

# Pollution Prevention and Control (Scotland) Regulations 2012

## Application for a Transfer or Partial Transfer of a Part A Permit

[PPC-A-F-Tra]

For information on accessing this document in an alternative format or language  
please contact SEPA by email at [equalities@sepa.org.uk](mailto:equalities@sepa.org.uk)

If you are a user of British Sign Language (BSL) the Contact Scotland BSL service  
gives you access to an online interpreter enabling you to communicate with us  
using sign language: <http://contactscotland-bsl.org/>

## How we use your personal information

Under the Data Protection Act 2018 (DPA 2018), we must have a legal basis for processing your information – in this case, processing personal information is necessary to perform our statutory duties ('Public Task').

Some of the ways in which we collect and use the information may be through:

- granting and administering of authorisations and maintaining registers
- investigating environmental complaints
- undertaking formal enforcement action
- maintaining our own accounts and records

The personal information we collect, and use may include the following: name; address, including postcode; email address and telephone number. SEPA is required, by law, to organise and maintain public registers, and make these registers available for public inspection.

We do this by collecting and using the personal information that applicants (or their agents) share in their applications for SEPA authorisations including permits.

After the application form has been processed, some of the information from the form is added to the public register and becomes available for public inspection. Personal email addresses, and telephone numbers are not published, unless publication is statutorily required.

There may be occasions when we are required by law to share your personal information with other organisations, e.g., for regulatory reasons, or because doing so is in the general public interest. Any sharing will be carried out lawfully and securely in accordance with the [SEPA Data Protection Policy](#).

For more information on how SEPA handles personal information, please refer to our general Privacy Policy at: [sepa.org.uk/help/privacy-policy/](https://sepa.org.uk/help/privacy-policy/)

## Introduction to Pollution Prevention & Control (PPC) Part A Permitting

### When to use this form

Use this form to apply to transfer or partially transfer a permit to operate a PPC Part A installation. If any activities listed under the heading “Part B” in any section of Part 1 of Schedule 1, or Schedule 2 of the PPC Regulations are also to be carried out at the installation, these activities should also be included in your application.

### Why SEPA requires the information requested

The information you provide will be used to determine your application. If SEPA is minded to grant your application, your permit will include conditions based on the general principles contained in the PPC regulations.

Our assessment will also include being satisfied that you will be the person in control over the operation of the installation and that you will ensure that the installation will be operated to comply with the conditions which will be included in your permit.

### Before you start to fill in the form

For an overview of the requirements of the PPC Regulations and the Part A application process, please refer to SEPA guidance [“IED-PPC-TG4 – A practical guide for Part A activities”](#).

We strongly recommend that you contact SEPA early in the process to discuss your proposals. Officers advise you on the application process and guide you towards all relevant technical guidance you are required to comply with, avoiding delays during the determination process.

### Which parts of the form do I need to complete?

Sections 1 to 10 of the form should be completed by all applicants.

Additional information is required for the activities defined in the relevant sections of the PPC Regulations 2012 as outlined below:

#### Appendix 1: Specified Waste Management Activities

Activities defined under Schedule 1, sections:

- 5.1 Part A
- 5.2 Part A,
- 5.3 Part A,
- 5.4 Part A; and
- 5.6 Part A.

## When submitting information

Please ensure the following:

- All documents submitted with your application are clearly labelled.
- An appropriate reference to each document is entered in each relevant part of your application form.
- Any continuation sheets are clearly labelled and that an appropriate reference to these is entered in each relevant part of your application form.
- All documents created by you or on your behalf and submitted with your application include a date and version number.

## Application fee

Application fees are published in [SEPA's Charging Scheme](#), which is updated annually.

Please see our Charging Scheme and associated guidance for further information.

## Where to apply

Please return this form together with all supporting information and correct payment, by email to [registry@sepa.org.uk](mailto:registry@sepa.org.uk) or to the following address:

SEPA  
Angus Smith Building  
6 Parklands Avenue  
Motherwell  
ML1 4WQ

## After you apply

You will receive confirmation that we have received your application.

If you have any queries please contact: [ppcpermitting@sepa.org.uk](mailto:ppcpermitting@sepa.org.uk)

## Section 1: About your authorisation

### Guidance note:

For further information please refer to SEPA guidance [IED-PPC-TG4 – A practical guide for Part A activities](#).

