

# Application form for approval as an approved exporter (AE) of waste electrical and electronic equipment (WEEE)



Environment Agency



Cyfoeth Naturiol Cymru  
Natural Resources Wales



An Agency within the Department of the Environment  
www.doeni.gov.uk



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 exporter of waste electrical and electronic equipment (WEEE). Approval will allow you, or any AATF supplying you, to issue evidence notes for WEEE which you export for reuse as a whole appliance, treatment, recovery or recycling.

Use this form to apply for approval as an exporter 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

### 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.

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

You will be notified of our decision no later than 12 weeks after we receive your complete application. If our decision is to refuse approval we will tell you the reason for this decision and details of your right to appeal.

### 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 as an approved exporter of WEEE. It is based on the amount of evidence of whole WEEE exported for reuse issued during the calendar year.

- 'Small' AEs  
If you expect to issue evidence for 400 tonnes or less your application fee will be £500.
- 'Large' AEs  
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 AE 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.

Are you applying to be a small AE?

Are you applying to be a large AE?

### Proof of payment

Please confirm your method of payment:

Cheque

BACS

Credit/debit card

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.

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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.
- Where not a body registered in the UK, including an 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  
 \_\_\_\_\_

**Approved exporter reference**

If you have previously been an approved exporter please tell us your approval 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 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## Part B

### 3 Environmental registrations and data management

#### Waste carriers and brokers

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

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

No

Yes  Please provide details.

Registration number

Waste carrier and/or broker:

### 4 Sampling and inspection plan

Applicants for AE 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 you export
- that the WEEE you export has arisen in the UK
- the source of the WEEE
- whether the WEEE you export is obligated or non-obligated (you cannot issue evidence notes on non-obligated WEEE)
- the correct category for the WEEE you export – see Schedule 1 of the Regulations
- whether the WEEE you export is household (B2C) or non-household (B2B)
- the quantity in tonnes and category of any WEEE which is reused overseas.

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 describe the audit systems you use to ensure that evidence notes are issued correctly
- 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.

#### Equivalent standards

As part of the application and during compliance monitoring, AEs need to demonstrate that overseas sites to which they are exporting WEEE or WEEE materials for treatment, recovery or recycling are operating under conditions that are equivalent to those required in the EU under the WEEE Directive. This will mean providing us with evidence that the best available treatment, recovery and recycling techniques (BATRR) are being used, the appropriate permits are in place for the overseas site, and that the site meets the technical requirements set out in Annex VII of the Directive.

### 4 Sampling and inspection plan, continued

We have interpreted this to mean that such overseas sites are operated in a manner that achieves the level of environmental protection required by the Waste Framework Directive 75/442/EEC. This means that the overseas site must operate within a regulatory regime, which requires that:

'Necessary measures are taken to ensure that waste is recovered or disposed of without endangering human health and without using processes or methods which could harm the environment, and in particular:

- without risk to water, air, soil and plants and animals,
- without causing a nuisance through noise or odours,
- without adversely affecting the countryside or places of special interest.'

The regime should also include necessary measures to prohibit the abandonment, dumping or uncontrolled disposal of waste by the overseas site.

The regulatory regime may require permits to be held, but it need not necessarily do so. The essential factor of the regime is that compliance with the standard specified above can be enforced against the overseas site.

AEs seeking approval will have to provide evidence for each overseas site outside the EEA, demonstrating that they are operating to equivalent standards.

Such evidence can be in one of the following forms:

- evidence from the overseas site that it is a regulated site operating within a regime that ensures equivalent standards. Typically this would be a copy of all relevant permits, licences etc.
- a statement from the competent authority under which the relevant site operates confirming that the site is regulated and operating within a regime that achieves equivalent operating standards.

All documentary evidence submitted must be in English or accompanied by an English translation.

#### International Waste Shipments (IWS)

AEs must comply with the provisions of the Waste Shipments Regulation (EC/1013/2006), which apply to the export of wastes from the UK. The regulation provides a range of different control procedures, which are determined by the classification of the waste and the country of destination. Most transboundary shipments of WEEE will be subject to a notification procedure.

