

Draft Regulations laid before Senedd Cymru under section 21(3) of the Environmental Protection (Single-use Plastic Products) (Wales) Act 2023, for approval by resolution of Senedd Cymru.

DRAFT WELSH STATUTORY
INSTRUMENTS

2023 No. (W.)

**ENVIRONMENTAL
PROTECTION, WALES**

**TRIBUNALS AND INQUIRIES,
WALES**

**The Environmental Protection
(Single-use Plastic Products) (Civil
Sanctions) (Wales) Regulations
2023**

EXPLANATORY NOTE

(This note is not part of the Regulations)

These Regulations are made under section 17 of the Environmental Protection (Single-use Plastic Products) (Wales) Act 2023. They enable a local authority, as regulator, to impose civil sanctions in relation to the offence under section 5 of that Act.

The civil sanctions are fixed monetary penalties, variable monetary penalties, compliance notices, stop notices and enforcement undertakings (regulation 3).

The Regulations make provision for the procedure relating to fixed monetary penalties (Schedule 1), variable monetary penalties, compliance notices and third party undertakings (Schedule 2), stop notices (Schedule 3) and enforcement undertakings (Schedule 4).

They permit the regulator to serve a non-compliance notice imposing a penalty in the event of non-compliance with a compliance notice or third party undertaking (regulation 7).

Under regulation 8 the regulator may serve an enforcement cost recovery notice in relation to investigation and administration costs incurred by the

regulator, and the costs of the regulator in obtaining expert advice.

Regulation 10 sets out the appeal mechanism. Appeals are to the First-tier Tribunal.

Regulations 11 to 13 provide that guidance must be prepared and consulted on relating to the use of civil sanctions, and regulation 14 provides for publication of information on enforcement action taken by the regulator.

The Welsh Ministers' Code of Practice on the carrying out of Regulatory Impact Assessments was considered in relation to these Regulations. As a result, a regulatory impact assessment has been prepared as to the likely costs and benefits of complying with these Regulations. A copy can be obtained from the Environmental Protection Division, Welsh Government, Cathays Park, Cardiff, CF10 3NQ.

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2023**

Made

Coming into force

1 December 2023

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The Welsh Ministers make these Regulations in exercise of the powers conferred by section 17(2) of the Environmental Protection (Single-use Plastic Products) (Wales) Act 2023(1) (“the 2023 Act”).

The Welsh Ministers have consulted the Secretary of State in accordance with section 59(3) of the Regulatory Enforcement and Sanctions Act 2008(2) (“the 2008 Act”) and have carried out consultation in accordance with section 60(1) and (2) of that Act(3).

The Welsh Ministers are satisfied, in accordance with section 66 of the 2008 Act, that local authorities (who are the regulator for the purpose of these Regulations) will act in accordance with the principles referred to in section 5(2) of that Act in exercising a power conferred by these Regulations.

(1) 2023 asc 2.

(2) 2008 (c.13).

(3) Section 17 of the 2023 Act applies provisions in the 2008 Act to regulations made under that section.

A draft of these Regulations has been laid before, and approved by resolution of, Senedd Cymru, in accordance with section 21(3) of the 2023 Act.

PART 1

Introduction

Title, commencement and interpretation

1.—(1) The title of these Regulations is the Environmental Protection (Single-use Plastic Products) (Civil Sanctions) (Wales) Regulations 2023.

(2) These Regulations come into force on 1 December 2023.

(3) Except where these Regulations make contrary provision, terms defined in Part 3 of Regulatory Enforcement and Sanctions Act 2008 have the same meaning in these Regulations.

(4) In these Regulations—

“the 2023 Act” (“*Deddf 2023*”) means the Environmental Protection (Single-use Plastic Products) (Wales) Act 2023;

“local authority” (“*awdurdod lleol*”) means a county council or county borough council for an area in Wales;

“person” (“*person*”) means the descriptions of person set out in section 5(2) (offence of supplying prohibited single-use plastic product) of the 2023 Act except where the context requires otherwise.

Regulator

2. A local authority is the regulator for the purposes of these Regulations.

PART 2

Civil sanctions, notices and undertakings

Civil sanctions, notices and undertakings

3.—(1) Schedule 1 makes provision for fixed monetary penalties.

(2) Schedule 2 makes provision for variable monetary penalties, compliance notices and third party undertakings.

(3) Schedule 3 makes provision for stop notices.

(4) Schedule 4 makes provision for enforcement undertakings.

Scope

4. These Regulations relate to an offence under section 5 (offence of supplying prohibited single-use plastic product) of the 2023 Act.

Combination of sanctions

5.—(1) The regulator may not serve a notice of intent relating to a fixed monetary penalty if a variable monetary penalty has been imposed or a compliance notice or stop notice has been served on that person relating to the same act or omission.

(2) The regulator may not serve a notice of intent relating to a variable monetary penalty or compliance notice, or serve a stop notice, on any person if, in relation to the same act or omission—

- (a) a fixed monetary penalty has been imposed on that person, or
- (b) that person has discharged liability for a fixed monetary penalty following service of a notice of intent to impose that penalty.

PART 3

Non-compliance and enforcement

Recovery of payments

6. The regulator may recover any fixed monetary penalty, variable monetary penalty or non-compliance penalty on the order of a court, as if payable under a court order.

Non-compliance penalties

7.—(1) If a person fails to comply with a compliance notice or a third party undertaking, the regulator may serve a notice on that person imposing a monetary penalty (“a non-compliance penalty”) in respect of the same offence irrespective of whether a variable monetary penalty was also imposed in respect of that offence.

(2) The amount of the penalty must be determined by the regulator, and must be a percentage of the costs of fulfilling the remaining requirements of the notice or third party undertaking.

(3) The percentage must be determined by the regulator having regard to all the circumstances of the case and may, if appropriate, be 100%.

(4) The notice must include information as to—

- (a) the grounds for imposing the non-compliance penalty;
- (b) the amount to be paid;

- (c) how payment must be made;
- (d) the period in which payment must be made, which must not be less than 28 days;
- (e) the right of appeal;
- (f) the consequences of failure to make payment in the specified period;
- (g) any circumstances in which the regulator may reduce the amount of the penalty.

(5) If the requirements of the compliance notice are complied with or a third party undertaking is fulfilled before the time set for payment of the non-compliance penalty, the penalty is not payable.

(6) The person on whom the notice imposing the non-compliance penalty is served may appeal against it.

(7) The grounds of appeal are—

- (a) that the decision to serve the notice was based on an error of fact;
- (b) that the decision was wrong in law;
- (c) that the decision was unfair or unreasonable for any reason;
- (d) that the amount of the penalty was unreasonable;
- (e) any other similar reason.

Enforcement cost recovery notices

8.—(1) The regulator may serve a notice (“enforcement cost recovery notice”) on a person on whom a variable monetary penalty notice, compliance notice or stop notice has been served requiring that person to pay the costs incurred by the regulator in relation to the imposition of that notice up to the time of its imposition.

(2) Costs include in particular—

- (a) investigation costs;
- (b) administration costs;
- (c) costs of obtaining expert advice (including legal advice).

(3) The enforcement cost recovery notice must specify—

- (a) the grounds for imposing the notice;
- (b) the amount required to be paid;
- (c) how payment must be made;
- (d) the period in which payment must be made, which must not be less than 28 days;
- (e) the right of appeal; and
- (f) the consequences of failure to comply with the notice in the specified period.

(4) The person on whom the notice is served may require the regulator to provide a detailed breakdown of the amount.

(5) The person required to pay costs is not liable to pay any costs shown by that person to have been unnecessarily incurred.

(6) The person required to pay costs may appeal—

- (a) against the decision of the regulator to impose the requirement to pay costs;
- (b) against the decision of the regulator as to the amount of those costs; or
- (c) for any other similar reason.

PART 4

Administration

Withdrawing or amending a notice

9. The regulator may at any time in writing—

- (a) withdraw a fixed monetary penalty notice;
- (b) withdraw a variable monetary penalty notice, a non-compliance penalty notice or an enforcement cost recovery notice or reduce the amount specified in the notice;
- (c) withdraw a compliance notice or stop notice or amend the steps specified in the notice to reduce the amount of work necessary to comply with the notice.

Appeals

10.—(1) An appeal under these Regulations is to the First-tier Tribunal.

(2) In any appeal (except in relation to a stop notice) where the commission of an offence is an issue requiring determination, the regulator must prove that offence according to the same burden and standard of proof as in a criminal prosecution.

(3) In any other case the Tribunal must determine the standard of proof.

(4) All notices (other than stop notices) are suspended pending appeal.

(5) The Tribunal may suspend or vary a stop notice.

(6) The Tribunal may, in relation to the imposition of a requirement or service of a notice—

- (a) withdraw the requirement or notice;
- (b) confirm the requirement or notice;
- (c) vary the requirement or notice;

- (d) take such steps as the regulator could take in relation to the act or omission giving rise to the requirement or notice;
- (e) remit the decision whether to confirm the requirement or notice, or any matter relating to that decision, to the regulator.

Guidance as to use of civil sanctions

11.—(1) Where power is conferred on the regulator in these Regulations to impose a civil sanction in relation to an offence—

- (a) the regulator must publish guidance about its use of the sanction;
- (b) in the case of guidance relating to a fixed monetary penalty, variable monetary penalty, compliance notice or stop notice, the guidance must contain the relevant information;
- (c) the regulator must revise the guidance where appropriate;
- (d) the regulator must have regard to the guidance or revised guidance in exercising its functions.

(2) In the case of guidance relating to a fixed monetary penalty, the relevant information referred to in paragraph (1)(b) is information as to—

- (a) the circumstances in which the penalty is likely to be imposed;
- (b) the circumstances in which it may not be imposed;
- (c) the amount of the penalty;
- (d) how liability for the penalty may be discharged and the effect of discharge; and
- (e) rights to make representations and objections and rights of appeal.

(3) In the case of guidance relating to a variable monetary penalty or a compliance notice, the relevant information referred to in paragraph (1)(b) is information as to—

- (a) the circumstances in which the requirement is likely to be imposed;
- (b) the circumstances in which it may not be imposed;
- (c) in the case of a variable monetary penalty, the matters likely to be taken into account by the regulator in determining the amount of the penalty (including voluntary reporting by any person of their own non-compliance); and
- (d) rights to make representations and objections and rights of appeal.

(4) In the case of guidance relating to a stop notice, the relevant information referred to in paragraph (1)(b) is information as to—

- (a) the circumstances in which the regulator is likely to serve the notice;
- (b) the circumstances in which it may not be imposed; and
- (c) rights of appeal.

Additional guidance

12. The regulator must issue guidance relating to the use of non-compliance penalties and enforcement cost recovery notices specifying—

- (a) the circumstances in which they are likely to be imposed;
- (b) the circumstances in which they may not be imposed;
- (c) matters to be taken into account in establishing the amount involved;
- (d) rights of appeal.

Consultation on guidance

13. The regulator must consult such persons as it considers appropriate before publishing any guidance or revised guidance under these Regulations.

Publication of enforcement action

14.—(1) Where a power is conferred on the regulator to impose a civil sanction under these Regulations in relation to an offence, the regulator must from time to time publish reports specifying—

- (a) the cases in which the civil sanction has been imposed;
- (b) where the civil sanction is a fixed monetary penalty, the cases in which liability to the penalty has been discharged by payment of the penalty following the notice of intent and without further action being taken;
- (c) where the civil sanction is a variable monetary penalty or compliance notice, the cases in which a third party undertaking has been accepted;
- (d) cases in which an enforcement undertaking has been entered into.

(2) In paragraph (1)(a) the reference to cases in which the civil sanction has been imposed does not include cases where the sanction has been imposed but overturned on appeal.

(3) This regulation does not apply in cases where the Welsh Ministers consider that publication would be inappropriate.

Name

Minister for Climate Change, one of the Welsh Ministers

Date

SCHEDULE 1 Regulation 3

Fixed monetary penalties

Power to impose a fixed monetary penalty

1.—(1) The regulator may by notice impose a fixed monetary penalty on a person in relation to an offence under section 5 of the 2023 Act.

(2) Before doing so the regulator must be satisfied beyond reasonable doubt that the person has committed the offence.

(3) The amount of penalty to be paid to the regulator as a fixed monetary penalty is £200.

Notice of intent

2.—(1) Where the regulator proposes to impose a fixed monetary penalty on a person, the regulator must serve on that person a notice of what is proposed (a “notice of intent”).

(2) The notice of intent must include—

- (a) the grounds for the proposal to impose the fixed monetary penalty;
- (b) the amount of the penalty;
- (c) a statement that liability for the penalty can be discharged by paying 50% of the penalty within 28 days beginning with the day on which the notice was received;
- (d) information as to—
 - (i) the effect of that discharge payment;
 - (ii) the right to make representations and objections within 28 days beginning with the day on which the notice of intent was received;
 - (iii) the circumstances in which the regulator may not impose the requirement (including any defences relating to the offence in relation to which the notice is served).

Discharge of liability

3. The penalty is discharged if a person who receives a notice of intent pays 50% of the amount of the penalty within 28 days beginning with the day on which the notice was received.

Making representations and objections

4. A person on whom a notice of intent is served may within 28 days beginning with the day on which

the notice was received make written representations and objections to the regulator in relation to the proposed imposition of the fixed monetary penalty.

Service of final notice

5.—(1) If the person who has received a notice of intent does not discharge liability within 28 days the regulator may serve a final notice imposing a fixed monetary penalty.

(2) The regulator may not serve a final notice on a person where the regulator is satisfied that the person would not, by reason of any defence, be liable to be convicted of the offence to which the notice relates.

(3) A regulator who serves a final notice relating to a fixed monetary penalty may not serve any other notice under these Regulations in relation to the offence.

Contents of final notice

6. A final notice must include information as to—

- (a) the amount of the penalty;
- (b) the grounds for imposing the penalty;
- (c) how payment may be made;
- (d) the period of 56 days within which payment must be made;
- (e) details of the early payment discounts and late payment penalties;
- (f) rights of appeal; and
- (g) the consequences of non-payment.

Discount for early payment

7. If a person who was served with a notice of intent made representations or objections concerning that notice within the time limit, that person may discharge the final notice by paying 50% of the penalty within 28 days beginning with the day on which the final notice was received.

Grounds of appeal

8.—(1) The person receiving the final notice may appeal against it.

(2) The grounds for appeal are—

- (a) that the decision was based on an error of fact;
- (b) that the decision was wrong in law;
- (c) that the decision was unreasonable;
- (d) any other similar reason.

Non-payment after 56 days

9.—(1) The penalty must be paid within 56 days of receipt of the final notice.

(2) If the penalty is not paid within 56 days the amount payable is increased by 50%.

(3) In the case of an appeal it is payable within 28 days of the determination of the appeal (if the appeal is unsuccessful), and if it is not paid within 28 days the amount of the penalty is increased by 50%.

Criminal proceedings

10.—(1) If a notice of intent for a fixed monetary penalty is served on any person—

- (a) no criminal proceedings for the offence may be instituted against that person in respect of the act or omission to which the notice relates before 28 days from the date the notice of intent is received, and
- (b) if that person so discharges liability, that person may not at any time be convicted of the offence in relation to that act or omission.

(2) If a fixed monetary penalty is imposed on any person, that person may not at any time be convicted of the offence in respect of the act or omission giving rise to the penalty.

SCHEDULE 2 Regulation 3

Variable monetary penalties, compliance notices and third party undertakings

Imposition of a variable monetary penalty or compliance notice

1.—(1) The regulator may by notice impose—

- (a) a requirement to pay a monetary penalty to the regulator of such amount as the regulator may determine (“a variable monetary penalty”);
- (b) a requirement to take such steps as the regulator may specify, within such period as it may specify, to secure that the offence does not continue or recur (“a compliance notice”);

or a combination of these requirements, in relation to an offence under section 5 of the 2023 Act.

(2) Before doing so the regulator must be satisfied beyond reasonable doubt that the person has committed the offence.

(3) A requirement under this paragraph may not be imposed on a person on more than one occasion in relation to the same act or omission.

(4) Before serving a notice relating to a variable monetary penalty the regulator may require the person to provide such information as is reasonable to establish the amount of any financial benefit arising as a result of the offence.

Notice of intent

2.—(1) Where the regulator proposes to impose a requirement under this Schedule on a person, the regulator must serve on that person a notice of what is proposed (a “notice of intent”).

(2) In the case of a proposed compliance notice the notice of intent must include—

- (a) the grounds for the proposed notice;
- (b) the requirement of the notice;
- (c) information as to—
 - (i) the right to make representations and objections within 28 days beginning with the day on which the notice of intent was received;
 - (ii) the circumstances in which the regulator may not impose the notice (including any defences relating to the offence in relation to which the notice is served).

(3) In the case of a proposed variable monetary penalty the notice of intent must include—

- (a) the grounds for imposing the variable monetary penalty;
- (b) the amount of the penalty;
- (c) information as to—
 - (i) the right to make representations and objections within 28 days beginning with the day on which the notice of intent was received;
 - (ii) the circumstances in which the regulator may not impose the penalty (including any defences relating to the offence in relation to which the notice is served).

Making representations and objections

3. A person on whom a notice of intent is served may within 28 days beginning with the day on which the notice was received make written representations and objections to the regulator in relation to the proposed imposition of a variable monetary penalty or compliance notice.

Third party undertakings

4.—(1) A person on whom a notice of intent is served may offer an undertaking as to action to be

taken by that person (including the payment of a sum of money) to benefit any person affected by the offence (“a third party undertaking”).

(2) The regulator may accept or reject such a third party undertaking.

Final notice

5.—(1) After the end of the period for making representations and objections, the regulator must decide whether to—

- (a) impose the requirements in the notice of intent, with or without modifications, or
- (b) impose any other requirement that the regulator has power to impose under this Schedule.

(2) In making its decision, the regulator must take into account any third party undertaking that it has accepted.

(3) Where the regulator decides to impose a requirement, the notice imposing it (the “final notice”) must comply with paragraph 6 or 7.

(4) The regulator may not impose a final notice on a person where the regulator is satisfied that the person would not, by reason of any defence, be liable to be convicted of the offence to which the notice relates.

Contents of final notice – variable monetary penalty

6. A final notice for a variable monetary penalty must include information as to—

- (a) the grounds for imposing the penalty;
- (b) the amount to be paid;
- (c) how payment may be made;
- (d) the period within which payment must be made which must be not less than 28 days;
- (e) rights of appeal; and
- (f) the consequences of failing to comply with the notice.

Contents of final notice - compliance notice

7. A final notice relating to a compliance notice must include information as to—

- (a) the grounds for imposing the notice;
- (b) what compliance is required and the period within which it must be completed;
- (c) the rights of appeal; and
- (d) the consequences of failing to comply with the notice.

Appeals against a final notice

8.—(1) The person receiving the final notice may appeal against it.

(2) The grounds for appeal are—

- (a) that the decision was based on an error of fact;
- (b) that the decision was wrong in law;
- (c) in the case of a variable monetary penalty, that the amount of the penalty is unreasonable;
- (d) in the case of a compliance notice, that the nature of the requirement is unreasonable;
- (e) that the decision was unreasonable for any other reason;
- (f) any other similar reason.

Criminal proceedings

9.—(1) If—

- (a) a variable monetary penalty or compliance notice is imposed on any person, or
- (b) a third party undertaking is accepted from any person,

that person may not at any time be convicted of the offence in respect of the act or omission giving rise to the variable monetary penalty, compliance notice or third party undertaking except in a case referred to in sub-paragraph (2).

(2) The case referred to in sub-paragraph (1) is a case where—

- (a) a compliance notice is imposed on a person or a third party undertaking is accepted from a person,
- (b) no variable monetary penalty is imposed on that person, and
- (c) that person fails to comply with the compliance notice or third party undertaking.

(3) Criminal proceedings for an offence to which a notice or undertaking in sub-paragraph (2) relates may be instituted at any time up to six months from the date when the regulator notifies the person that such person has failed to comply with that notice or undertaking.

SCHEDULE 3 Regulation 3

Stop notices

Stop notices

1.—(1) The regulator may serve a stop notice on any person in accordance with this Schedule in relation to an offence under section 5 of the 2023 Act.

(2) A stop notice may only be served in a case falling within sub-paragraph (3) or (4).

(3) A case falling within this sub-paragraph is a case where—

- (a) the person is carrying on the activity,
- (b) the regulator reasonably believes that the activity as carried on by that person is causing, or presents a significant risk of causing, serious harm to any of the matters referred to in sub-paragraph (5), and
- (c) the regulator reasonably believes that the activity as carried on by that person involves or is likely to involve the commission of an offence under section 5 of the 2023 Act by that person.

(4) A case falling within this sub-paragraph is a case where the regulator reasonably believes that—

- (a) the person is likely to carry on the activity,
- (b) the activity as likely to be carried on by that person will cause, or will present a significant risk of causing, serious harm to any of the matters referred to in sub-paragraph (5), and
- (c) the activity as likely to be carried on by that person will involve or will be likely to involve the commission of an offence under section 5 of the 2023 Act by that person.

(5) The matters referred to in sub-paragraphs (3)(b) and (4)(b) are—

- (a) human health,
- (b) the environment (including the health of animals and plants).

Contents of a stop notice

2. A stop notice must include information as to—

- (a) the grounds for serving the stop notice;
- (b) the steps the person must take to comply with the stop notice;
- (c) rights of appeal; and
- (d) the consequences of non-compliance.

Appeals

3.—(1) The person on whom a stop notice is served may appeal against the decision to serve it.

(2) The grounds for appeal are—

- (a) that the decision was based on an error of fact;
- (b) that the decision was wrong in law;
- (c) that the decision was unreasonable;
- (d) that any step specified in the notice is unreasonable;

- (e) that the person has not committed the offence and would not have committed it had the stop notice not been served;
- (f) that the person would not, by reason of any defence, have been liable to be convicted of the offence had the stop notice not been served;
- (g) any other similar reason.

Completion certificates

4.—(1) Where, after service of a stop notice, the regulator is satisfied that the person has taken the steps specified in the notice, the regulator must issue a certificate to that effect (a “completion certificate”).

(2) The stop notice ceases to have effect on the issue of a completion certificate.

(3) The person on whom the stop notice is served may at any time apply for a completion certificate.

(4) The regulator must make a decision as to whether to issue a completion certificate within 14 days of such an application.

(5) The person on whom the stop notice was served may appeal against a decision not to issue a completion certificate on the grounds that—

- (a) the decision was based on an error of fact;
- (b) the decision was wrong in law;
- (c) the decision was unfair or unreasonable;
- (d) the decision was wrong for any other similar reason.

Compensation

5.—(1) The regulator must compensate a person for loss suffered as the result of the service of a stop notice or a refusal to issue a completion certificate if that person has suffered loss as a result of the notice or refusal and—

- (a) the stop notice is subsequently withdrawn or amended by the regulator because the decision to serve it was unreasonable or any step specified in the notice was unreasonable;
- (b) the person successfully appeals against the stop notice and the First-tier Tribunal finds that the service of the notice was unreasonable; or
- (c) the person successfully appeals against the refusal to issue a completion certificate and the Tribunal finds that the refusal was unreasonable.

(2) A person may appeal against a decision not to award compensation or a decision as to the amount of compensation—

- (a) on the grounds that the regulator’s decision was unreasonable;
- (b) on the grounds that the amount offered was based on incorrect facts;
- (c) for any other similar reason.

Offences

6. Where a person to whom a stop notice is issued does not comply with it within the time limit specified in the notice, the person is guilty of an offence and liable—

- (a) on summary conviction, to a fine, or imprisonment for a term not exceeding the general limit in a magistrates’ court, or both, or
- (b) on conviction on indictment, to imprisonment for a term not exceeding two years, or a fine, or both.

SCHEDULE 4 Regulation 3

Enforcement undertakings

Enforcement undertakings

1. The regulator may accept an enforcement undertaking from a person in a case where the regulator has reasonable grounds to suspect that the person has committed an offence under section 5 of the 2023 Act.

Form and content of an enforcement undertaking

2.—(1) An enforcement undertaking must be in writing and must specify—

- (a) action to secure that the offence does not continue or recur,
- (b) action to secure that the position is, so far as possible, restored to what it would have been if the offence had not been committed,
- (c) action (including the payment of a sum of money) to benefit any person affected by the offence, or
- (d) where restoration of the harm arising from the offence is not possible, action that will secure equivalent benefit or improvement to the environment.

(2) It must specify the period within which the action must be completed.

(3) It must include—

- (a) a statement that the undertaking is made in accordance with this Schedule;
- (b) the terms of the undertaking;
- (c) how and when a person is considered to have discharged the undertaking.

(4) The enforcement undertaking may be varied, or the period within which the action must be completed may be extended, if both parties agree in writing.

Acceptance of an enforcement undertaking

3. If the regulator has accepted an enforcement undertaking then, unless the person from whom the undertaking is accepted has failed to comply with the undertaking or any part of it—

- (a) that person may not at any time be convicted of the offence in respect of the act or omission to which the undertaking relates;
- (b) the regulator may not impose on that person any fixed monetary penalty, variable monetary penalty or compliance notice in respect of that act or omission.

General provisions on enforcement undertakings

4.—(1) The regulator must establish and publish the procedure for entering into an enforcement undertaking.

(2) The regulator must consult such persons as it considers appropriate before doing so.

(3) When it accepts an undertaking the regulator may publish it in whatever manner it sees fit.

Discharge of an enforcement undertaking

5.—(1) A regulator who is satisfied that an enforcement undertaking has been complied with must issue a certificate to that effect.

(2) The regulator may require the person who has given the undertaking to provide sufficient information to determine that the undertaking has been complied with.

(3) The person who gave the undertaking may at any time apply for such a certificate.

(4) The regulator must make a decision as to whether to issue such a certificate, and give written notice of the decision to the applicant, within 14 days of such an application.

(5) The person to whom the notice is given may appeal against a decision not to issue a certificate on the grounds that the decision—

- (a) was based on an error of fact;
- (b) was wrong in law;

- (c) was unfair or unreasonable;
- (d) was wrong for any other similar reason.

Inaccurate, incomplete or misleading information

6.—(1) A person who has given inaccurate, misleading or incomplete information in relation to an enforcement undertaking is regarded as not having complied with it.

(2) The regulator may by notice in writing revoke a certificate issued under paragraph 5 if it was issued on the basis of inaccurate, incomplete or misleading information.

Non-compliance with an enforcement undertaking

7.—(1) If an enforcement undertaking is not complied with the regulator may either—

- (a) serve a variable monetary penalty notice or compliance notice, or
- (b) bring criminal proceedings

in respect of the offence.

(2) If a person has complied partly but not fully with an undertaking, that part-compliance must be taken into account in the imposition of any criminal or other sanction on the person.

(3) Criminal proceedings for the offence to which an enforcement undertaking relates may be instituted at any time up to six months from the date when the regulator notifies the person that such person has failed to comply with that undertaking.