Please provide the information requested below:

### 1.1 Details of your authorisation

Permit number:											
Previous variations:											
Name of installation:											
Address:											
Postcode:											
National Grid Reference: <a href="#">NGR Tool (sepa.org.uk)</a>											

## Section 2: Authorised Contact

### Guidance note:

The Authorised Contact is the person authorised to be contacted by us in relation to your application. This can be an agent or a consultant with the relevant authority to act on your behalf.

**Please provide the information requested below:**

### 2.1 Who can we contact about your application?

Name:	
Company (if different to applicant):	
Position:	
Address:	
Postcode:	
Phone number:	
Email:	

## Section 3: About the current operator (Transferor)

### Guidance note:

Please provide the details of current operator who is named on the permit, below.

### Please provide the information requested below:

#### 3.1 Is the current operator an individual (including sole trader), a partnership or a company/corporate body?

	Please tick one:	
Individual (including sole trader):	<input type="checkbox"/>	Go to question 3.2
Partnership:	<input type="checkbox"/>	Go to question 3.3
Company or corporate body:	<input type="checkbox"/>	Go to question 3.4a & 3.4b

#### 3.2 Individual (including sole trader) - Please complete the table below:

Name:	
Trading name (if applicable):	
Business address:	
Postcode:	
Phone number:	
Email address:	

#### 3.3 Partnership - Please complete the table below:

Name of partnership:	
Principal office address:	
Postcode:	

Phone number:	
Email address:	
Please provide evidence of status, for example partnership agreement.	

### 3.4a Companies or corporate body - Please complete the table below & 3.4b:

Company or corporate body name:	
Trading/business name (if different):	
Registered/ principal office address:	
Postcode:	
Contact name:	
Phone number:	
Email address:	
Company registration number (if applicable):	

### 3.4b Companies or corporate body continued: Is the operator a subsidiary of a holding company within the meaning of Section 1159 of the Companies Act 2006?

Please choose 'Yes' or 'No':	Choose an item.
If <b>'Yes'</b> , please provide the information below:	
Ultimate holding company name:	
Ultimate holding company address:	
Postcode:	
Ultimate holding company registration number:	



## Section 4: About the proposed new operator (Transferee)

### Guidance Note:

The new operator must be the person who will have control over the operation of the installation and will ensure that the installation will be operated so as to comply with the conditions in the permit.

Please provide details of the proposed new operator below.

### 4.1 Is the proposed new operator an individual (including sole trader), a partnership or a company/corporate body?

	Please tick one:	
Individual (including sole trader):	<input type="checkbox"/>	Go to question 4.2
Partnership:	<input type="checkbox"/>	Go to question 4.3
Company or corporate body:	<input type="checkbox"/>	Go to question 4.4a & 4.4b

### 4.2 Individual (including sole trader) - Please complete the table below:

Name:	
Trading name (if applicable):	
Business address:	
Postcode:	
Phone number:	
Email address:	

### 4.3 Partnership - Please complete the table below:

Name of partnership:	
Principal office address:	

Postcode:	
Phone number:	
Email address:	
Please provide evidence of status, for example partnership agreement.	

#### 4.4a Companies or corporate body - Please complete the table below & 4.4b:

Company or corporate body name:	
Trading/business name (if different):	
Registered/ principal office address:	
Postcode:	
Contact name:	
Phone number:	
Email address:	
Company registration number (if applicable):	

#### 4.4b Companies or corporate body continued: Is the operator a subsidiary of a holding company within the meaning of Section 1159 of the Companies Act 2006?

Please choose 'Yes' or 'No':	Choose an item.
If <b>'Yes'</b> , please provide the information below:	
Ultimate holding company name:	
Ultimate holding company address:	
Postcode:	
Ultimate holding company registration number:	

## Section 5: About your pre-application discussion

### Guidance note:

Pre-application discussions with SEPA can help to ensure that the application you submit is complete and duly made, and to avoid potential delays in the determination process.

These discussions can include, for example:

- Whether a transfer application is required or suitable for the changes being undertaken.
- If undertaking a Specified Waste Management Activity, what type of information will require to be submitted to demonstrate that the proposed new operator is a 'fit and proper person'.

### 5.1 Pre-application discussions:

If you have had any pre-application discussions with us before submitting your application, please provide the name of the officer discussions were held with and provide a summary of the discussions on a separate sheet:

Officer Name:	
Document reference:	

### 5.2 Have there been any changes to your proposal since these discussions?

Please choose 'Yes' or 'No':	Choose an item.
If 'Yes', highlight changes made since initial pre-application discussions.	

## Section 6: About the proposed transfer

### Guidance note:

A full transfer is the transfer of all the permitted activities to a new operator.

A partial transfer is the transfer of some of the permitted activities to a new operator.

