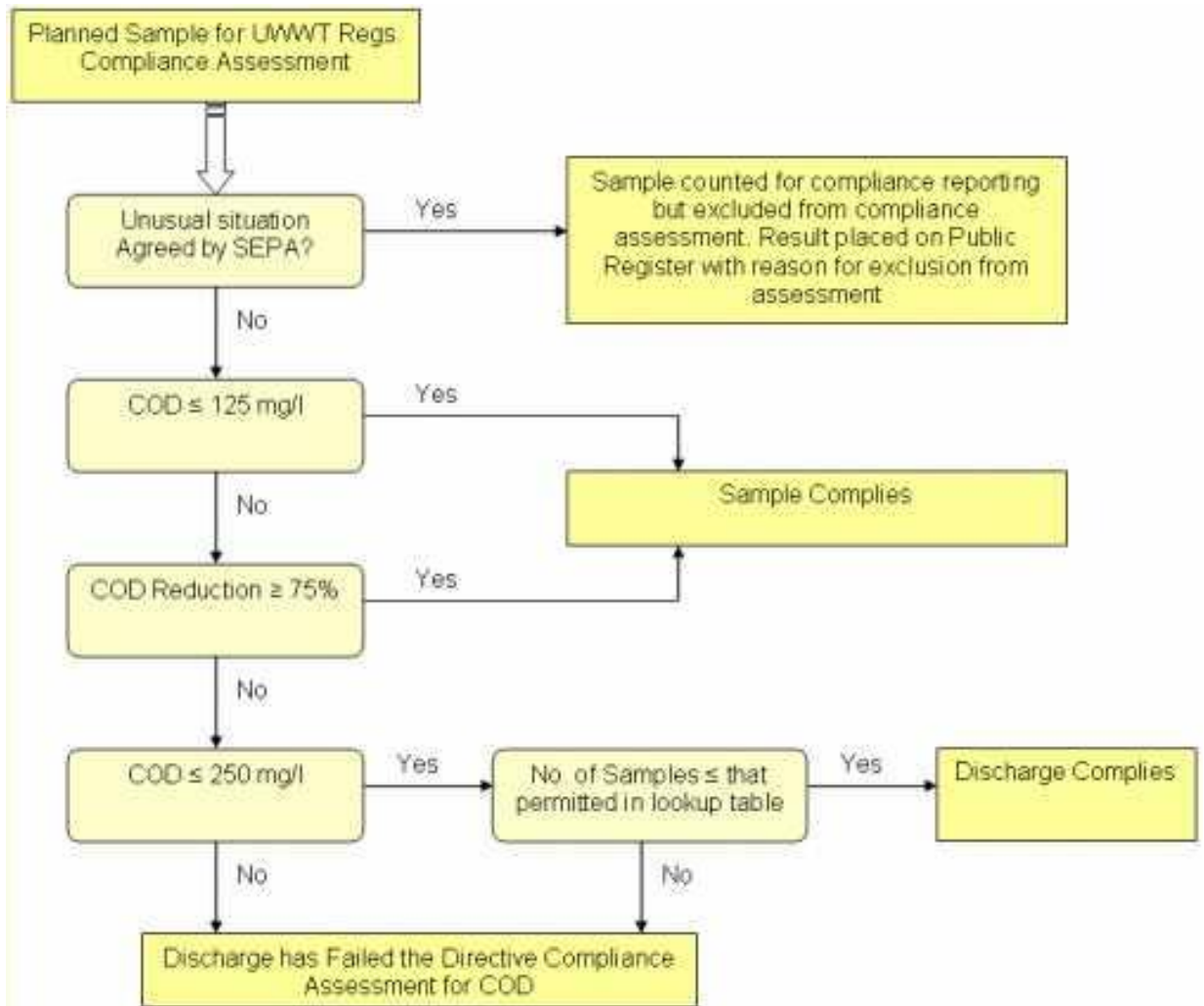
As successive **qualifying** sample results are obtained, the assessment of compliance with CAR, PPC and UWWTD conditions will be determined based on the last sample and all other **qualifying** samples in the preceding 12 months (i.e. the sample from that day and all other planned samples in the preceding 364 days, 365 in a Leap year). For example, a sample is taken on 1st December 2016, compliance is assessed based on that sample and all other samples from 2nd December 2015 to 1st December 2016.

