

# How to apply for approval as a Battery Treatment Operator or Battery Exporter

## Guidance Notes

The Waste Batteries and Accumulators Regulations 2009



**Please read these guidance notes carefully before making your application online using the National Packaging Waste Database (NPWD). You must read this document in conjunction with the Waste Batteries and Accumulators Regulations 2009.**

### Contents

- 1 What is an ABTO?
- 2 What is an ABE?
- 3 Who must apply for approval?
- 4 How to apply
- 5 How to complete the application form
- 6 Application charge
- 7 What happens once you've submitted your application
- 8 Conditions of approval
- 9 Records, reporting and issuing evidence
- 10 Suspension and cancellation
- 11 Further information and contact details for the agencies

## 1 What is an ABTO?

An approved battery treatment operator (ABTO) is a person with sites in the UK where treatment and recycling of waste batteries is carried out, and who has been granted approval by the appropriate authority<sup>1</sup>. An ABTO must have at least one specified site where they carry out treatment and recycling of waste batteries.

An ABTO may be any type of legal entity, such as a sole trader, partnership or company registered either in the UK or overseas.

## 2 What is an ABE?

An ABE is a person who exports waste batteries for treatment and recycling outside the UK, and who has been granted approval by the appropriate authority. Details of the agencies are in section 11. An ABE must have an operating presence in the UK. This can be demonstrated as an office, ownership of property in the UK or the presence of employees in the UK.

An ABE may be any type of legal entity, such as a sole trader, partnership or company registered either in the UK or overseas.

## 3 Who must apply for approval?

The Waste Batteries and Accumulators Regulations 2009 (the Regulations) require you to apply for approval if you:

- are the first person to treat and recycle UK waste industrial and/or automotive batteries; or
- export UK waste industrial and/or automotive batteries for treatment and recycling;
- treat and recycle portable batteries and wish to issue evidence against them;
- export portable batteries for treatment and recycling and wish to issue evidence against them;
- export portable batteries on behalf of an Approved Battery Treatment Operator (ABTO), who has issued evidence on these batteries.

Treatment is defined as 'any activity carried out on waste batteries after they have been handed over to a person for sorting, preparation for recycling or preparation for disposal'.

Therefore sorting batteries into category and/or chemistry is a treatment activity. If an operator sorts industrial and/or automotive batteries, they must be an ABTO, whereas if an operator sorts portable batteries into chemistry, they only need to be an ABTO if they wish to issue evidence on these batteries.

Recycling is the reprocessing in a production process of waste materials for their original purpose or other purposes. It includes thermal treatment processes, such as pyrolysis and smelting and mechanical separation but excludes energy recovery.

## 4 How to apply

### 4.1 Making an application

You may apply for approval as an ABTO or ABE at any time and the approval will last until the end of the compliance year that you are approved for. The compliance year and approval period runs from 1 January to 31 December. You must re-apply for approval every year.

If you submit your application by 30 September then, if successful, your approval will run from 1 January to 31 December of the following year. We will assess your application and notify you of our determination to refuse or grant approval within the statutory determination period of 12 weeks from when we duly make your application. You must take this into account when applying.

Any applications we receive after 30 September may not be processed before the start of the next approval period, so your approval, if granted, may not be in place for the full 12 months from 1 January to 31 December.

If we grant approval, it takes effect from the date of our determination. We will not backdate your approval. All approvals will end on 31 December unless we suspend or cancel your approval (this may be as a result of your decision or as a result of our compliance monitoring of you). However, you should be aware that some of your obligations under your approval extend into the year following your relevant approval year.

<sup>1</sup> The Environment Agency if your registered office or principal place of business is in England or Wales, the Scottish Environment Protection Agency if in Scotland or the Northern Ireland Environment Agency if in Northern Ireland.

If you are based outside the UK, you may apply for approval as long as you have:

- at least one UK treatment and recycling site (ABTOs);
- an operating presence, such as an office or employees, in the UK (ABEs only).