For further information on IWS permits or specific questions, contact:

The Environment Agency IWS team on 01925 542 265 or visit <http://www.environment-agency.gov.uk/wasteshipments>

Natural Resources Wales on 0300 065 3000 or visit <http://naturalresourceswales.gov.uk/apply-buy-report/apply-buy-grid/waste/waste-permting/international-waste-shipments/?lang=en>

For Northern Ireland, the Northern Ireland Environment Agency on 028 9056 9742.

For Scotland, the Scottish Environment Protection Agency (SEPA) on 01786 457700 or visit [http://www.sepa.org.uk/waste/waste\\_regulation/transfrontier\\_shipments.aspx](http://www.sepa.org.uk/waste/waste_regulation/transfrontier_shipments.aspx)

## Part C

**You will need to fill in a separate Part C for each overseas site you expect to send WEEE to for treatment, recovery and recycling. If you do not provide details of each overseas site you subsequently use, you will not be permitted to issue evidence against WEEE exported to them. Please take as many copies of Part C as you need before you start to fill it in.**

### 5 How many overseas treatment, recovery and recycling sites will you be exporting to?

\_\_\_\_\_

This is the number of copies of Part C we will need from you.  
This is Part C \_\_\_\_\_ of \_\_\_\_\_

## 6 Use of overseas site

### 6.1 Please give the following details for this overseas treatment, recovery and/or recycling site.

If you do not provide details of the overseas site you intend to use we will not include this Part C in your approval.

Company name

\_\_\_\_\_

Main contact

Title \_\_\_\_\_

First name \_\_\_\_\_

Last name \_\_\_\_\_

Position

\_\_\_\_\_

Site address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

Contact numbers, please include the area code

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Mobile \_\_\_\_\_

Email \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Web address (if available)

Website \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## 7 Description of WEEE exported

Please enter the list of wastes code that relates to the WEEE that you will be exporting

- B1010 Metal and metal-alloy wastes in metallic, non-dispersible form
- B1050 Mixed non-ferrous metal
- GC010 Electrical assemblies consisting only of metals or alloys
- GC020 Electronic scrap (e.g. printed circuit boards, electronic components, wire, etc.)
- B1115 Waste metal cables coated or insulated with plastics
- B2020 Glass waste in non-dispersible form (excluding CRT)
- B3010 Solid plastic waste (ethylene, styrene, polypropylene etc)
- A2010 Glass from CRTs and other activated glass
- A1190 Waste metal cables coated or insulated with plastics containing or contaminated with coal tar, PCB14, lead, cadmium, other organohalogen compounds

Please specify other codes

\_\_\_\_\_

Link to codes [http://www.environment-agency.gov.uk/static/documents/Consolidated\\_waste\\_list\\_version\\_2.0.pdf](http://www.environment-agency.gov.uk/static/documents/Consolidated_waste_list_version_2.0.pdf)

Please describe the waste you intend to export to this site, or which will be passed to this site by another overseas site on your behalf. You should describe the type of WEEE (i.e. whole appliances) or WEEE derived materials (i.e. ferrous metals) that you are exporting.

## 8 Description of treatment, recovery and recycling

Please describe the treatment, recovery and recycling processes that will be undertaken on WEEE at this site. Please provide as much detail as possible. i.e. mobile phones exported for refurbishment and re-use, non-ferrous metals smelted for recovery etc.

Please continue on a separate sheet if you wish to add further details.

## 9 Load rejection

If your application is approved you must record any tonnage rejected by the overseas treatment site so that it can be deducted from the total amount of evidence notes issued.

Please tell us about your arrangements for loads that are rejected or returned to the UK from this overseas site.

Include arrangements the site or importing country have implemented – for example, financial bonds.

## Part D

### 10 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

sampling and inspection plan, Section 4

How many copies of Part C are you submitting in total?

How many sets of evidence to support the equivalent standard are you submitting in total?

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.

## 11 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.

## 12 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.

## 12 The Data Protection Act 1998, continued

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 exporter

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.

## 13 Declaration

**13.1 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.**

**13.2 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)

## 14 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

Number of sites covered by this application

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