**Figure 1 UWWT (Art 4) Secondary Treatment Assessment – BOD**



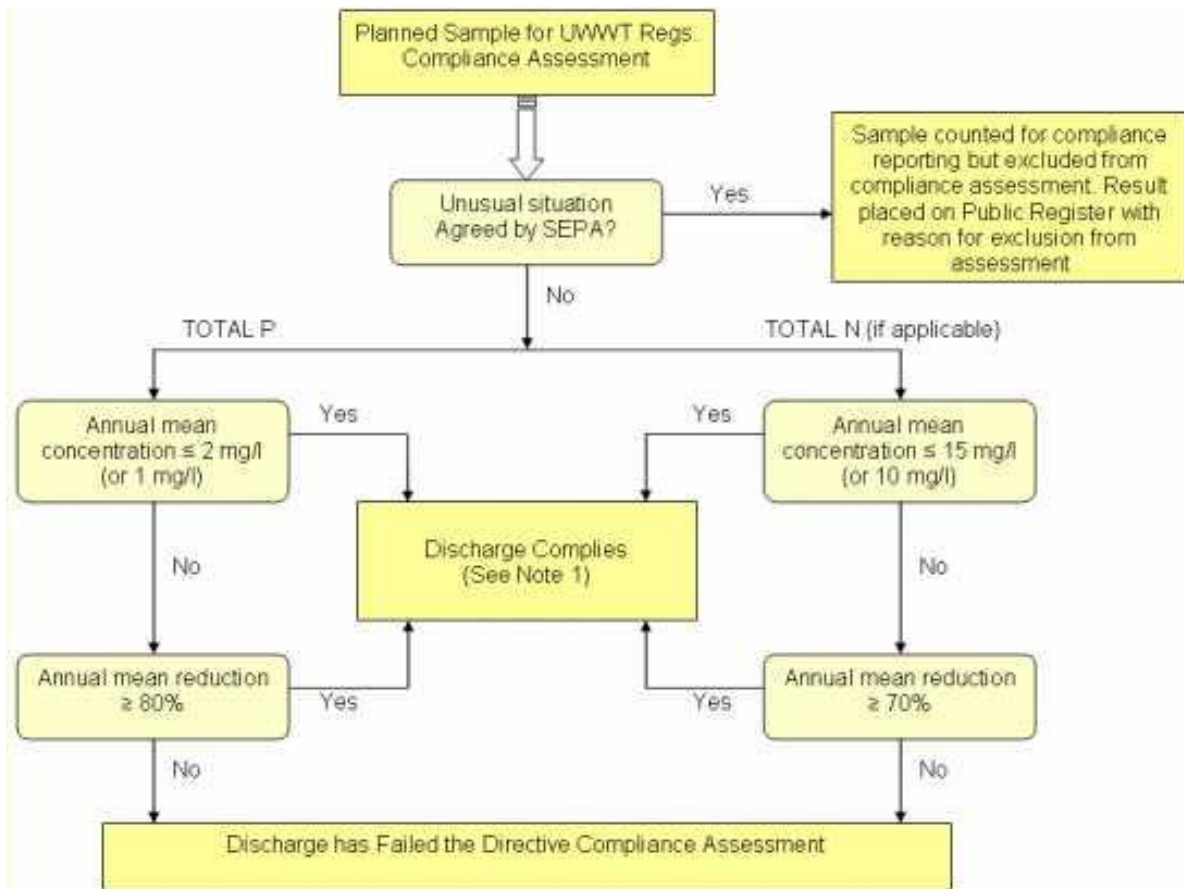
Note: The UWWT Regulations allows for analysis of BOD and COD of lagoon discharges to be carried out on filtered samples providing that Suspended Solids do not exceed 150mg/l.

