

# SCHEDULES

## SCHEDULE 11

Regulations 61 and 63

### Approval of authorised treatment facilities and exporters

#### PART 1

##### Information to be included in an application for approval

1. The name of the operator of the ATF or the exporter.
2. The registered office address and telephone number of the operator of the ATF or the exporter where he is a body registered in the United Kingdom or, if the operator of the ATF or the exporter is not a body registered in the United Kingdom, the address of his principal place of business and telephone number in the United Kingdom.
3. Where the operator of the ATF or exporter is a partnership, the names of all the partners.
4. Where the operator of the ATF or exporter is not a body registered in the United Kingdom or a partnership, the name of the person having control or management of that body.
5. The address for service of notices if different from that referred to in paragraph 2.
6. In the case of an application made by the operator of an ATF, the name and address of the ATF in respect of which he is applying for approval.
7. In the case of an application made by an exporter—
  - (a) the name and address of each site to which he proposes to export WEEE for re-use as a whole appliance, treatment, recovery or recycling;
  - (b) in respect of each site specified in accordance with paragraph (a)—
    - (i) specify the amount in tonnes of WEEE that he proposes to export to that site for re-use as a whole appliance, treatment, recovery or recycling by reference to each of the following categories—
      - (aa) each of the categories listed in Schedule 1 (excluding display equipment, equipment containing refrigerants, gas discharge lamps, LED light sources and photovoltaic panels),
      - (bb) display equipment,
      - (cc) equipment containing refrigerants,
      - (dd) gas discharge lamps and LED light sources, and
      - (ee) photovoltaic panels;
    - (ii) the applicable reuse, treatment, recovery and recycling operations carried out by that site.
8. Confirmation of whether or not the operator of the ATF or the exporter has been convicted of an offence under these Regulations; and where a positive confirmation is given an explanation of how the contravention of these Regulations which resulted in the conviction occurred and what steps have been taken to ensure such a contravention will not occur in the future.

## PART 2

### Conditions of approval of authorised treatment facilities

**9.** An evidence note for treatment will only be issued with respect to WEEE that has arisen as waste in the United Kingdom and that has been received for treatment at an AATF.

**10.** An evidence note for reuse as a whole appliance will only be issued with respect to WEEE from private households that—

- (a) has been deposited at a designated collection facility; or
- (b) has been returned under regulation 43 or 52 and has not been deposited at a designated collection facility.

**11.** The amount of WEEE recorded on an evidence note will be recorded in tonnes but any fraction of a whole tonne will be recorded in kilograms and such a fraction will be—

- (a) rounded up to the nearest whole kilogram where the part kilogram is 0.5 or more; and
- (b) rounded down to the nearest whole kilogram where the part kilogram is less than 0.5.

**12.** Where—

- (a) the result of rounding up under paragraph 11(a) is 1000 kilograms, or
- (b) the result of rounding down under paragraph 11(b) is 0 kilograms, the total amount will be recorded in tonnes.

**13.** Duplicate copies of any evidence note issued by the operator of the AATF will be retained by that operator of the AATF and made available for inspection by the appropriate authority at all reasonable times.

**14.** An evidence note will not be issued by an operator of an AATF for more than the total amount of WEEE received in the relevant approval period.

**15.** An evidence note will not be issued by an operator of an AATF in respect of any WEEE that has previously been treated by another AATF.

**16.** An evidence note for reuse as a whole appliance will not be issued by an operator of an AATF—

- (a) for more than the total amount of WEEE received for reuse as a whole appliance by, or on behalf of, that AATF in the relevant approval period; or
- (b) for any WEEE in respect of which evidence of reuse has been issued by another AATF or an approved exporter.

**17.** An evidence note will only be issued by an AATF in a format approved by the Secretary of State.

**18.** An AATF will not issue an evidence note in relation to non-obligated WEEE.

**19.** An evidence note will only be issued by an operator of an AATF to—

- (a) an operator of a scheme; or
- (b) a producer or authorised representative to whom regulation 14(10) applies.

**20.** An evidence note which relates to—

- (a) WEEE received for treatment, recovery or recycling in any relevant approval period; or
- (b) WEEE that is reused as a whole appliance and has been deposited at a designated collection facility or returned under regulation 43 or 52 in any relevant approval period,

will not be issued by an operator of an AATF after 31st January in the year immediately following the end of that relevant approval period.

**21.** Where WEEE is treated at an AATF and is subsequently exported, it must be exported by an approved exporter.

**22.** From 1st January 2014 until 31st December 2015 WEEE treated at the relevant AATF will meet the following targets—

- (a) for WEEE that falls within categories 1 and 10 of Schedule 1—
  - (i) at least 80% recovery by the average weight in tonnes of the equipment;
  - (ii) at least 75% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
- (b) for WEEE that falls within categories 3 and 4 of Schedule 1—
  - (i) at least 75% recovery by the average weight in tonnes of the equipment;
  - (ii) at least 65% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
- (c) for WEEE that falls within categories 2, 5, 6, 7, 8 and 9 of Schedule 1—
  - (i) at least 70% recovery by the average weight in tonnes of the equipment;
  - (ii) excluding gas discharge lamps and LED light sources, at least 50% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
- (d) for gas discharge lamps and LED light sources, at least 80% reuse and recycling of components, materials and substances by the average weight in tonnes of the lamps.

**23.** From 1st January 2016 until 31st December 2018 WEEE treated at the relevant AATF will meet the following targets—

- (a) for WEEE that falls within categories 1 and 10 of Schedule 1—
  - (i) at least 85% recovery by the average weight in tonnes of the equipment,
  - (ii) at least 80% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
- (b) for WEEE that falls within categories 3 and 4 of Schedule 1—
  - (i) at least 80% recovery by the average weight in tonnes of the equipment,
  - (ii) at least 70% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
- (c) for WEEE that falls within categories 2, 5, 6, 7, 8 and 9 of Schedule 1—
  - (i) at least 75% recovery by the average weight in tonnes of the equipment,
  - (ii) excluding gas discharge lamps and LED light sources, at least 55% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
- (d) for gas discharge lamps and LED light sources, at least 80% reuse and recycling of components, materials and substances by the average weight in tonnes of the lamps.

**24.** From 1st January 2019 WEEE treated at the relevant AATF will meet the following targets—

- (a) for WEEE that falls within categories 1 and 4 of Schedule 3—
  - (i) at least 85% recovery by the average weight in tonnes of the equipment,
  - (ii) at least 80% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;

*Status: This is the original version (as it was originally made).*

- (b) for WEEE that falls within category 2 of Schedule 3—
    - (i) at least 80% recovery by the average weight in tonnes of the equipment,
    - (ii) at least 70% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
  - (c) for WEEE that falls within categories 5 or 6 of Schedule 3—
    - (i) at least 75% recovery by the average weight in tonnes of the equipment,
    - (ii) excluding gas discharge lamps and LED light sources, at least 55% reuse and recycling of components, materials and substances by the average weight in tonnes of the equipment;
  - (d) for WEEE falling within category 3 at least 80% reuse and recycling of components, materials and substances by the average weight in tonnes of the lamps.
- 25.** The operator of the AATF will comply with the requirements of regulation 66.
- 26.** The operator of the AATF has systems and procedures in place to ensure that data included in reports produced under regulation 66 are accurate.
- 27.** Where the operator of an ATF has submitted an application for approval under regulation 61(1) which was accompanied by the fee specified in regulation 65(1)(a) and he subsequently issues evidence notes for in excess of 400 tonnes of WEEE in the approval period to which the application relates, the operator of that ATF must pay the fee specified in regulation 65(1)(b) within 28 days of the date on which the first evidence note which exceeded 400 tonnes is issued in the relevant approval period, less the amount of the fee already paid which is specified in regulation 65(1)(a).

## PART 3

### Conditions of approval of exporters

- 28.** An evidence note will only be issued in respect of WEEE that will be exported in accordance with Regulation (EC) 1013/2006 of the European Parliament and of the Council of the 14th June 2006 on shipments of waste with respect to WEEE that has arisen as waste in the United Kingdom and that—
- (a) will be exported for treatment at any establishment or undertaking located outside the United Kingdom which carries out treatment operations and which is of an equivalent standard to an ATF;
  - (b) will be exported for recovery or recycling at any establishment or undertaking located outside the United Kingdom which carries out recovery or recycling operations and which is of an equivalent standard to a reprocessor; or
  - (c) will be exported for reuse as a whole appliance to any establishment or undertaking located outside the United Kingdom.
- 29.** The amount of WEEE recorded on an evidence note will be recorded in tonnes but any fraction of a whole tonne will be recorded in kilograms and such a fraction will be—
- (a) rounded up to the nearest whole kilogram where the part kilogram is 0.5 or more; and
  - (b) rounded down to the nearest whole kilogram where the part kilogram is less than 0.5.
- 30.** Where—
- (a) the result of rounding up under paragraph 29(a) is 1000 kilograms; or

- (b) the result of rounding down under paragraph 2(b) is 0 kilograms, the total amount will be recorded in tonnes.

**31.** Duplicate copies of an evidence note issued under these Regulations will be retained by an approved exporter and made available for inspection by the appropriate authority at all reasonable times.

**32.** An evidence note will not be issued by an approved exporter—

- (a) for more than the total amount of WEEE received for export by that exporter in the relevant approval period; and
- (b) for WEEE that is or will be partially treated in the United Kingdom before being exported by that exporter.

**33.** An evidence note will only be issued by an approved exporter in a format approved by the Secretary of State.

**34.** An evidence note will only be issued by an approved exporter to—

- (a) an operator of a scheme; or
- (b) a producer to whom regulation 14(10) applies.

**35.** An evidence note will not be issued by an approved exporter after the 31st January in the year immediately following the end of the relevant approval period.

**36.** The approved exporter will comply with the requirements of regulation 66.

**37.** The approved exporter has systems and procedures in place to ensure that data included in reports produced under regulation 66 are accurate.

**38.** The approved exporter will comply with the requirements of Schedule 9.

**39.** Where an exporter has submitted an application for approval under regulation 61(1) which was accompanied by the fee specified in regulation 65(1)(a) and he subsequently issues evidence notes for in excess of 400 tonnes of WEEE in the approval period to which the application relates, the exporter must pay the fee specified in regulation 65(1)(b) in the period to which the approval relates, less the amount of the fee already paid which is specified in regulation 65(1)(a).