



<b>Process ELC (a)</b>								
<b>Abstractions &amp; Impoundments:</b> Timing of construction of impoundment/abstraction intakes and return points etc.		Inspection	Compliant with licence	Any breach of licence condition which may result in no more than a Category 3 (minor) environmental event.	4 or more minor breaches	Failure to monitor or produce a report which would allow the licence holder to demonstrate compliance with a process ELC	Exceeds the licensed limit and:  -leads to or likely to lead to a deterioration in status of the waterbody and/or not compliant with licence condition; and/or  -leads to or likely to lead to a category 1 or 2 environmental event	A breach by itself may be discounted where the licence can be varied and the status of the waterbody downstream is not likely to be adversely affected  Hands off Flow: the minimum river flow at which either no (or reduced) abstraction should take place  For compensation, storage retention/ releases and construction periods, a common sense approach should be adopted when considering any minor deviations from the specified time periods. Assessment should be to the nearest working day e.g. if a release date falls on a Sunday and the release does not actually occur until the Monday, this will not be treated as a breach. Cognisance should also be made of any written agreements with SEPA to deviate from the specified times.  For continuous but variable compensation flows, if the flow rate is not increased at the correct time, then this is a 'volume' issue assessed under 'Numeric ELC (single threshold)' due to the under-compensation for that period.  Note that for 'freshet' releases, this attribute is about the 'on-off' timing of releases so that if a freshet is released at the wrong time, it is a timing (not volume) issue and should therefore not be double counted. The volume of freshet release is assessed separately under 'Numeric ELC (Single threshold)'.  For structures, significant breaches may well require capital investment and/or an improvement plan to resolve. With regard to improvement plans see sect 4.3 of the compliance guidance manual.  In minor cases SEPA may vary, or give a written commitment to vary the licence. In either case the 'breach' would be removed from the compliance assessment record.
<b>Period of Abstraction:</b> (where seasonal)		Inspection/ data returns						
<b>Hands off Flow</b>		Inspection/ data returns						
<b>Compensation Releases:</b> Location, timing and pattern		Inspection/ data returns						
<b>Storage / Retention / Release (incl. freshets)</b> : Location, pattern and purpose		Inspection/ data returns						
<b>Location &amp; Design: Abstractions and Impoundments</b> (includes means of abstraction)		Inspection						
<b>Fish Pass: Provision/Type</b>		Inspection	Compliant with licence (correct type provided at specified location)	Not provided but measures in place to provide to agreed timescales or; incorrect type provided but considered adequate.			Not compliant with licence: Either not provided or of incorrect type (and not adequate to the site) and no measures in place to provide to agreed timescales	
<b>Fish Screens: Provision/Type</b>		Inspection						
<b>Process ELC (b)</b>								
<b>No Environmental Harm Conditions</b>			No environmental harm	Minor environmental event (category 3) which is not caused by authorised activity in full compliance with licensed conditions and which is not accounted for elsewhere.	Four or more minor breaches	N/A	Major (category 1) or Significant (category 2) environmental event which is not caused by authorised activity in full compliance with licensed conditions and not accounted for elsewhere	'No Environmental Harm' is a catch-all condition relating to impacts to the water environment arising from the authorised activity(ies). All Water Resource Licences contain a 'No Environmental Harm' condition. This attribute should be used where environmental harm caused by the authorised activity(ies) cannot be attributed to a specific ELC. The attribute should not be used where the activity is complying with its licence conditions and environmental harm is being caused e.g. where abstractions could cause environmental harm due to very low flows but where licenced abstraction rates are not exceeded. In such cases, this would normally trigger a review of licence conditions to ensure they were appropriately set and/or consideration of alternative measures to limit/rate abstraction).
<b>Process ELC (c)</b>								
<b>No significant impact of oil from return water</b>			No significant oil	N/A	N/A	N/A	Equivalent to a category 1 or 2 environmental event. e.g. Continuous oil sheen in discharge and downstream, or presence of oil in stones and vegetation downstream (for a significant distance).	Applicable only to sites returning abstracted water and having associated licence conditions.  Note if oil is present but it is not significant, this condition is compliant.