**Figure 2 UWWT (Art 4) Secondary Treatment Assessment – COD**



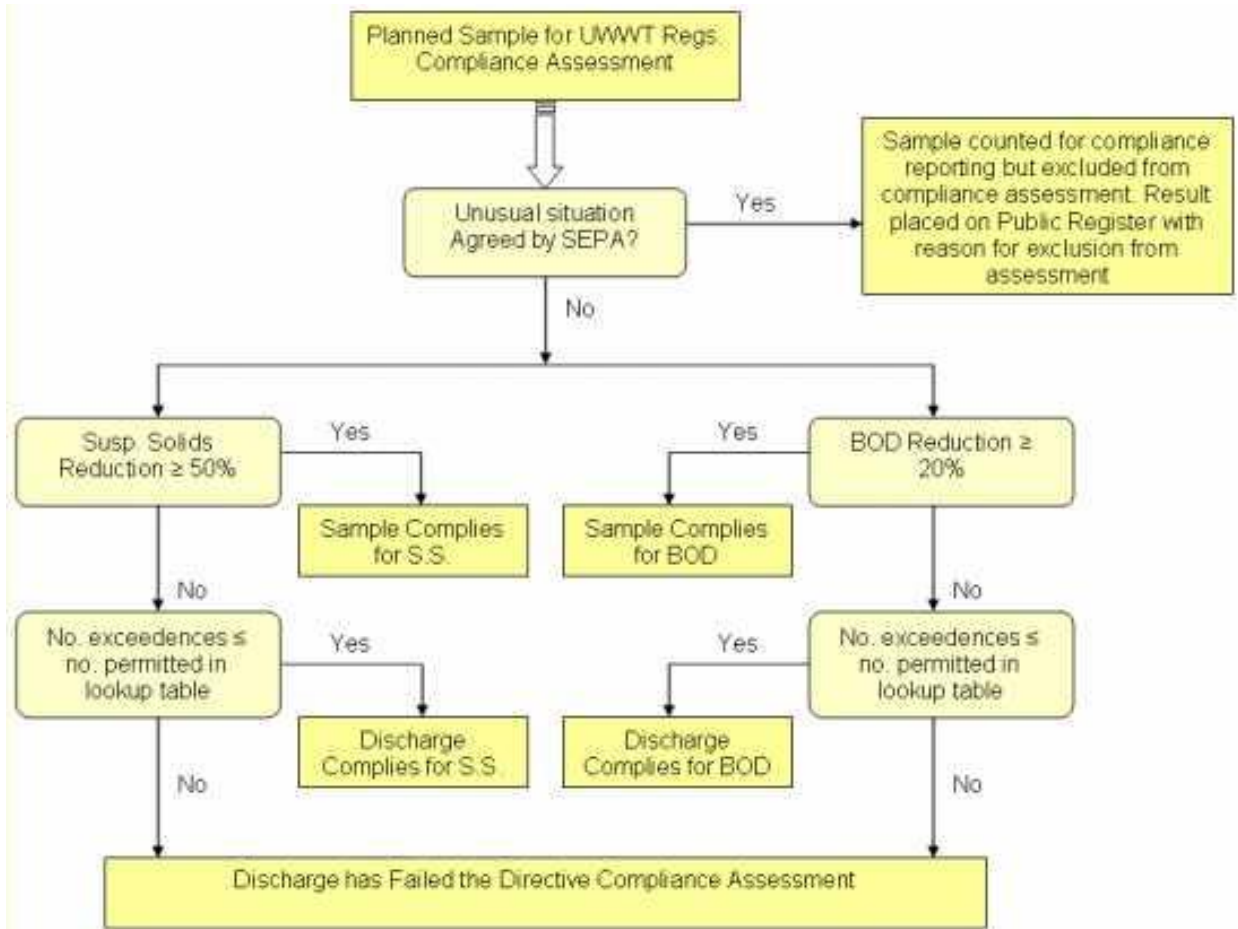
Note: The UWWT Regulations allows for analysis of BOD and COD of lagoon discharges to be carried out on filtered samples providing that Suspended Solids do not exceed 150mg/l.

**Figure 3 UWWT (Art 5) Nutrient Assessment**



Note: BOD & COD assessment for secondary treatment in Figs 1 & 2 should also be undertaken

**Figure 4 UWWT (Art 6) Primary Treatment Assessment**



## 3. Enforcement of Planned Sampled Discharges

### 3.1 Introduction

Controlled activities are defined in the Water Environment and Water Services (Scotland) Act 2003. This requires the person carrying on a controlled activity to be done in accordance with the appropriate level of authorisation.

SEPA has three sample types with regard to CAR licensed discharges. These are:

- **Operator's planned samples** taken during the period,
- **SEPA's Planned samples** taken during the period;
- **SEPA's response sampling (enforcement/ incident/ complaint)** – a single sample or series of unplanned samples taken in response to specific events e.g. identified process upset or exceedances identified by routine sampling. May be corroborated or not.

SEPA may take enforcement action for breaches of licence conditions relating to planned sampled discharges and to SEPA response sampling. The following paragraphs explain SEPA's position. The Unit Manager may authorise deviations from the enforcement position when appropriate as long as there is an auditable trail giving reasons for not following the guidance.

### 3.2 Single Tier Licences

#### 3.2.1 Minor Breaches - Licence Failure

SEPA will inform/notify the discharger, as soon as practical, of any repeated minor breach of the environmental limit conditions, and confirm the failure in writing.

In reviewing the performance of that discharge, compliance with numerical conditions is assessed as satisfactory if:

- 75% or more of **Operator planned samples** or **SEPA planned samples** taken in the period comply with the numeric conditions of the licence/authorisation; and
- No result for a licensed parameter exceeds the numeric condition by more than twice the limit on any **Operator planned sample** or **SEPA planned sample** or **SEPA response samples (enforcement/ incident/ complaint)**

The discharger should determine the cause of the failure and, where required, undertake remedial action. If there is no licence condition stipulating a reporting period, any action undertaken must be reported in writing to SEPA within 14 days of receipt of notification of failure. Minor breaches may in some cases result in enforcement sampling/evidence gathering.

