

**Waste Electrical and Electronic Equipment Regulations 2013 (as amended) -  
Schedule 11 – Part 2.**

**Conditions of approval of authorised treatment facilities**

- 9.** An evidence note for treatment must only be issued with respect to WEEE that—
  - (a) has been collected by a scheme or on behalf of a scheme;
  - (b) has arisen as waste in the United Kingdom; and
  - (c) has been received for treatment at an AATF.
- 10.** An evidence note for reuse as a whole appliance must 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 must 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 3(a) is 1000 kilograms, or
  - (b) the result of rounding down under paragraph 3(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 must 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 must 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 must 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 must 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 must only be issued by an AATF in a format approved by the Secretary of State.
- 18.** An AATF must not issue an evidence note in relation to non-obligated WEEE.
- 19.** An evidence note must 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,

must 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 must 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 must 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 must 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.
- 25.** The operator of the AATF must 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).

## Reporting

66. —(1) An operator of an AATF or an approved exporter must provide reports to the appropriate authority—
- (a) on or before 30th April in a relevant approval period in respect of the first quarter period in that approval period;
  - (b) on or before 31st July in a relevant approval period in respect of the second quarter period in that approval period;
  - (c) on or before 31st October in a relevant approval period in respect of the third quarter period in that approval period; and
  - (d) on or before 31st January in the year immediately following the end of a relevant approval period in respect of the fourth quarter period in that approval period.
- (2) During the transitional period, the reports referred to in paragraph (1) must, include details of—
- (a) in the case of an AATF—
    - (i) the total amount in tonnes of WEEE received for treatment under these Regulations, and
    - (ii) the total amount in tonnes of WEEE delivered to another ATF for treatment under these Regulations,
    - (iii) where sub-paragraph (a)(ii) applies
      - (aa) the name and address of the operator of the ATF referred to in that sub-paragraph; and
      - (bb) the address of the ATF where the treatment referred to in that sub-paragraph was carried out;
    - (iv) the total amount in tonnes of WEEE in respect of which evidence of reuse as a whole appliance has been issued by that AATF under these Regulations,
    - (v) where sub-paragraph (iv) applies and the evidence relates to WEEE that has not been received at the premises of that AATF, the name and address of the reuse establishment or undertaking in receipt of that WEEE, and
    - (vi) where sub-paragraph (a)(i), (ii) or (iv) applies, details of the amounts in tonnes of WEEE must be provided by reference to the following categories—
      - (aa) each of the categories listed in Schedule 1 (excluding display equipment, appliances containing refrigerants, gas discharge lamps, LED light sources and photovoltaic panels),
      - (bb) display equipment,
      - (cc) appliances containing refrigerants,
      - (dd) gas discharge lamps, and LED light sources; and
      - (ee) photovoltaic panels
  - (b) and in the case of each category must specify the amount in tonnes of WEEE from private households, WEEE from users other than private households and from or on behalf of which scheme it was received;
  - (c) in the case of an approved exporter, the total amount of WEEE in tonnes received and the total amount of WEEE in tonnes exported for reuse as a whole appliance, treatment, recovery or recycling by reference to the following categories—
    - (i) each of the categories listed in Schedule 1 (excluding display equipment, appliances containing refrigerants, gas discharge lamps, LED light sources and photovoltaic panels),
    - (ii) display equipment,
    - (iii) appliances containing refrigerants,

- (iv) gas discharge lamps and LED light sources, and;
- (v) photovoltaic panels

and in the case of each category must specify the amount in tonnes of WEEE from private households, WEEE from users other than private households and from or on behalf of which scheme it was received; and

- (d) in relation to each scheme to whom an evidence note has been issued—
    - (i) the name of the scheme; and
    - (ii) the total tonnage of WEEE stated in all evidence notes issued to that scheme.
  - (3) In addition to the requirements in paragraph (2), the reports referred to in paragraph (1) must include details of the total amount in tonnes of non-obligated WEEE received by the AATF or approved exporter and must also specify the total amount in tonnes of non-obligated WEEE received by the AATF that was retained by the operator of a designated collection facility under regulation 53, by reference to the following categories—
    - (a) each of the categories listed in Schedule 1 (excluding display equipment, appliances containing refrigerants, gas discharge lamps, LED light sources and photovoltaic panels);
    - (b) display equipment;
    - (c) appliances containing refrigerants;
    - (d) gas discharge lamps and LED light sources; and
    - (e) photovoltaic panels.
  - (4) In addition to the requirements in paragraph (2), the report referred to in paragraph (1)(d) must include all of the information provided in the quarterly reports that relate to the relevant approval period.
  - (5) From 1st January 2014 until 31st December 2015 an operator of an AATF or an approved exporter must allow the appropriate authority to assess whether the conditions in Schedule 11 part 2 paragraph (22) have been met during the relevant approval period.
  - (6) From 1st January 2016 until 31st December 2018 an operator of an AATF or an approved exporter must allow the appropriate authority to assess whether the conditions in Schedule 11 part 2 paragraph (23) have been met during the relevant approval period.
  - (7) From 1st January 2019, an operator of an AATF or an approved exporter must allow the appropriate authority to assess whether the conditions in Schedule 11 part 2 paragraph (24) have been met during the relevant approval period.
  - (8) From 1st January 2019, the reports referred to in paragraph (1) must, include details of—
    - (a) in the case of an AATF—
      - (i) the total amount in tonnes of WEEE received for treatment under these Regulations, and
      - (ii) the total amount in tonnes of WEEE delivered to another ATF for treatment under these Regulations,
      - (iii) where sub-paragraph (a)(ii) applies
        - (aa) the name and address of the operator of the ATF referred to in that sub-paragraph; and
        - (bb) the address of the ATF where the treatment referred to in that sub-paragraph was carried out;
- the total amount in tonnes of WEEE in respect of which evidence of reuse as a whole appliance has been issued by that AATF under these Regulations, and where sub-paragraph (iv) applies and the evidence relates to WEEE that has

not been received at the premises of that AATF, the name and address of the reuse establishment or undertaking in receipt of that WEEE;

(8A) Where paragraph (8)(a)(i), (ii) or (iv) or (8)(b) applies, details of the amounts in tonnes of WEEE must be provided by reference to each of the following categories—

- (i) the categories listed in Schedule 3 (excluding display equipment, appliances containing refrigerants, gas discharge lamps, LED light sources and photovoltaic panels),
- (ii) display equipment,
- (iii) appliances containing refrigerants,
- (iv) gas discharge lamps and LED light sources, and
- (v) photovoltaic panels

and in the case of each category must specify the amount in tonnes of WEEE from private households, WEEE from users other than private households and from or on behalf of which scheme it was received.

- (b) in the case of an approved exporter, the total amount of WEEE in tonnes received and the total amount of WEEE in tonnes exported for reuse as a whole appliance, treatment, recovery or recycling
- (c) in relation to each scheme to whom an evidence note has been issued—
  - (i) the name of the scheme, and
  - (ii) the total tonnage of WEEE stated in all evidence notes issued to that scheme.

(9) In addition to the requirements in paragraph (8) the reports referred to in paragraph (1) must include details of the total amount in tonnes of non-obligated WEEE received by the AATF or approved exporter and must also specify the total amount in tonnes of non-obligated WEEE received by the AATF that was retained by the operator of a designated collection facility under regulation 53, by reference to each of the following categories –

- (i) the categories listed in Schedule 3 (excluding display equipment, appliances containing refrigerants, gas discharge lamps, LED light sources and photovoltaic panels,
- (ii) display equipment,
- (iii) appliances containing refrigerants,
- (iv) gas discharge lamps and LED light sources; and
- (v) photovoltaic panels

(10) In addition to the requirements in paragraph (8), the report referred to in paragraph (1)(d) must include all of the information provided in the quarterly reports that relate to the relevant approval period.

(11) The reports referred to in paragraph (1) must be either submitted in the format published by the appropriate authority under regulation 81(2) or online.

### **Record keeping**

**67.**—(1) An AATF or an approved exporter must maintain records that enable completion of the reports referred to in regulation 66(1) and 66(2) for each quarter period in a relevant approval period.

(3) The records referred to in paragraph (1) must be kept for a period of at least four years commencing on the date on which any such record is made and must be made available to the appropriate authority on demand.