<b>No significant scouring of the bed or banks from return water</b>		Inspection	No significant scouring of bed or banks	N/A	N/A	N/A	Equivalent to a category 1 or 2 environmental event. e.g. Scouring of the bed or banks for a significant distance	Applicable only to sites returning abstracted water and having associated licence conditions.
<b>Environmental Events (classified according to table 5)</b>								
<b>Environmental harm</b>		Inspection / environmental events	No environmental harm	Minor environmental event (category 3) which is not caused by discharge in full compliance with licensed conditions (e.g. due to a spillage on site etc) and which is not accounted for elsewhere.	Four or more minor breaches	N/A	Major (category 1) or Significant (category 2) environmental event which is not caused by discharge in full compliance with licensed conditions and not accounted for elsewhere	
<b>Overall ELC band</b>								

**SEPA Compliance Assessment**

SEPA licence no.:	
Site name:	
Annual summary sheet for year:	
Completed by:	
Date:	

Environmental Management					
EMC attribute	Applicable to this site? / Licence condition #	Compliant	Minor non-compliance	Major non-compliance	Comments
<b>Management</b>					
Knowledge of licence by appropriate staff		Responsible Person and/or relevant staff have a good broad knowledge of the licence and/or its requirements. This may be demonstrated through written procedures and the operation of these procedures to ensure compliance with the licence	Limited knowledge of licence by operator.	No knowledge of licence or its requirements by the operator.	<b>Awareness of licence requirements and purpose of licence.</b> The Responsible Person or staff authorised on their behalf should have knowledge of the licence to ensure compliance with its conditions. It should be assessed at a broad not overly detailed level.
Process Control: Systems and Procedures		Where required, authorised activities carried on in full accordance with the operating practice submitted with the application for the licence, unless that would involve a breach of any condition of the licence, in which case the licence condition takes precedence.  This may include minor deviations from written procedures with no potential or actual breach of an ELC. No Environmental harm.	Where required, authorised activities largely carried on in accordance with the operating practice submitted with the application for the licence (this may include some minor deviations resulting in a category 3 Environmental Event or minor unauthorised activities)  Minor deviations from written procedures with minor actual or potential breach of an ELC sufficient to cause minor environmental harm (Category 3 Environmental Event).	Authorised Activities not carried on, where required, in accordance with the operating practice submitted with the application for the licence (this may result in a Category 1 or 2 Environmental Event or significant unauthorised activities)  Significant deviations from written procedures with actual or potential significant breaches of an ELC sufficient to cause significant environmental harm (Category 1 or 2 Environmental Event).	This attribute can only be assessed if the licence contains a specific condition relating to adherence to an operating practice (i.e. operation of the authorised activities) e.g certain Public Water Supply and Hydropower licences. It does not normally apply to irrigators unless there is a management agreement in place. The attribute assesses compliance with, and adherence to submitted procedures and method statements for the overall operation of the abstraction/impoundment activities as submitted with the application. However if adherence to the submitted procedures / methods would result in a breach of another licence condition then adherence to that licence condition should take precedence.  Note that submission of an operating practice (where required by a specific licence condition) will be assessed separately under 'Reporting and recording - Reports to SEPA required under Licence'  Note that the Implementation of monitoring plans is assessed under 'Plant and Infrastructure - Provision and Operation of Monitoring Plans and Equipment'  This attribute includes assessment of compliance with a 'management agreement' if in place (e.g. some agricultural irrigation licences).