### 3.2.2 Serious Licence Failure

A significant breach is where:

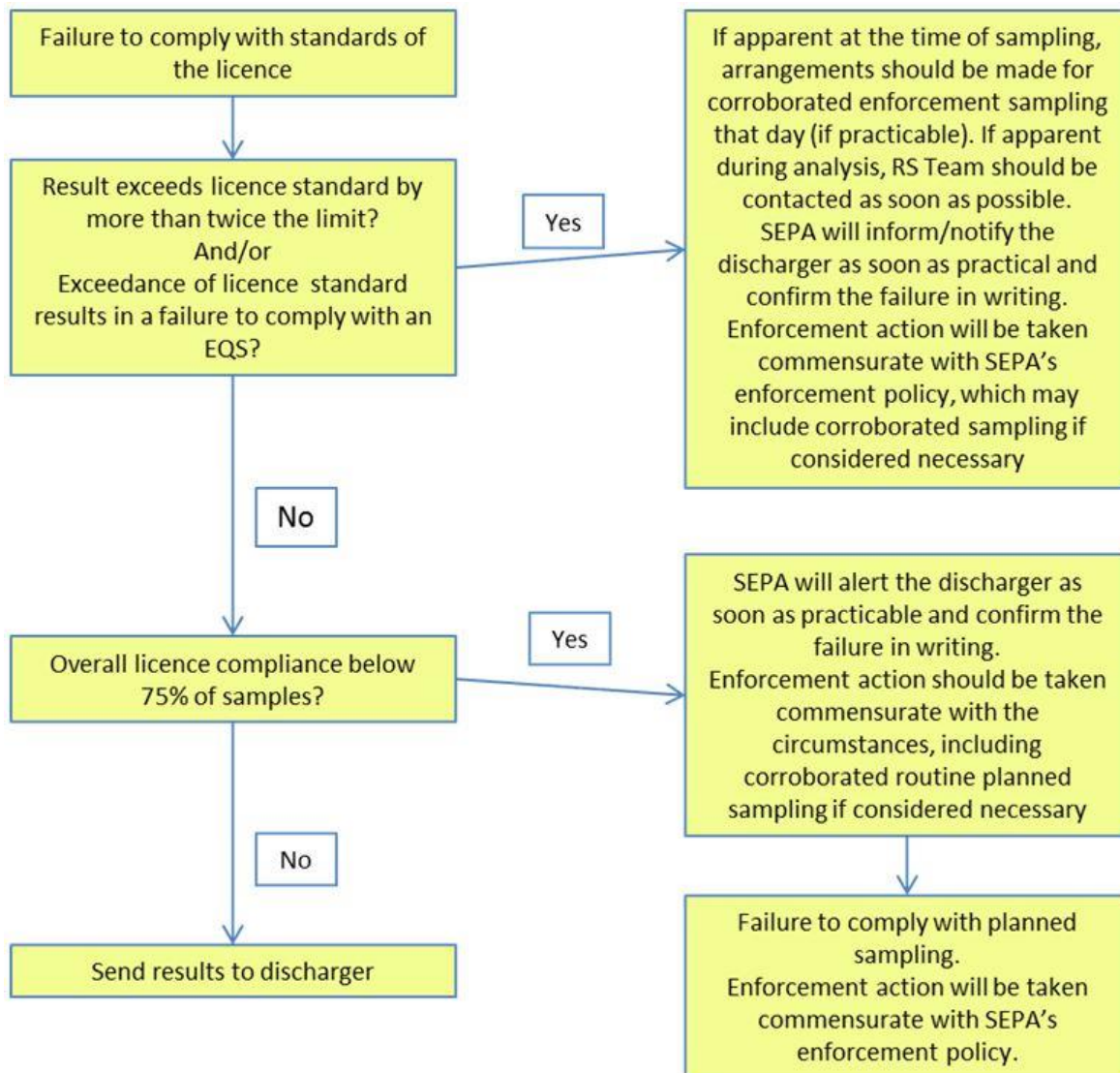
- any exceedance of a maximum limit (set in the licence) results in a breach of the appropriate environmental standard in the receiving water; or
- exceedance of any maximum limit (set in the licence) for any sample<sup>1</sup> is greater than twice the upper tier limit. Refer to *Annex 2* for further details.

SEPA will inform/notify the discharger as soon as practical when SEPA becomes aware of any significant breach and will confirm the breach in writing. SEPA may take any appropriate enforcement action considered.

