

## Application for a Small Waste Incineration Plant (SWIP) Permit

Pollution Prevention and Control Act 1999  
Environmental Permitting (England and Wales) Regulations 2016

### Introduction

#### When to use this form

Use this form if you are applying for a permit to a Local Authority to operate a small waste incineration plant as defined in the Environmental Permitting (England and Wales) Regulations 2016.

The appropriate fee must be enclosed with the application to enable it to be processed further. When complete, send the form and the fee and any additional information to:

***Environmental Protection  
Public Safety & Regulation  
Newcastle City Council  
7th Floor  
Civic Centre  
Newcastle upon Tyne  
NE1 8QH***

***Email: [psr@newcastle.gov.uk](mailto:psr@newcastle.gov.uk)***

#### If you need help and advice

Please get in touch with us at the address above if you need any advice on how to set out the information we need in this form.

For the purposes of Section H of this form, a relevant offence is any conviction for an offence relating to the environment or environmental regulation. These are listed on the final page of the application form.

#### Other documents you may need to submit

There are number of other documents you may need to send us with your application. Each time a request for a document is made in the application form you will need to record a document reference number for the document or documents that you are submitting in the space provided on the form for this purpose. Please also mark the document(s) clearly with this reference number and the application reference number, if you have been given one, which will be at the top of the form overleaf. If you do not have either of these, please use the name of the installation.

#### Using continuation sheets

In the case of the questions on the application form itself, please use a continuation sheet if you need extra space; but please indicate clearly on the form that you have done so by stating a document reference number for that continuation sheet. Please also mark the continuation sheet itself clearly with the information referred to above.

#### Copies

Please send **the original and 1 copy** of the form and all other supporting material, to assist consultation. If you are submitting your application electronically, a single paper copy of the application must accompany your electronic data.

**IED application form: to be completed by the operator**

**For Local Authority use**

**Application reference**

**Officer reference**

**Date received**

**A The basics**

**A1 Name and address of the installation**

Name of the installation: \_\_\_\_\_

Address of the installation: \_\_\_\_\_

Postcode: \_\_\_\_\_ Telephone: \_\_\_\_\_

Ordnance Survey grid ref: \_\_\_\_\_

**A2 Details of any existing environmental permit or consent** *(for waste operations, please include planning permission for the site, including established use certificates, a certificate of lawful existing use, or why the General Permitted Development Order)*

Reference no.	Issuing regulator	Type of permit

**A3 Operator details** *(The 'operator' = the person who it is proposed will have control over the installation in accordance with the permit (if granted).)*

Operator name: \_\_\_\_\_  
(e.g. limited company)

Registered office address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Telephone: \_\_\_\_\_

Company registration number: \_\_\_\_\_

Principal office address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Telephone: \_\_\_\_\_

**A4 Any holding company?**

Is the operator a subsidiary of a holding company within the meaning of section 1159 of the Companies Act 2006? If "yes" please fill in details of the ultimate holding company.

No:  Yes:

Holding company name: \_\_\_\_\_

Registered office address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Telephone: \_\_\_\_\_

Company registration number: \_\_\_\_\_

Principal office address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Telephone: \_\_\_\_\_

**A5 Who can we contact about your application?**

Name & position: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

**B Site Plans**

Please provide:

- A suitable map showing the location of the installation clearly defining extent of the installations in red.

Document reference: \_\_\_\_\_

- A suitable plan showing the layout of activities on the site, including bulk storage of materials, waste storage areas and any external emission points to atmosphere.

Document reference: \_\_\_\_\_

- A suitable plan showing the site drainage system and all discharge points to drainage or watercourses.

Document reference: \_\_\_\_\_

**C Waste types and activities**

**C1 Waste types to be incinerated**

Complete Table 1 to provide a complete list of waste types to be incinerated in the plant (use a separate sheet if required):

**Table 1:**

Waste code:	Description:	Source:	Quantity (T per annum)

Or document reference: \_\_\_\_\_

**C2 Delivery and reception of waste**

Provide a description of the proposed waste reception and handling arrangements, including:

C2.2 how you will prevent or minimise the pollution of land, air and water.