For further information please refer to SEPA guidance IED-PPC-TG4 – A practical guide for Part A activities.

### 6.1 Is this an application for a full or a partial transfer?

	Tick one	
Full Transfer	<input type="checkbox"/>	Go to section 7.
Partial Transfer	<input type="checkbox"/>	Continue with section 6.

## 6.2 Complete the Table 6.1 & 6.2 below with details of all the proposed activities and operators at the whole installation:

### Guidance Note:

For further information please see our guidance documents.

- SEPA Guidance [IED-PPC-TG4 PPC Part A Installation: Guide for Applicants](#)

### Table 6.1: Stationary technical unit:

- Column 1: Identify all currently regulated activities stated in the permit.
- Column 2: Provide the legislative reference for the activity.
- Column 3: Provide the name of the current operator for each activity.
- Column 4: Provide the name of the proposed new operator for each activity.

### Table 6.2: Directly associated activities:

- Have a technical connection with the activities in the stationary technical unit,
- Could have an effect on pollution.

Please identify any directly associated activities and identify who will be operating these:

- Column 1: Identify all currently defined Directly Associated Activities stated in the permit.
- Column 2: Provide the name of the current operator for each activity.
- Column 3: Provide the name of the proposed new operator for each activity.

**Table 6.1: Activities in the Stationary Technical Unit:**

Activities In the Stationary Technical Unit	PPC Schedule 1 or 2 Reference	Current Operator	Proposed Operator
EXAMPLE: Non ferrous metal foundry	Schedule 1, Section 2.2, Part A b) ii)	AN Other	J Bloggs

**Table 6.2: Directly Associated Activities:**

Directly Associated Activity	Current Operator	Proposed Operator
EXAMPLE: boiler water treatment chemical storage	AN Other	J Bloggs

**6.3 Provide a site map or plan showing the location of the site which clearly identifies the new site and installation boundaries for both the transferor and transferee.**

**Guidance note:**

The site boundary and installation boundary may not necessarily be the same. If this is a multi-operator installation each operational area must be demarcated in a different colour.

The plan will be used in the permit, and potentially on our GIS system, and should contain the following:

- Preferably be submitted in one of the following digital image formats; .EPS or .SVG vector file.
- Should clearly identify the site boundary and installation boundary.
- Have a scale and have north clearly marked.
- Should be clearly dated and have a version number.

Document reference:

**6.4 Provide a written description of the processes to be carried out by each operator at the site.**

Document reference:



## Section 7: Application and subsistence fees

### Guidance note:

Please refer to our current charging scheme and associated guidance for the applicable fee. If in doubt, please contact: [ppcpermitting@sepa.org.uk](mailto:ppcpermitting@sepa.org.uk).

It is not possible to pay for your application fees by invoice.

SEPA cannot process your application until proof of payment is received along with the completed application form.

SEPA will retain some or all of the application fee even if the application is returned as not being duly made, or is withdrawn prior to a final determination being made.

### Please provide the information requested below:

#### 7.1 Please confirm your application fee & payment method below.

<b>Fee:</b>		£	
<b>Payment method:</b>			
<b>BACS</b> <input type="checkbox"/>	Sort code:	83-34-00	
	A/C Number:	00137187	
	A/C Name:	SEPA	
	Proof of payment submitted:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Proof of payment reference:		
<b>Online card payment</b> <input type="checkbox"/> <a href="https://webpayments.sepa.org.uk/">https://webpayments.sepa.org.uk/</a>	Proof of payment submitted:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Proof of payment reference:		
<b>Cheque</b> <input type="checkbox"/>	Cheque submitted:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Make payable to "SEPA" and submit with your application		

## 7.2 New operator - Please provide invoice details for subsistence fees.

### Guidance note:

If a permit transfer is granted, operators will be charged an annual subsistence fee, which will vary year on year.

If a full transfer has been applied for, responsibility for the subsistence fees will fall to the new operator.

If a partial transfer has been applied for both parties will be responsible for an annual subsistence fee which will depend on the detail of the transfer.

Please provide details of the new operator address to which invoices must be sent to and details of someone we may contact about fees and charges.

SEPA's annual subsistence charge is made up of an 'Activity Component' and an 'Environmental Component'.

- The 'Activity Component' can be found alongside the application fee in the current charging scheme. Discounts are applied for one or more activities.
- The 'Environmental Component' is only applied to larger activity types. It considers the environmental significance of these and looks to recover the remainder of our indirect costs (for example those associated with environmental monitoring, data management and reporting). The charging scheme indicates if an 'Environmental component' applies.