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<sup>1</sup> As defined in Sections 2.1 and 3.1



**Figure 5 Enforcement trail for single-tier licences**

### 3.3 Two Tier Licences

#### 3.3.1 Lower Tier - Licence Failure

A repeated minor breach of the lower tier (95-percentile standard) is when:

- the cumulative number of results exceeding the numeric limit (including the current sample) in the preceding 12 months for **Operator planned samples** and **SEPA planned samples** is greater than that permitted by the look-up table in the licence, for a particular parameter; or
- within the first 12 months of monitoring the number of results exceeding the numeric limit would exceed the permitted number even if all subsequent **Operator planned samples** and **SEPA planned samples** complied with the 95 percentile numeric limit.



In the event of a discharge failing a 95-percentile standard (as detailed above), an automatic email will notify Regulatory Services requiring a decision to be made about opting in to formal sampling. SEPA will alert/notify the discharger as soon as possible and confirm the failure in writing. SEPA will commence enforcement action commensurate with the circumstances, which may include corroborative routine planned sampling if considered appropriate. If formal sampling is initiated the operator would still be required to follow their sampling plan. Any samples taken by SEPA on a formal basis will be considered to be planned and hence will be included in the compliance record. An additional automatic email will also be sent to the site operator for self-monitored sites to inform them that SEPA are taking formal samples. A copy of this email is sent to the science planners and NMT schedulers with details from the operator plan, so that the sampling details can be replicated into SEPA's National Monitoring Plan. Similarly, these parties will be notified when the site is removed off the formal sampling process.

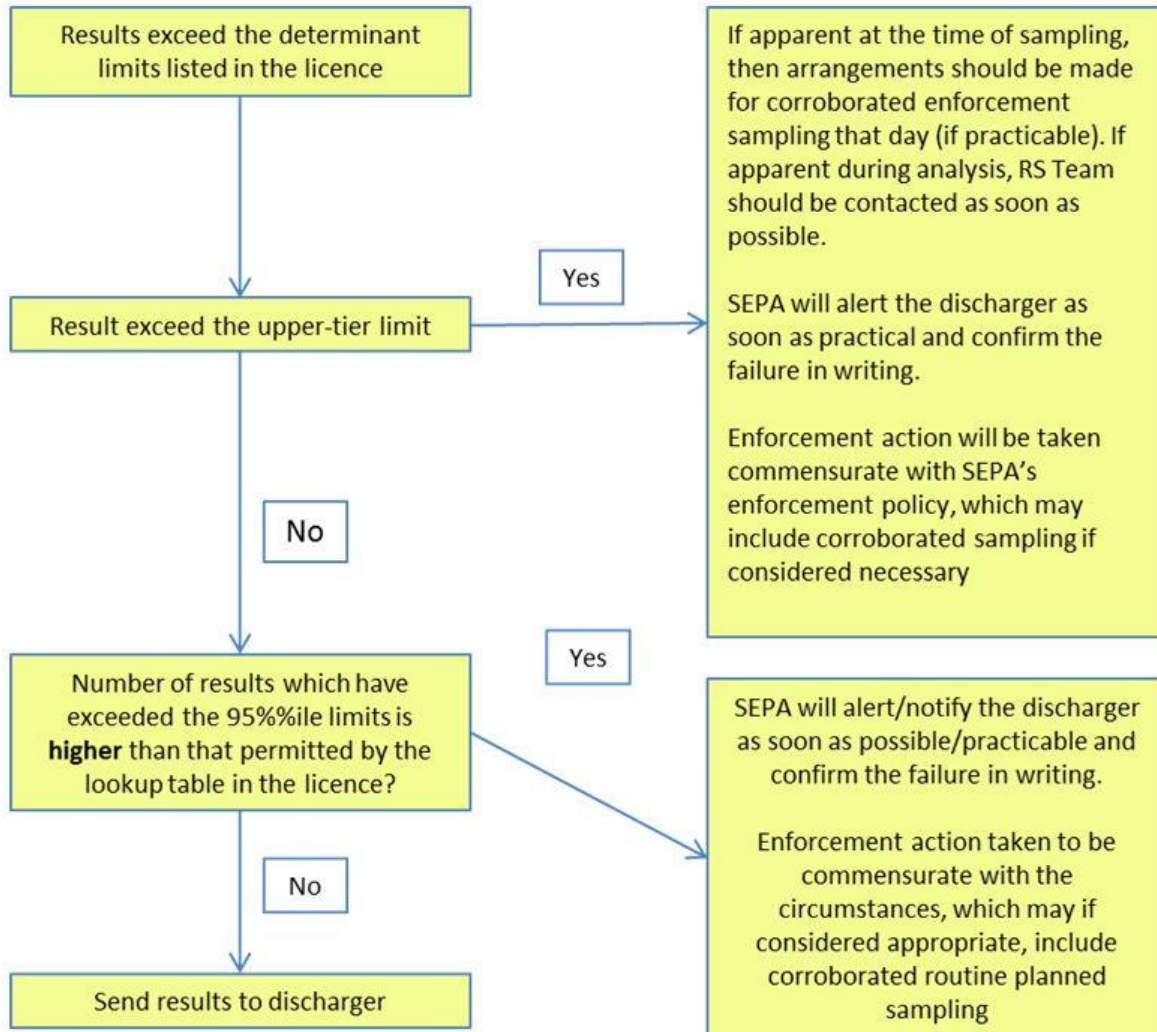
### **3.3.2 Upper Tier - Licence Failure**