<b>Plant and infrastructure</b>					
Operational condition of plant and infrastructure		<u>Critical Plant:</u> No or infrequent breakdown without unauthorised discharge/abstraction/ impoundment  <u>Non Critical Plant:</u> No or infrequent breakdown without unauthorised discharge/abstraction/ impoundment  <u>Infrastructure:</u> Site infrastructure fit for purpose.	<u>Critical plant:</u> Frequent breakdown with no or potential minor unauthorised discharge/abstraction/ impoundment,  Infrequent breakdown with minor unauthorised discharge/abstraction/ impoundment  <u>Non Critical Plant:</u> Infrequent or frequent breakdown which leads to, or is likely to lead to a minor breach of an ELC (verified by investigation)  <u>Infrastructure:</u> Site infrastructure has minor defects which may contribute to a minor environmental event (cat 3).	<u>Critical plant:</u> Frequent breakdown with minor unauthorised discharge/abstraction/impoundment;  and/or;  <u>Critical and Non Critical Plant:</u> Infrequent or frequent breakdown of any plant (critical and non critical) (blocked intakes, pumps and valves etc) which leads to, or may lead to a significant breach of an ELC (verified by investigation)  <u>Infrastructure:</u> Site infrastructure (incl. bunding, drains, interceptors etc) not fit for purpose and may lead to a major or significant environmental event (cat 1 or 2)	<b>Is it working? Are operating procedures being followed?</b> Assessment of this attribute is largely associated with the presence of a condition(s) requiring operation in order to secure outcomes such as free passage of fish or delivering compensation flow (for impoundments) or other specified conditions within a licence. This attribute does not assess the <b>maintenance</b> of the plant (this is assessed under a separate EMC attribute) but concentrates on whether the plant is operational and functioning as it should. The main focus should be on structures, works, plant and equipment considered to be a <b>critical</b> part of the authorised site although persistent failure of non critical aspects leading to unauthorised activities will also be taken into account.  <u>Critical plant</u> is defined as those parts of an abstraction/impoundment site which have a significant and immediate role in ensuring ELCs are complied with and whose failure is difficult to mitigate without there being a significant effect on water environment (e.g. operation of fish pass, screens, certain flow structures and pumps etc). They will be a significant part of the system.  <u>Non critical plant</u> would include certain hoses and pumps pipeworks construction and support vehicles / plant and equipment etc - these would be operated in accordance with any conditions / procedures e.g refuelled >10m from watercourse etc  <u>Infrastructure</u> includes, bunds and impermeable areas (which control the effects of certain unplanned releases). They should be provided as required and fit for purpose.  Further guidance on critical/ non critical plant is available in SEPA's inspection guidance for the relevant sector  In assessing performance over the whole year SEPA will take into account an operator's adherence to any

<b>Provision and operation of monitoring plans and equipment</b>		<p>All required monitoring, including installation of monitoring equipment, carried out as specified in licence and/or monitoring plan (includes monitoring plan details, fisheries monitoring plan etc.)</p> <p>Installed monitoring equipment operating with few if any breakdowns.</p>	<p>Monitoring, including installation of monitoring equipment, carried out but deviates from that specified in licence and/or monitoring plan (includes monitoring plan details, fisheries monitoring plan etc.).</p> <p>Installed monitoring equipment unreliable and subject to frequent breakdowns.</p>	<p>Required monitoring, including installation of monitoring equipment, not carried out.</p> <p>OR</p> <p>Installed monitoring equipment not working for extended periods of time.</p>	<p>Assessment of this attribute includes compliance with licence conditions and/or required monitoring plans, including any fish monitoring.</p> <p>Has monitoring equipment been provided, is it working?</p> <p>Monitoring equipment includes:</p> <ul style="list-style-type: none"> <li>- Flow monitoring structures;</li> <li>- Flow recorders (including flow meters);</li> <li>- Event recorders;</li> <li>- Telemetry.</li> </ul> <p>The provision part of this aspect will apply to all licences whilst the submission of an actual monitoring plan applies only to a proportion of licences</p> <p>In the case of multiple activities, in assessing this attribute, consideration should be given as to the total number of activities requiring to be monitored and the relative significance of each activity (e.g where monitoring major and minor intakes from different sources of abstraction)</p> <p>Assessment of the operational condition of monitoring equipment can usually only be made where there is a licence condition relating to operating the plant in accordance with best practice or where there are specific requirements within the submitted and approved monitoring plan.</p>
<b>Maintenance of plant, infrastructure and monitoring equipment (including calibration)</b>		<p>Fully maintained.</p> <p>Maintenance procedures in place and adhered to.</p> <p>Full calibration of monitoring equipment.</p>	<p>Evidence of lack of maintenance of structure/works/plant/equipment and/or</p> <p>Maintenance procedures incomplete or inadequate; and/or</p> <p>Deviation from maintenance procedures which have not been notified to and/or agreed by SEPA and/or which are liable to cause a minor environmental event. (Cat. 3)</p> <p>Partial calibration of monitoring equipment.</p>	<p>Significant lack of maintenance of structure/works/plant/equipment and/or</p> <p>No maintenance procedures in place; or</p> <p>Significant deviation from maintenance procedures, which are liable to cause a significant or major environmental event (Cat. 1 or 2) and/or</p> <p>No calibration of monitoring equipment.</p>	<p><b>Is it being maintained? Are maintenance procedures being followed?</b></p> <p>This attribute is assessed where there is a requirement in a licence for maintenance of plant, infrastructure and monitoring systems (e.g.the plant will be operated and maintained..... incl.maintenance conditions relating to monitoring equipment). It also covers conditions relating to maintenance during abnormal/adverse operating conditions.</p> <p>The focus should be on maintenance of critical plant and equipment and adherence to any sediment management requirements as specified in the licence. It will include maintenance of fish passes, screens, impounding works, sediment management timing and other licence conditions etc</p> <p>Where monitoring equipment is provided, there is normally an associated condition requiring calibration of that equipment.</p>
<b>Design &amp; Construction Method Statements</b>		<p>All design and construction work carried out in accordance with submitted plans / method statements (e.g. design &amp; construction of</p>	<p>Minor deviations of design and construction work from submitted plans/ method statements (e.g. design &amp; construction of impoundment etc) which led to or could lead to a Cat 3</p>	<p>Significant deviations of design and construction work from submitted plans/ method statements (e.g.design &amp; construction of impoundment etc) which led to or could lead to a Cat 1 or 2</p>	<p>Note: This attribute does not apply to all licences (e.g.most irrigation licences do not have design and construction conditions).</p>
<b>Reporting and recording</b>					
<b>Record keeping, and information and records available as required by licence</b>		<p>All records and data kept and/or collected as stipulated and available for last five years (or as specified)</p> <p>Licence freely available to view (but note it does not have to be held on site)</p>	<p>Most data collected and recorded as stipulated. A small proportion of records missing and unavailable.</p> <p>Licence difficult to obtain.</p>	<p>Failure to collect and record a significant proportion of data. All or a significant number of records are missing and/or unavailable.</p>	<p>SEPA generally requires records to be kept for five years.</p> <p>This aspect includes licence availability. If a licence can be readily obtained (electronically and/or physically) it would not matter if the licence is not actually held on site.</p>
<b>Reports to SEPA required under licence</b>		<p>Reports submitted (where required in licence/ monitoring plan) to the agreed standard and format and within agreed timescale.</p>	<p>Reports are prepared but submitted late, or do not follow the format specified or are not of the appropriate quality and content</p>	<p>Non-ELC reports are not prepared or submitted, or where any reports are submitted they are of very poor quality or content.</p>	<p><b>Have reports required been submitted and contain the requested detail?</b></p> <p>Reports may be required for:</p> <ul style="list-style-type: none"> <li>-submitting operating practice/ monitoring plan / incl. revisions</li> <li>- data returns :abstracted flows/volumes/compensation flow (note agreements may be in place to submit these to SEPA centrally esp. Scottish Water)</li> <li>- fish monitoring details as per monitoring plan</li> <li>- impoundment monitoring details as per monitoring plan</li> <li>- notifications of changes to operating practice (as originally supplied in application etc)</li> <li>- notifications of commissioning monitoring equipment</li> <li>- sediment management plan</li> <li>- construction method statements</li> <li>- design drawings for intakes etc</li> </ul> <p>Note that the non submission of an ELC report will be assessed as a gross breach under the relevant ELC and not assessed under this reporting EMC attribute. Note however where an ELC report is submitted it will be assessed under this EMC reporting attribute.</p> <p>See SEPA guidance on producing and assessing monitoring plans for further information. Confirmation on acceptance of plan has been/will be carried out by SEPA</p>
<b>Notification of incidents</b>		<p>All incidents notified within timescales and include the required information specified in the licence.</p> <p>Operator is proactive in discussing incidents and events.</p>	<p>Some but not all incidents notified.</p> <p>Some of the Incident notifications do not comply with the timescale and/or information requirements specified.</p>	<p>No Incidents notified; or</p> <p>Significant number of notifications do not comply with the timescale and / or information requirements specified.</p>	<p><b>Has the operator notified SEPA of all incidents?</b></p> <p>Applies to all licences.</p>
<b>Overall EMC band</b>					
<b>Overall compliance band</b>					