Name:

Position:

Individual/Partnership/  
Company name:

Address:

Postcode:

Telephone number:

Email:

## Section 8: Commercial confidentiality and national security

### Guidance note:

Further information on commercial confidentiality and national security can be found in SEPA guidance IED-PPC-TG4 A practical guide to Part A Activities.

The presumption is that information will be placed on the Public Register unless there are grounds to exclude it.

SEPA considers information to be commercially confidential if including it in the register would prejudice, to an unreasonable degree, the commercial interests of that individual or person.

The onus is on the applicant to provide sufficient evidence to demonstrate any claim that information is commercially confidential.

Where SEPA does not determine the information to be commercially confidential the applicant may appeal the decision to the Scottish Ministers.

SEPA will assess any commercial confidentiality claim and allow any subsequent appeals to be concluded before starting consultation.

Information which the Secretary of State or Scottish Ministers has directed may affect national security must not be placed on the Public Register.

Do not provide any information which may affect national security on this form.

If you believe information may affect national security but there is no direction, then you should notify the Secretary of State or Scottish Ministers of your concern.

### Please provide the information requested below:

#### 8.1 Is there any information in your application that you believe should be kept from the Public Register on the grounds of commercial confidentiality?

Please choose 'Yes' or 'No':	Choose an item.
If <b>'Yes'</b> , please provide:	
A summary document clearly defining what the specific information it is that you regard as commercially confidential and why.	<input type="checkbox"/>
Two copies of the documents containing the specific information: <ul style="list-style-type: none"> <li>• one copy marked - "Commercially Confidential" and</li> <li>• another marked - "Redacted for the Public Register"</li> </ul>	<input type="checkbox"/>

**8.2 Is there is any information in the application that you believe should be kept from the Public Register on the grounds of national security?**

Please choose 'Yes' or 'No':

Choose an item.

If **'Yes'** please provide full information, including a copy of any existing direction, on a separate sheet which is clearly marked as "National Security".

**8.3 In relation to information which you think may affect national security, have you notified the Secretary of State or Scottish Ministers?**

Please choose 'Yes' or 'No':

Choose an item.

If **'Yes'**, please provide full information on a separate sheet which is clearly marked as National Security.

**Section 9: Any other information**

**9.1 Is there any other information you wish to submit in support of your application?**

Please choose 'Yes' or 'No':

Choose an item.

If **'Yes'** please provide full details and document reference:

## Section 10: Declaration

### Guidance note:

Knowingly or recklessly submitting false or misleading information is an offence.

### Declaration: Please read and confirm all statements below

We are the applicants/ We are authorised to submit this application on behalf of the applicants.	<input type="checkbox"/>
The applicants apply for a transfer in respect of the particulars contained in this application (including any supporting documentation that has been supplied).	<input type="checkbox"/>
I / We certify that the information contained in this application is correct.	<input type="checkbox"/>
I / We confirm that any person whose personal information is included in this application has been made aware of the statement headed " <i>How we use your personal information – Data Protection Act 2018 ('DPA 2018')</i> " and <a href="#">SEPA privacy policy</a> .	<input type="checkbox"/>

### Declaration: Please complete and sign below

#### Declaration of Current Operator (Transferor)

Name of person submitting application:	
On behalf of (insert name of applicant – if applicable)	
Position of applicant (e.g. director, secretary, authorised signatory):	
Date:	

#### Declaration of proposed New Operator (Transferee)

Name of person submitting application:	
On behalf of (insert name of applicant – if applicable)	
Position of applicant (e.g. director, secretary, authorised signatory):	
Date:	

## Additional Information Appendices

For the activity listed below, we are required by the PPC regulations to request additional information to enable us to make a full assessment of the application. The required information is outlined in the appendix and should be included in the application if applicable.

### Appendix 1: Specified Waste Management Activities

Activities defined under Schedule 1, sections:

- 5.1 Part A
- 5.2 Part A,
- 5.3 Part A,
- 5.4 Part A; and
- 5.6 Part A.

## Appendix 1: Specified Waste Management Activities

### Guidance note:

This appendix should be completed by the proposed operator (transferee) for any application which includes a Specified Waste Management Activity, which is any activity under sections 5.1, 5.2, 5.3, 5.4 or 5.6 of the regulations.

Under PPC 2012 a fit and proper person check is required which includes the following:

- Relevant offences
- Technical competence
- Financial provision

SEPA cannot grant a transfer for a SWMA to the proposed operator (transferee) unless we are satisfied they are a 'fit and proper person' to carry out the activity.