C2.3 how you will prevent or minimise noise and odour and other potential risks to human health.

C2.4 how the mass of received waste will be measured.

Document reference: \_\_\_\_\_

**C3 Information about waste arriving at the site**

Provide details of how information about waste being accepted on site will be collected and checked. You must include:

- C3.2 how you will check the documentation accompanying the waste.
- C3.3 how you will confirm the suitability of the waste for combustion, including physical and (as far as practicable) chemical information.
- C3.4 how you will determine the precautions to be taken in handling the waste.
- C3.5 the sampling of waste to be undertaken to check that the documentation is accurate.

Document reference: \_\_\_\_\_

**D The small waste incineration plant**

**D1 Description of plant**

Provide full details and specification of the incineration plant and describe how the plant is or will be designed, equipped and will be maintained and operated in such a manner that the requirements of Chapter IV of the Industrial Emissions Directive will be met, including all relevant emission limit values, taking into account the categories of waste to be incinerated or co-incinerated:

Document reference: \_\_\_\_\_

**D2 Chimney height calculation and dispersion modelling**

Provide a chimney height calculation and full dispersion modelling information for the appliance described above, calculated in such a way as to safeguard human health and the environment:

Document reference: \_\_\_\_\_

**D3 Secondary combustion temperature and residence time**

Provide a secondary chamber residence time calculation or equivalent information from the manufacturer and state how this will be demonstrated on commissioning:

Document reference: \_\_\_\_\_

**D4 Energy recovery**

Provide a description of the proposed energy recovery from the incineration process, including measures taken to recover the heat generated during the incineration process as far as practicable through the generation of heat, steam or power:

Document reference: \_\_\_\_\_

**D5 Monitoring**

Provide full details of the proposed emissions monitoring, including continuous monitoring, recording systems and periodic extractive monitoring. If any monitoring has been undertaken please provide the details of emission concentrations and quantify in terms of mass emissions and emission limits in Annex VI of the Industrial Emissions Directive. If no monitoring has been undertaken please state this:

Document reference: \_\_\_\_\_

**D6 Prevention of operation in certain circumstances**

Describe how in the case of a breakdown or where the secondary combustion chamber temperature is less than 850°C you will reduce or closedown operations as soon as practicable until normal operations can be restored.

Detail the systems to be employed to prevent the feeding of waste into the plant until the secondary combustion chamber is at least 850°C during operation or in the event of the failure of waste gas cleaning systems:

Document reference: \_\_\_\_\_

**D7 Minimisation of residues**

Provide a description of the techniques/measures to be used to minimise the amount and harmfulness of any residues from the incineration process, including any proposed recycling:

Document reference: \_\_\_\_\_

**D8 Disposal of residues**

Provide a description of the techniques/measures to be used to dispose the residues which cannot be prevented, reduced or recycled in conformity with national and Union law:

Document reference: \_\_\_\_\_

**D9 Accidents and incidents**

Describe the action you propose to take in the event of accidents or incidents involving the incinerator. You should describe each type of incident and the appropriate response:

Document reference: \_\_\_\_\_

**D10 Waste waters**

Describe the precautions to be taken against the pollution of the soil, surface water or ground water. In particular, describe the containment arrangements for contaminated rainwater run-off from fire-fighting operations:

Document reference: \_\_\_\_\_

**E Management and training**

**E1 Competent persons**

Describe how the person who will be responsible for the day to day operation of the incineration plant will be selected and trained, and how that person's competence to operate the plant will be checked and reviewed:

Document reference: \_\_\_\_\_

**E2 Environmental management systems**

Describe the management systems to be used to ensure that you comply with the conditions of an environmental permit if the application is granted. In particular describe:

- E2.2 the schedule of maintenance covering all plant and equipment at the installation.
- E2.3 record keeping systems covering the acceptance of waste, recording of maintenance, records of emission monitoring, training.
- E2.4 how employees are to be trained in their responsibilities in respect of compliance with the conditions of an environmental permit if it is granted.
- E2.5 notification of relevant bodies in the event of an incident or abnormal emissions.

