

# Contents of the post-conviction plan

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## Introduction

Provide the following information in your post-conviction plan.

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## 1.0 List of offences

Provide a list of the offences covered. For each offence, describe:

- when and where they were committed;
  - the person convicted;
  - the business relationship between the person convicted and the authorisation holder or applicant;
  - the penalties imposed (such as fines, costs and compensation orders).
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## 2. Authorisations to which the PCP relates

List all the authorisations that were relevant to the commission of the offence, if appropriate by type, such as registration of waste carrier and/or EPR permit and so on.

(If the conviction does not directly relate to an authorisation – leave this section blank but do complete details of any relevant authorisation(s) you hold and/or are applying for in Section 8 below).

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## 3. List all persons and relevant persons involved in the convictions

List all the persons and relevant persons who were convicted of the offence(s).

**Note:** Each legal entity will be required to submit their own PCP unless they declare that they are relying on this submission.

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## 4. Circumstances of the offence, and how and why it occurred

Summarise:

- the causes of the offences;
- how you investigated the causes,
- the consequences;
- accountability and any mitigation you would like considered;
- the potential for the offences to happen again.

Provide this summary for:

- the offending location or site;
  - any other relevant authorisation.
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## 5. Effect of the offences on people and/or the environment

Describe how the offences impacted on the environment and people, including impact on legitimate business, with an assessment of whether you consider that the impact was high, medium or low, giving reasons why you consider the impact to be high, medium or low.

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## 6. Ensuring compliance in the future

To ensure compliance in the future, list the following in the post-conviction plan:

- the potential for the offences to happen again (before any remedial measures);
- the remedial measures that you took to prevent offences happening and the potential for offences happening again;

Examples could include:

- management changes;
  - staff changes;
  - changes in relationship with third parties;
  - provision for retraining.
- when and how you implemented the remedial measures;
  - details of your on-going audit of the remedial measures, and how you aim to ensure the measures are effective;
  - your changes to documentation and procedures that help implement the compliance plan;

Examples could include:

- quality assurance procedures;
  - company standing instructions;
  - training manuals.
- the responsibilities that you have given to the directors, senior management and all other employees to prevent offences happening again.
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## 7. Potential for repetition

Provide details of whether you think there is a high, medium or low potential for this sort of offending to recur as a result of the steps you will be taking, giving reasons why you consider the impact to be high, medium or low.

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## 8. Describing your authorisations

Include details of all relevant authorisations that are either:

- issued to you;
- being applied for by you;
- issued to a person for whom you are a relevant person or ;
- being applied for by a person for whom you are a relevant person.

For each authorisation or application, list its unique number.

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## Terms used: Relevant authorisations

Relevant authorisations include all:

- EPR permits for waste activities or Schedule 1 EPR activities (includes former waste management licences and PPC permits for specified waste management activities);
  - registrations of waste carriers and/or brokers.
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**Terms used;  
Relevant persons**

Relevant people are any of the following:

- any officer of the company at which you work. Officers include but are not limited to:
  - director;
  - manager;
  - secretary.
- employees of the company at which you work.

**Note:** An employee's conviction is only relevant to you when they were convicted in the course of their employment by your company.

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## Post-conviction plan

<b>Name of convicted person or business</b>	
<b>Address of convicted person or business</b>	
<b>Date</b>	
<b>Date of birth of person or company registration number</b>	
<b>Plan completed by (signature)</b>	
<b>On behalf of (signature)</b>	

### 1.0 List of offences covered by this post-conviction plan

Offence	When and where	Identity of convicted party*	Sentence	Details of any company to which convicted party is a relevant person†

\* person or business.

† such as a director, manager, secretary or other similar office. See the definition of a 'relevant person' in the notes that accompany this form.

## 2.0 Authorisations to which this post-conviction plan relates (if appropriate)

Authorisation number	Type of authorisation

## 3.0 List of all persons and relevant persons to which the conviction(s) relates

Relevant persons include directors, managers, secretaries or other similar office. See the definition of a 'relevant person' in the notes that accompany this form.

Persons convicted	People or companies for who they are relevant persons (list)	Date of birth or Company number

## 4.0 Circumstances of the offence and how and why it occurred

Please provide details of the events which led to the offence. Include accountability and any mitigating circumstances that you feel are relevant. Continue on a separate sheet if necessary.

## 5.0 Effect of the offences on the environment and/or people

## 6.0 Ensuring compliance in the future

Please describe the measures you have taken to prevent the offence happening again. Include your plans for audit and review.

### 7.0 Potential for repetition

Do you think it is likely that the offences will happen again? Tick one box.

- High** (likely to happen again)
- Medium**
- Low** (unlikely to happen again)

Give reasons and explain why in the box below:

### 8.0 Details of all authorisations

List the authorisations that the convicted person holds, is applying for or for which they are a relevant person. List all:

- EPR permits for waste activities or Schedule 1 EPR activities (includes former waste management licences and PPC permits for specified waste management activities);
- registration of waste carriers and/or brokers.

Type of authorisation(s) held and/or being applied for (state if it is an application)	Authorisation's unique number	Are you the holder of the authorisation or a relevant person? Enter 'holder' or 'relevant person'

**Please use the space below to provide and further information that you want us to be aware of:**

A large, empty rectangular box with a thin black border, intended for providing additional information.