We also need to be satisfied that appropriate planning permission, if required, is in force for the use of the site for the activity.

Please provide the following information:

### Planning status

#### A1.1 Do you have planning permission to undertake the activity/ activities included in your application?

Please choose 'Yes' or 'No':	Choose an item.
If <b>'Yes'</b> please provide the planning permission reference and a copy of the planning permission and any subsequent amendments:	
If <b>'No'</b> , which of the following apply to the activity this application relates to:	
	Select one:
Certificate of lawful use or development which covers the activity/ activities this application relates to and provide a copy.	<input type="checkbox"/>
The Town & Country Planning (General Permitted Development) (Scotland) Order 1992 or other relevant orders applies.	<input type="checkbox"/>
Planning permission is not required (please provide evidence of this).	<input type="checkbox"/>
Please provide details in relation to the chosen option above:	
Document reference:	

## Relevant persons

### A1.2 Has the proposed operator (transferee), or any other 'relevant person', been convicted of any 'relevant offence'?

#### Guidance note:

A person shall be treated as not being a fit and proper person to hold a waste management permit if it appears to SEPA that they, or another relevant person, has been convicted of a relevant offence. SEPA may, if it considers it proper to do so in any case, treat a person as fit and proper notwithstanding the existence of a conviction for a relevant offence.

The definition of a relevant person includes any director of or partner in the applicant who has themselves been convicted of a relevant offence, or who was a director, or partner of another company, or partnership, which has been convicted of a relevant offence and of which they were a director or partner when that offence was committed.

SEPA will carry out its own checks for convictions for relevant offences and if any are identified we may contact the applicant to ask for further information.

To carry out our relevant conviction checks we therefore require:

- for, a partnership - the full name and date of birth for each of the partners or,
- for a company - the full name and date of birth of each of the directors and the company secretary

We will carry out checks at Companies House to verify the information provided.

Please provide full information required above in a separate document:



## Technical competence

### A1.3 Who will provide the technically competent management of the specified waste management activities?

**Guidance note:**

Technical competence can be demonstrated by providing a qualification awarded by the Waste Management Industry Training Advisory Board (WAMITAB) or other equivalent body or scheme.

Further guidance can be found in the following SEPA Guidance:

- IED-PPC-TG4 Pollution Prevention and Control (PPC) Technical Guidance: A practical guide for Part A activities.
- [WST-G-002 Guidance regarding Provision and Assessment of Technically Competent Management at Licensed Waste Management Facilities.](#)

Please give details for each technically competent person and provide a copy of the relevant certificate.

	Full name	Position	Awarding body	Date	Reference number for copy of certificate
1					
2					
3					

## Management of other installations

**A1.4 Are any of these technically competent people, referred to in A1.3, already providing the technically competent management at other PPC installations or at sites licensed under Part II of the Environmental Protection Act 1990?**

Please choose 'Yes' or 'No':

Choose an item.

If **'No'** go to question A1.5.

If **'Yes'** please provide full information in the box below:

	Full name	Position	Site/installation name and address:	Licence/permit number:
1				
2				
3				

## Financial provision

### A1.5 How does the operator intend to make financial provision for the specified waste management activities?

Please only select one option.

#### Guidance note:

We cannot issue a permit unless you have financial provision in place. We will need to see copies of the relevant documents.

The amount of financial provision required is based on the quantity of waste stored on site and the amount this would cost to clear the site.

Please see SEPA guidance 'WST-G-031 Financial Provision for Non-Landfill Waste Management Activities for further information'.

Credit check	<input type="checkbox"/>	
3 months of financial statements	<input type="checkbox"/>	
Renewable bonds	<input type="checkbox"/>	
Bonds	<input type="checkbox"/>	
Bank guarantee	<input type="checkbox"/>	
Parent company guarantee	<input type="checkbox"/>	Go to A1.6
Document reference:		

### A1.6 Where appropriate, please confirm the type of parent company guarantee.

Parent company guarantee – please include a copy of the parent company's audited trading accounts for the last three years (or for the period of trading if less than three years).

Escrow account	
Trust fund	
Insurance captive	
Lump sum	
Other (please specify)	

## Expenditure plan

**A1.7 Please provide a plan of the estimated expenditure for each phase of the specified waste management activities as agreed with the proposed new operator (transferee).**

**Guidance note:**

The plan should include the likely costs of:

- Monitoring and maintenance
- Clearing the installation (including drainage systems) of all wastes
- Remedial action in the event of the failure of pollution control systems.

Document reference: