

# Application form for approval as an approved authorised treatment facility (AATF) for waste electrical and electronic equipment (WEEE)



**Cyfoeth  
Naturiol  
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Resources  
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An Agency within the Department of the  
**Environment**  
www.doeni.gov.uk



**NIEA** Northern Ireland  
Environment  
Agency  
www.ni-environment.gov.uk

The Waste Electrical and Electronic Equipment Regulations 2013

Use this form if you want to apply for approval as an approved authorised treatment facility (AATF) for waste electrical and electronic equipment (WEEE). Approval will allow you to issue evidence notes for the amount of WEEE in tonnes which you treat, recover and recycle.

Use this form to apply for approval as an AATF with:

## If your site is in England you should apply to

Producer Responsibility Regulatory Services (PRRS)  
Environment Agency  
Quadrant 2  
99 Parkway Avenue  
Parkway Business Park  
Sheffield, S9 4WF  
Phone 03708 506 506  
Email weee@environment-agency.gov.uk

## If your site is in Scotland you should apply to

Producer Compliance and Waste Shipment Unit  
Scottish Environment Protection Agency (SEPA)  
Castle Business Park  
Stirling, FK9 4TR  
Phone 01786 457 700  
Fax 01786 446 885  
Email producer.responsibility@sepa.org.uk

## If your site is in Northern Ireland you should apply to

Producer Responsibility Unit  
Northern Ireland Environment Agency  
Klondyke Building  
Cromac Avenue  
Gasworks Business Park  
Lower Ormeau Road  
Belfast, BT7 2JA  
Phone 028 9056 9387  
Email weee@doeni.gov.uk

## If your site is in Wales you should apply to

Producer Responsibility Unit  
Natural Resources Wales  
Rivers House  
St Mellons Business Park  
St Mellons  
Cardiff, CF3 0EY  
Phone 0300 065 3000  
Email weee@naturalresourceswales.gov.uk  
Website www.naturalresourceswales.gov.uk

If you are applying as an operator of more than one UK ATF site, send each application to the agency where the site is located.

## Assessing your application

Your application will be subject to a number of checks and may include a site visit. For approval from 1 January we need to receive your application by 30 September in the year prior to which you wish to be approved.

If you apply during a compliance period your approval will run from the date we determine your application.

## Continuation sheets

If you need more space for any of your answers, please use a continuation sheet. Make sure that you label each sheet clearly with:

- the section number it applies to
- the number of the sheet, for example, 3 of 5

## Approval

If you have an appropriate permit, waste management licence, and/or exemption and if you meet all the application criteria, you will be notified of our decision no later than 12 weeks after you made the application. If our decision is to refuse approval we will tell you the reason why and give you details about your right of appeal.

## Applying for multiple sites

A separate application and fee should be submitted for each approval required.

## Keeping a copy of this form and supporting documents

You should keep a copy of your completed form and any supporting information that you submit. We may ask to see them when we monitor your compliance. You should keep these records for at least four years.

## Fees

There is a fee for applying for approval as an approved authorised treatment facility. It is based on the amount of evidence of WEEE treatment, recovery and recycling you intend to issue during the calendar year.

- 'Small' AATFs  
If you expect to issue evidence for 400 tonnes or less your application fee will be £500.
- 'Large' AATFs  
If you expect to issue evidence for more than 400 tonnes your application fee will be £2,570.

If you are approved as a small AATF and you issue evidence for more than 400 tonnes, you must pay the balance of the higher charge of £2,070.

Payment of the balance must be made within 28 days of going over the tonnage threshold.

We cannot refund your fee, even if your application is refused.

<p>Are you applying to be a small AATF? <input type="checkbox"/></p> <p>Are you applying to be a large AATF? <input type="checkbox"/></p> <p><b>Proof of payment</b></p> <p>Please confirm your method of payment:</p> <p>Cheque <input type="checkbox"/></p> <p>BACS <input type="checkbox"/></p> <p>Credit/debit card <input type="checkbox"/></p> <p>If you have paid by BACS or credit/debit card you will need to provide a remittance/receipt with your application as proof of payment.</p>	<p><b>Contents</b></p> <p><b>Part A</b></p> <p>1 The applicant</p> <p>2 Contact details</p> <p>3 Site covered by this approval</p> <p>4 Other approvals</p> <p><b>Part B</b></p> <p>5 Environmental registrations and permits</p> <p>6 About the WEEE</p> <p>7 About your process</p> <p><b>Part C</b></p> <p>8 Checklist</p> <p>9 The Data Protection Act 1998</p> <p>10 Declaration</p> <p>11 What happens next</p>
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**Part A**

**1 The applicant**

**1.1 What is your status?**

- Corporate body   
Please go to section 1.2.
- Partnership   
Please go to section 1.6.
- Individual or sole trader   
Please go to section 1.9.

**1.2 Corporate bodies**

Please give the following information:

Full company name  
\_\_\_\_\_

Former company name (if any)  
\_\_\_\_\_

**1.3 Business address**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Contact numbers, please include the area code

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

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

VAT registration number  
\_\_\_\_\_

**1 The applicant, continued**

**1.4 Registered office**

Full address of registered office if different from 1.3

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Contact numbers, please include the area code

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

**1.5 Please supply a copy of your company registration document**

Document attached

**1.6 Partnerships**

Please give the following details:

Trading or business name of partnership (if there is one)  
\_\_\_\_\_

Business address  
\_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_

Contact numbers, please include the area code

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

**1 The applicant, continued**

**1.7 Please give the following details for each partner**

Partner 1

Title   
 First name   
 Last name

Partner 2

Title   
 First name   
 Last name

Partner 3

Title   
 First name   
 Last name

Please continue on a separate sheet if you have more than three partners.

**1.8 Please supply evidence of partnership**

For example a deed of partnership

Document attached

**1.9 Individual or sole trader**

Please give the applicant's details

Title   
 First name   
 Last name

Position

Trading or business name

Business address or principal place of business

Postcode

Contact numbers, please include the area code

Phone   
 Fax   
 Email

**1 The applicant, continued**

**1.10 Service of notices**

Notices will be served on the companies registered office address, if you wish it to be sent to a different address that is not your registered office please include below.

Postcode

**2 Contact details**

**2.1 Please give the details of someone we can contact with questions about this application**

Name

Title   
 First name   
 Last name

Position

If you have already provided the address and contact details, indicate which section they are provided in

1.3  1.4  1.6  1.9

Address

Postcode

Contact numbers, please include the area code

Phone   
 Fax   
 Mobile   
 Email

**3 Site covered by this approval**

**3.1 Please give the site name, address and contact details for the site covered by this approval**

Site name

If your site has been approved previously please enter your AATF approval number

Contact name

Title   
 First name   
 Last name

### 3 Site covered by this approval, continued

Address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Contact numbers, please include the area code

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Mobile \_\_\_\_\_

Email \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### 4 Other approvals

#### 4.1 Have you applied or do you intend to apply to be an approved exporter of waste electrical and electronic equipment?

No

Yes

#### 4.2 Are you registered as a designated collection facility (DCF)?

No

Yes, a local authority DCF

Yes, a private DCF

## Part B

### 5 Environmental registrations and permits

We need to know about any environmental permits, waste management licences, or registered exemptions you hold for this site. You must answer each question in this section. If you answer 'No' to questions 5.2, 5.3 and 5.4 it is unlikely that we will be able to progress your application.

#### Waste carriers and brokers

If you buy or sell waste you should be registered as a waste broker. You may also need to register as a waste carrier if you transport other people's waste.

#### 5.1 Are you registered as a waste carrier or broker, or both?

No

Yes  Please provide details.

Registration number

Waste carrier and/or broker:

\_\_\_\_\_

### 5 Environmental registrations and permits, continued

#### Environmental Permit

#### 5.2 Is this site covered by a current Environmental Permit?

As issued under the Environmental Permitting (England and Wales) Regulations, 2010 or the Waste Electrical and Electronic Equipment (Waste Management Licensing) (Northern Ireland) regulations 2006 or the Waste Electrical and Electronic Equipment (Waste Management licensing) (Scotland) Regulations 2006.

No

Yes  Please provide details.

Permit reference number and any modification reference numbers

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date issued (DD/MM/YYYY)

\_\_\_\_\_

#### 5.3 Is this site covered by a registered exemption?

No

Yes  Give the paragraph number or reference for the exemption under the Environmental Permitting Regulations 2010, or Waste Electrical and Electronic Equipment (Waste Management Licensing) (Northern Ireland) regulations 2006 or the Waste Electrical and Electronic Equipment (Waste Management licensing) (Scotland) Regulations 2006, which applies.