The upper-tier (effective maximum) applies to any single result for a licensed parameter, for all samples<sup>2</sup>. In the event of a discharge failing an upper tier limit an automatic email will notify Regulatory Services requiring a decision to be made about opting-in to formal sampling in NEMS. SEPA will inform/notify the discharger immediately SEPA becomes aware of any significant breach and will confirm this in writing. SEPA may take corroborated enforcement sample(s) of the discharge as soon as practicable and appropriate action will be taken in line with SEPA's Enforcement Policy. If formal sampling is initiated the operator would still be required to follow their sampling plan.

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<sup>2</sup> Planned, enforcement or incident / complaint samples (defined in Sections 2.1 and 3.1).

**Figure 6 Enforcement trail for two-tier licences**



## 4. Excluding sample results from Numeric Discharge Compliance

### 4.1 Introduction

The quality of a discharge and full compliance with licence conditions can be compromised by external factors that are outwith the control of the operator.

This section specifies how SEPA will determine if a sample result can be excluded from the compliance record.

### 4.2 Reasons for excluding a sample from numeric discharge compliance

When the discharger claims, and SEPA agrees, that the Unusual Situations referred to in CAR licences and UWWTR Schedule 3, Part II or a statutory defence under CAR Regulation 48 applies, then the sample shall not be taken into account in the assessment.

Unusual situations are described in section 4.3 below.

CAR Regulation 48 refers to the following situations:

- an accident which could not reasonably have been foreseen;
- natural causes or force majeure which were exceptional or could not reasonably have been foreseen; or
- an act or omission by a category 1 or 2 responder that was reasonably necessary to protect people, property or the environment from imminent risk of serious harm

### 4.3 What constitutes an 'unusual situation'?

A non-compliant sample of treated sewage effluent can be excluded from the WWTW compliance record if sufficient evidence is provided by the operator to demonstrate that the treatment process was subject to an 'unusual situation'.

'Unusual situations' are as follows:

- low ambient temperatures, as evidenced by effluent temperatures of 5°C or less, or by the freezing of mechanical equipment in the STW;
- snow deposits sufficient to affect the normal operation of the STW;
- tidal or fluvial flooding;
- weather conditions causing unforeseen loss of power supply to the treatment plant which could not be ameliorated by the reasonable provision and operation of standby generation facilities.

In situations of low ambient temperatures not all WWTWs will be affected to the same extent. Larger works generally have a greater temperature buffering capacity than smaller works due to the volume and temperature of effluent arriving at the works. Some WWTW are subject to greater exposure and may experience more adverse effects than those in less exposed locations.

Factors such as those mentioned above can all play a part in the extent that cold weather can affect the treatment of effluent and the removal of pollutants by a WWTW.

'Unusual situations' are applicable to samples collected for CAR, PPC and UWWTD purposes.

If an operator believes that an 'unusual situation' was adversely affecting the operation of the treatment process when the regulatory sample was collected then the operator may request an exclusion for the result. Any request must be supported by sufficient evidence to demonstrate the 'unusual situation'.

#### **4.4 What evidence is required to request an exclusion?**

To request an exclusion for a non-compliant sample result and to have it excluded from the compliance record the operator must provide sufficient evidence that the treatment process was subject to an 'unusual situation' or that a situation referred to under CAR Regulation 48 has occurred.

The operator must provide:

- Evidence that the situation adversely affected the treatment process;
- Evidence that WWTW was operating correctly before the situation occurred;
- Evidence to demonstrate the period when the treatment was ineffective due to the situation;
- Evidence to demonstrate the time period during which the low ambient temperatures occurred;
- Evidence of the effectiveness of the treatment process while it recovered;
- Evidence of relevant EPI notifications, including notification of the closure of an EPI, issued to SEPA;
- Details of any mitigation measures taken.

Evidence can take the form of:

- Photographs
- Final effluent temperature records
- Final effluent monitoring data

- Process monitoring records
- EPI notifications to SEPA

The operator must take all practicable steps after the event to prevent or reduce the risk of a recurrence of the problem. If an operator fails to take all practicable steps, SEPA may not accept that a recurrence of the problem is outwith their control or is unforeseen.

The operator will have one opportunity to provide sufficient evidence in support of the exclusion request. If insufficient evidence is provided there will be no opportunity to provide additional evidence at a later date.