Document reference: \_\_\_\_\_

**F Application fee and annual charges**

The application cannot be processed unless the correct application fee is enclosed or payment has been made by another means.

**F1 Application fee**

The application fee is **£3,363**. Cheques should be made payable to 'Newcastle City Council' and posted to the address on the first page.

**F2 Annual charges**

If we grant you a permit, you will be required to pay an annual subsistence charge. Failure to do so will result in revocation of your permit and you will not be able to operate your installation. Please provide details of the address you wish invoices to be sent to and details of someone we may contact about fees and charges within your finance section.

Contact name and position: \_\_\_\_\_

Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

Invoice address: \_\_\_\_\_

Postcode: \_\_\_\_\_ Telephone: \_\_\_\_\_

## **G Protection of information**

### **G1 Any confidential or national security information in your application?**

If there is any information in your application you think should be kept off the public register for confidentiality or national security reasons, please say what and why. General guidance manual chapter 8 advises on what may be excluded. (Do not include any national security information in your application. Send it, plus the omitted information, to the Secretary of State or Welsh Ministers who will decide what, if anything can be made public.)

Document reference: \_\_\_\_\_

### **G2 Data protection**

The information you give will be used by the Council to process your application. It will be placed on the relevant public register and used to monitor compliance with the permit conditions. We may also use and or disclose any of the information you give us in order to:

- consult with the public, public bodies and other organisations,
- carry out statistical analysis, research and development on environmental issues,
- provide public register information to enquirers,
- make sure you keep to the conditions of your permit and deal with any matters relating to your permit
- investigate possible breaches of environmental law and take any resulting action,
- prevent breaches of environmental law,
- offer you documents or services relating to environmental matters,
- respond to requests for information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 (if the Data Protection Act allows)
- assess customer service satisfaction and improve our service.

We may pass on the information to agents/representatives who we ask to do any of these things on our behalf.

### **G3 It is an offence to provide false or misleading information**

It is an offence under regulation 38 of the Environmental Permitting (England and Wales) Regulations 2016, for the purpose of obtaining a permit (for yourself or anyone else), to:

- make a false statement which you know to be false or misleading in a material particular,
- recklessly make a statement which is false or misleading in a material particular
- intentionally to make a false entry in any record required to be kept under any environmental permit condition
- with intent to deceive, to forge or use a document issued or required for any purpose under any environmental permit condition.

If you make a false statement:

- we may prosecute you, and
- if you are convicted, you are liable to a fine or imprisonment (or both).

## H Declarations A and B for signing, please

*These declarations should be signed by the person listed in answer to question A3. Where more than one person is identified as the operator, all should sign. Where a company or other body corporate is the operator, an authorised person should sign and provide evidence of authority from the board.*

**Declaration A:** I/We certify

**EITHER-** No offences have been committed in the previous five years which are relevant to my/our competence to operate this installation in accordance with the Environmental Permitting (England and Wales) Regulations 2016.

**OR-** The following offences have been committed in the previous five years which may be relevant to my/our competence to operating this installation in accordance with the regulations:

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Signature: \_\_\_\_\_ Name: \_\_\_\_\_

Position: \_\_\_\_\_ Date: \_\_\_\_\_

**Declaration B:** I/We certify that the information in this application is correct. I/We apply for a permit in respect of the particulars described in this application (including the listed supporting documentation) I/we have supplied. *(Please note that each individual operator must sign the declaration themselves, even if an agent is acting on their behalf.)*

Signature: \_\_\_\_\_ Name: \_\_\_\_\_

Position: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_ Name: \_\_\_\_\_

Position: \_\_\_\_\_ Date: \_\_\_\_\_



## Relevant convictions for environmental permits

### Who you must tell us about

You must tell us if you, or anyone connected to the permit holder, has been convicted of one of the offences listed below. For companies and other corporate bodies, you must tell us about:

- the company
- directors, managers, company secretaries or similar officers
- other companies, if a director or company secretary of your company were officers of that company when they were convicted

For individuals, you must tell us about:

- the individual
- companies for which the individual is a director, manager, secretary or similar officer

For partnerships, you must tell us about:

- any of the partners
- partner convictions related to another business as well as the partnership

### Convictions you must tell us about

You must tell us about unspent convictions under the:

- Animal By-Products (Enforcement) (England) Regulations 2013
- Animal By-Products (Enforcement) (Wales) Regulations 2014
- Anti-social Behaviour, Crime and Policing Act 2014
- Bribery Act 2010
- Control of Major Accident Hazards Regulations 1999
- Control of Major Accident Hazards Regulations 2015
- Control of Pollution (Amendment) Act 1989, sections 1, 5 or 7
- Corporate Manslaughter and Corporate Homicide Act 2007
- Criminal Finances Act 2017
- Criminal Damage Act 1971
- Customs and Excise Management Act 1979, sections 170 and 170B
- End-of-Life Vehicles Regulations 2003
- End-of-Life Vehicles (Producer Responsibility) Regulations 2005
- Environment Act 1995, section 110
- Environmental Permitting (England and Wales) Regulations 2007
- Environmental Permitting (England and Wales) Regulations 2010
- Environmental Permitting (England and Wales) Regulations 2016
- Environmental Protection Act 1990
- Finance Act 1996 (Landfill Tax offences under Schedule 5, Part 4)
- Food and Environment Protection Act 1985, section 9
- Fraud Act 2006, section 1
- Hazardous Waste (England and Wales) Regulations 2005
- Hazardous Waste (Wales) Regulations 2005
- Health and Safety at Work etc. Act 1974
- Landfill Disposals Tax (Wales) Act 2017
- Legal Aid, Sentencing and Punishment of Offenders Act 2012, section 146
- Modern Slavery Act 2015
- Pollution Prevention and Control (England and Wales) Regulations 2000
- Proceeds of Crime Act 2002, Part 7
- Producer Responsibility Obligations (Packaging Waste) Regulations 2007
- Public Order Act 1986

- Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment Regulations 2012
- Scrap Metal Dealers Act 1964
- Scrap Metal Dealers Act 2013
- Serious Crime Act 2015
- Taxes Management Act 1970, section 106A
- Theft Act 1968, sections 1, 8, 9, 10, 11, 17, 18, 22 and 25
- Transfrontier Shipment of Waste Regulations 1994
- Transfrontier Shipment of Waste Regulations 2007
- VAT Act 1994, section 72
- Vehicles (Crimes) Act 2001, Part 1
- Waste (England and Wales) Regulations 2011, regulation 42
- Waste Batteries and Accumulators Regulation 2009
- Waste Electrical and Electronic Equipment Regulations 2006
- Waste Electrical and Electronic Equipment Regulations 2013
- Water Resources Act 1991, sections 202 and 206

You must also declare any unspent convictions under similar Scottish and Northern Irish legislation.

### What counts as a spent conviction

<i>Sentence</i>	<i>Becomes spent</i>
Fine	One year from the date of conviction
Community order	One year from the last day of the order
Prison up to and including 6 months	Prison term plus 2 years
Prison for between 6 and 30 months	Prison term plus 4 years
Prison for between 30 months and 4 years	Prison term plus 7 years
Prison for longer than 4 years	Never
Conditional discharge	At the end of the probation order
Absolute discharge	Immediately

Offences committed by corporate bodies do not become spent as the Rehabilitation of Offenders Act 1974 does not apply to them.

If you were under 18 when you were convicted, the spent times are different. Contact us for more information.

We may still consider spent relevant offences - but only if we believe it is necessary so that justice can be done.

The relevant offences may change if the law changes. This information is for guidance and is not a complete statement of the law.