\_\_\_\_\_

Date issued (DD/MM/YYYY)

\_\_\_\_\_

#### 5.4 Is this site covered by an Environmental Permit for a 'Part A Process' or a Part A1 activity?

No

Yes  Please give details.

Reference number and any modification reference numbers

\_\_\_\_\_

Date issued (DD/MM/YYYY)

\_\_\_\_\_

Issuing office

\_\_\_\_\_

### 6 About the WEEE

#### 6.1 Please tell us about the WEEE you will be receiving on site

Will you be treating

WEEE from private households (B2C)

WEEE from other than private households (B2B)

## 6 About the WEEE, continued

### 6.2 Please tell us which categories of WEEE you will be receiving and of this, which WEEE you will be treating. Please tick all that apply

	Receive	Treat
Category 1	<input type="checkbox"/>	<input type="checkbox"/>
Category 2	<input type="checkbox"/>	<input type="checkbox"/>
Category 3	<input type="checkbox"/>	<input type="checkbox"/>
Category 4	<input type="checkbox"/>	<input type="checkbox"/>
Category 5	<input type="checkbox"/>	<input type="checkbox"/>
Category 6	<input type="checkbox"/>	<input type="checkbox"/>
Category 7	<input type="checkbox"/>	<input type="checkbox"/>
Category 8	<input type="checkbox"/>	<input type="checkbox"/>
Category 9	<input type="checkbox"/>	<input type="checkbox"/>
Category 10	<input type="checkbox"/>	<input type="checkbox"/>
Display screens	<input type="checkbox"/>	<input type="checkbox"/>
Cooling appliances containing refrigerants	<input type="checkbox"/>	<input type="checkbox"/>
Gas discharge lamps	<input type="checkbox"/>	<input type="checkbox"/>
Photovoltaic panels	<input type="checkbox"/>	<input type="checkbox"/>

### 6.3 Please tell us the sources of the obligated and non-obligated WEEE you receive

Local authority DCF	<input type="checkbox"/>
Private DCF	<input type="checkbox"/>
AATF	<input type="checkbox"/>
Distributor takeback	<input type="checkbox"/>
Door-to-door collections	<input type="checkbox"/>
Housing associations	<input type="checkbox"/>
Educational establishments	<input type="checkbox"/>
Other	<input type="checkbox"/>
Please list	
<input type="text"/>	
<input type="text"/>	
<input type="text"/>	

### 6.4 Please tell us which Producer Compliance Schemes you receive WEEE from

Name of scheme	
1. <input type="text"/>	
2. <input type="text"/>	
3. <input type="text"/>	

Please continue on a separate sheet if necessary.

## 7 About your process

### 7.1 Will you be carrying out refurbishment for reuse of whole items at this site?

- No   
Yes

If you will be carrying out refurbishment you must provide a full written procedure which includes:

- how you identify WEEE suitable for reuse;
- a description of the visual testing, electrical safety testing, and functionality testing procedures

## 7 About your process, continued

- evidence that there is a valid market for the reused EEE
- details of what happens to items that fail your reuse process.

If you intend to refurbish a range of items you must demonstrate the above for each item.

### 7.2 Flow diagram

Please supply a flow diagram showing the throughput of WEEE on your site and the types of activities carried out. Please also include details of the recovery and recycling activities carried out on WEEE that leaves your site.

### 7.3 Sampling and inspection plan

Applicants for AATF approval must include a **sampling and inspection plan** with the completed application e-form. In the plan you must provide us with details of how you determine:

- the weight of the WEEE that arrives at your site
- that the WEEE you receive has arisen in the UK
- the source of the WEEE
- whether the WEEE you receive is obligated or non-obligated (you cannot issue evidence notes on non-obligated WEEE)
- the correct category for the WEEE you receive – see Schedule 1 of the Regulations
- whether the WEEE you receive is household (B2C) or non-household (B2B)
- the quantity in tonnes and category of any WEEE which is reused, either at your site or any other site(s) – if you issue reuse evidence on their behalf.

Confirm if you are using the following:

- Defra LDA protocol
- National SMW protocol
- FRN average weights
- Site-derived average weights
- EA-approved site-specific category protocol.