Where a sample is collected for UWWTD purposes and subsequently excluded this will still count towards the required number of samples to be collected each year to demonstrate compliance with the UWWTD.

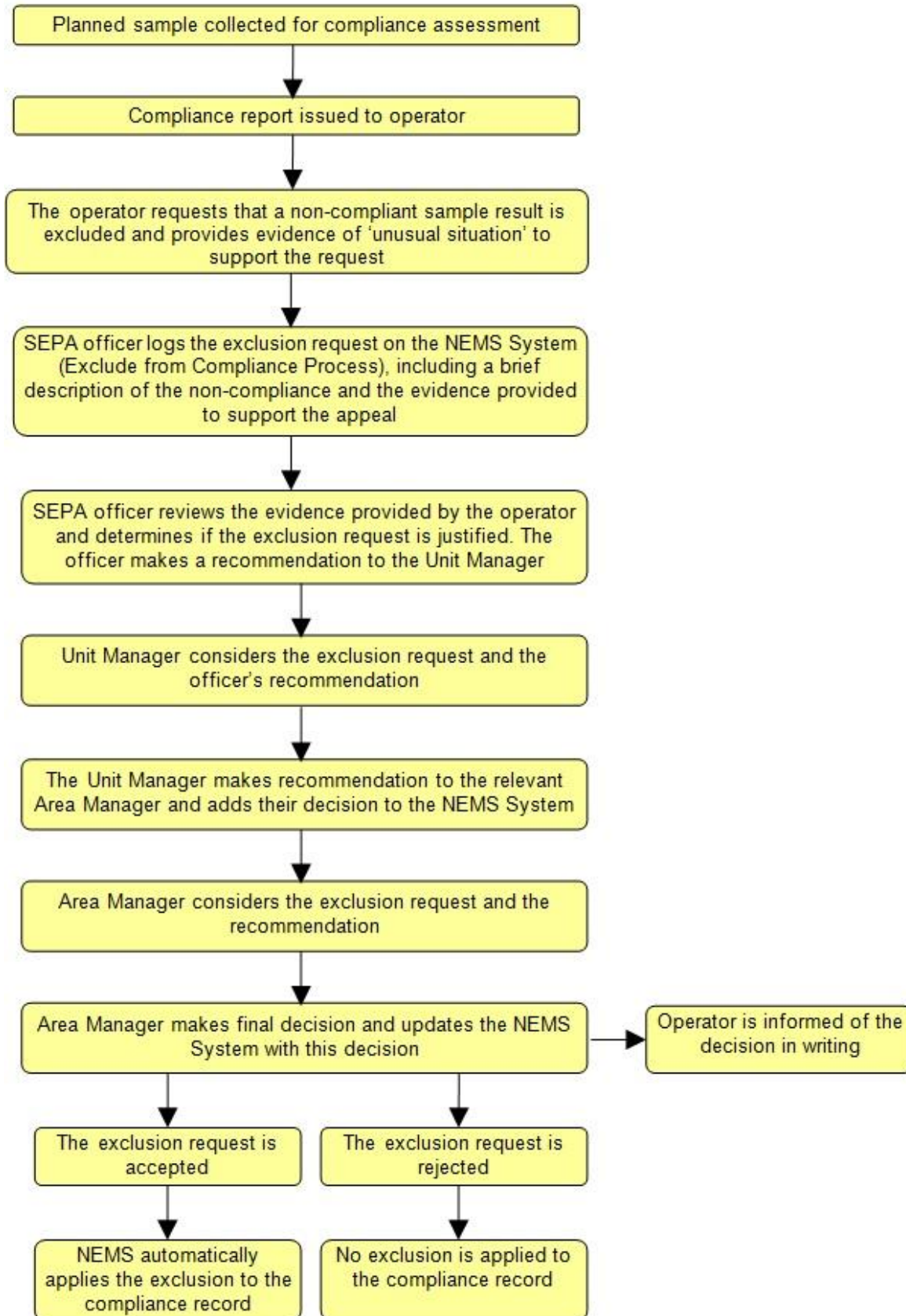
## 4.5 Processing an exclusion

An exclusion will be applied to the compliance record if the request to exclude the non-compliant result is determined to be justifiable. If not, the request will be rejected and the result will stand and remain in the compliance history for the site.

A NEMS system, known as Exclude from Compliance process, is available to log, manage and track requests to exclude non-compliant sample results.

The process for excluding a non-compliant sample result from the compliance record is explained in Figure 7 and is applicable to all operators. *WAT-SG-42: Communications Protocol for Compliance Sampling and Reporting between SEPA and SW* details specific requirements for exclusion requests relating to Scottish Water sites.

**Figure 7 Excluding non-compliant samples from compliance record**





## 4.6 Cancelling a sample result

### 4.6.1 Cancelling a SEPA sample result

There are situations where it would be more appropriate to cancel a SEPA sample result rather than exclude it. These include situations where there is reasonable doubt regarding the reliability of a sample test result due to, for example, sample collection, handling or transportation issues or there are concerns about the quality of the sample result.

In these situations, the operator should contact the relevant SEPA local Regulatory Services (RS) Team to express their concerns about the sample result. The SEPA local RS Team should contact the Evidence & Flooding (E&F) Advice Helpdesk who will coordinate an investigation and determine if the result should be cancelled. SEPA E&F staff should issue the investigation report and findings to the local RS team. The local SEPA RS team will then contact the operator and explain the outcome of the investigations.

If a result is not cancelled then it will remain in the compliance history for the WWTW. If a result is cancelled then a re-sampling event should be organised (where applicable).

### 4.6.2 Cancelling an Operator Self-Monitoring sample result

Sample results produced under operator self-monitoring arrangements are governed by MACS (Measurement Assurance and Certification Scotland). When data is cancelled prior to submission, the actions that SEPA requires of the operator are detailed in MACS-WAT-02.

When data that the operator has submitted to SEPA is subsequently found to have a sample handling, analysis or quality control issue, then the non-conformance process detailed in MACS-TG-03 must be followed. SEPA will then determine on a case-by-case basis whether result cancellation is appropriate.

With the exception of sample exclusion requests, all communications between SEPA and operators regarding self-monitoring arrangements should be via the SEPA Operator Monitoring mailbox.

Note that the communications protocol for Scottish Water sites is specifically detailed in WAT-SG-42.

## Annex 1: Qualifying Samples for Numeric Compliance Assessment

	<b>CAR/UWWT/PPC numeric conditions for CAS reporting (Section 2.2)</b>	<b>UWWT numeric conditions for reporting to EC (Section 2.3)</b>
<b>Operator's Planned Samples</b>	✓	✓
<b>SEPA's Planned samples</b>	✓	✗
<b>SEPA's response sampling (where U/T failure of 2-tier licence or gross breach of single tier limit)</b>	✓	✗



## Annex 2: Serious Incidents Causing Breach of Any Environmental Standard

Examples of the effects of such incidents are:

- Causes significant adverse impact / pollution (e.g. damage to flora and fauna including fish or invertebrate mortalities);
- Adverse interference with an abstraction for industry, public supply, stock watering, etc.;
- Adverse affect on protected areas such as Natura sites (SACs, SPAs), bathing and shellfish waters, drinking water sources etc. or areas of high amenity value (e.g. public park, golf course, etc.).

### Single-Tier Licences

SEPA numeric licence conditions are invariably set as absolute units. Quantitative licence conditions in Scotland, however, are generally strict and consequently if 75% of planned samples of discharges taken over a 12-month rolling period are within licence limits and any exceedance is marginal (exceeds the numeric condition by more than 100%) then the discharge can be deemed satisfactory.

### Two-Tier Licences

Take account of the statistical distribution of effluent quality performance. For each parameter they may incorporate two conditions, a 95-percentile standard and an upper-tier limit (normally the 99.5-percentile or effective maximum). For an infinite number of planned samples 19 out of 20 should comply with the 95-percentile standard and 199 out of 200 with the upper-tier limit.

## References

NOTE: Linked references to other documents have been disabled in this web version of the document.

See the Water >Guidance pages of the SEPA website for Guidance and other documentation ([www.sepa.org.uk/regulations/water/guidance/](http://www.sepa.org.uk/regulations/water/guidance/)).

All references to external documents are listed on this page along with an indicative URL to help locate the document. The full path is not provided as SEPA can not guarantee its future location.

### Key Documents

- *WAT-RM-10: Use of Enforcement Notices*
- *WAT-SG-42: Communications Protocol for Compliance Sampling and Reporting between SEPA and SW*

### Other References

- *Compliance Assessment Scheme* SEPA Intranet
- *Controlled Activities Regulations: A Practical Guide* ([www.sepa.org.uk](http://www.sepa.org.uk))
- *DREAM* (Dynamic Regulatory Effort Assessment Model), SEPA Intranet
- *SEPA's Enforcement Policy and Enforcement Guidance*, ([www.sepa.org.uk](http://www.sepa.org.uk))
- *Urban Waste Water Treatment (Scotland) Regulations 1994* SSI No. 2842, ([www.legislation.gov.uk](http://www.legislation.gov.uk))
- *Urban Waste Water Treatment Regulations Guidance Note* Scottish Office 1998 (SEPA Intranet)
- *Water Environment (Controlled Activities) (Scotland) Regulations 2011* SSI 209 ([www.netregs.org.uk](http://www.netregs.org.uk))

*End of Document*