You must also include the following related information with your application:

- If you export reused EEE overseas tell us how it is transported and what the market for that EEE is
- You must refer to any local (site-based) or nationally agreed protocols you use and you must describe the audit systems you use to ensure that evidence notes are issued correctly
- If you are accepting WEEE that is self-clearing from an LA DCF you will need to tell us which LA DCFs it is, and the collection streams that you will be accepting from it
- You must provide information on how you, or the downstream sites you send WEEE to, are able to achieve the recovery and recycling targets set out in the WEEE Regulations
- Provide details on how you are able to avoid double-counting of WEEE; i.e. that evidence is not issued on the same WEEE twice
- Confirm whether any WEEE is sent for energy recovery.

## Part C

### 8.1 Checklist

For applications to issue evidence notes for:

400 tonnes or less – enclose a cheque for £500

over 400 tonnes – enclose a cheque for £2,570

I enclose:

evidence of company registration, Section 1.5

evidence of formal partnership, Section 1.8

flow diagram, Section 7.2

sampling and inspection plan, Section 7.3

How many continuation sheets are you attaching to this form in total?

\_\_\_\_\_

The application will not be accepted for consideration unless all the required information has been submitted.

### 8.2 Previous convictions

As an operator of an AATF or approved exporter have you ever been convicted of an offence under the Waste Electrical and Electronic Equipment Regulations, 2006 as amended, or the Waste Electrical and Electronic Equipment Regulations 2013

No

Yes  If yes, please provide further information about your conviction and what remedial steps you have taken to ensure this does not happen in the future.

## 9 The Data Protection Act 1998

The Environment Agency is responsible for regulating environmental protection, flood defence, water resources and fisheries. It has a duty to discharge its functions to protect and enhance the environment and to promote conservation and recreation.

SEPA's main aim is to provide an efficient and integrated environmental protection system for Scotland that will both improve the environment and contribute to the Scottish minister's goal of sustainable development.

NIEA's aim is to protect and conserve Northern Ireland's natural and built environment, to control and regulate pollution and to promote appreciation of the environment and best practice.

Natural Resources Wales purpose is to ensure that the natural resources of Wales are sustainably maintained, used and enhanced, now and in the future.

We, the Environment Agency, SEPA, NIEA, or Natural Resources Wales (depending on which regulator you have applied to) will process the information you provide so that we can:

- deal with your application;
- make sure you keep to the conditions of the licence, permit or registration;
- process renewals; and
- keep the public registers up to date.

We may also process or release the information to:

- offer you documents or services relating to environmental matters;
- consult the public, public organisations and other organisations (for example, the Health and Safety Executive, local authorities, the emergency services, the Department for Environment, Food and Rural Affairs) on environmental issues;
- carry out research and development work on environmental issues;
- provide information from the public register to anyone who asks;
- prevent anyone from breaking environmental law, investigate cases where environmental law may have been broken, and take any action that is needed;
- assess whether customers are satisfied with our service, and to improve our service; and
- respond to requests for information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 (if the Data Protection Act allows).

We may pass the information on to our agents or representatives to do these things for us.

### Public register and access to information

The regulations say we must publish a list of who is approved.

If your application for approval is successful the following information will be added to that list:

- name and address of approved authorised treatment facility (AATF)
- name and address of the operator of the approved authorised treatment facility



## 9 The Data Protection Act 1998, continued

If you consider that any information you provide in connection with your application should be treated as commercially confidential, please let us know. You should be aware that we may be required by freedom of information laws to disclose information even where the applicant requests that it is kept confidential. The relevant laws are: for the Environment Agency, NRW and NIEA – The Freedom of Information Act 2000 and the Environmental Information Regulations 2004; and for SEPA – the Freedom of Information (Scotland) Act 2002 and the Environmental Information (Scotland) Regulations 2004.

## 10 Declaration

**10.1 I declare that the information in this application is true to the best of my knowledge and belief. I understand that this application may be refused or approval withdrawn if I give false or incomplete information.**

**10.2 I declare that I have read and understood the conditions of approval as set out in Schedule 11 of the regulations and that I will comply with these conditions.**

If you deliberately make a statement that is false or misleading in order to obtain approval you may be liable to prosecution.

Signature

Name

Title

First name

Last name

Position

Date (DD/MM/YYYY)

## 11 What happens next

After you fill in the form, please read through it again and make sure you have:

- answered all the questions
- included all the documents you need to send us
- included the correct fee
- signed the declaration

Your application may be refused if the application is incomplete.

### For office use only

Operator/Business name

Reference number

Date stamp

Cheque enclosed

No

Yes

Cheque number

Cheque amount

£500  £2,570  Passed to finance

Region/Area/Officer details

Site inspection required

No

Yes

Recommendation:

Approve

Refuse