You must apply using the National Packaging Waste Database (NPWD) at: <http://npwd.environment-agency.gov.uk>.

## 4.2 Obtaining an NPWD login

You need to obtain a batteries login username and password from us by completing the 'NPWD Batteries Login Form – Superuser'. You can obtain this form from us. Please email the Environment Agency in England and Wales at: [batteries@environment-agency.gov.uk](mailto:batteries@environment-agency.gov.uk) or call SEPA in Scotland on 01786 457 700 and NIEA in Northern Ireland on 028 9056 9382. Additional users can be created by your Superuser. Users are required to enter passwords and a 6 digit PIN in order to log in and carry out transactions.

## 4.3 Appropriate person

NPWD uses electronic signatures so we will need to set up your appropriate person to be the electronic signatory because an 'appropriate person' must sign the online application form, submit returns and issue evidence. Therefore you need to complete an 'appropriate person' form because an 'appropriate person' must sign the online application form, submit returns and issue evidence. Appropriate person is defined in regulation 5 of the Regulations. For a company registered in the UK, it is a director or company secretary of that company; for a partnership it is a partner or member of the partnership; for an individual, it is that individual; for a body other than a company registered in the UK, partnership or an individual, it is a person who has control or management of that body. You can obtain this form from us.

## 5 How to complete the application form

### 5.1 Part A: Basic information

From your homepage, start a new application and select the year you are applying for approval.

### 5.2 Step A/1 – Main Contact

Please give us the name and address of the primary contact and their telephone number and email address. This information will be used for all our correspondence with you. To help us to communicate with you and send you updates please also provide a contact email address. Please ensure that you include the correct postcode in your application so that we can ensure any correspondence is properly addressed.

### 5.3 Step A/2 – Applicant Details

You need to indicate who the legal entity is and provide supporting evidence, for example, if you are a registered company in the UK this could be a copy of your Companies House registration. If you are a partnership please provide us with the names of all the partners or members of the partnership.

### 5.4 Step A/3 – Registered Office/Principal Place of Business

Please provide your registered address or principal place of business if you are an unincorporated body.

### 5.5 Step A/4 – Service of Notice Address

Please provide the address that you wish legal notices and invoices to be sent to. The registered company address should be used unless you specify otherwise. If you are an unincorporated body, legal notices and invoices will be sent to your principal place of business. If you require these to be sent to any other address please let us know.

### 5.6 Step A/5 – Sole Trader/Partnership Details (if applicable)

Please provide details of all the partners in the partnership.

### 5.7 Step A/6 – Other Approvals

Please enter your waste carrier or waste broker details if you are registered.

If you are buying someone else's waste, you need to be a broker unless an exemption applies.

You can apply for registration at:

<http://www.environment-agency.gov.uk/business/sectors/wastecarriers.aspx>

Or contact SEPA or NIEA at the addresses in section 11.

### 5.8 Step A/7 – Relevant Offences

We need to know if you have been convicted of an offence under these Regulations. If you have been convicted of any such offence you must explain how every breach of the Regulations resulted in an offence occurring and what steps you have taken to ensure this will not happen again.

We will use that information to assess whether to approve you. If we are not satisfied that you have put in place adequate measures to prevent further offences occurring we may refuse your application, so it is important for you to provide an adequate and detailed explanation with your application.

### 5.9 Step A/8 – Uploads

You must upload the following documents with your application:

- sampling and inspection plan (section A/8.1);
- description of documentation systems (section A/8.2);
- description of treatment and recycling operations (section A/8.3); and
- evidence of required standards of all non-UK sites (section A/8.4) (exporters only).

Each of these documents must cover each different type of waste battery for which you are applying for approval (portable and/or industrial/automotive) and each chemistry type (nickel cadmium, lead-acid and other).

You can upload documents with extensions PDF, DOC, DOCX, XLS, CSV, PNG, TIF, TIFF, JPG, JPEG, GIF and GIFF. The maximum supported file size is 20MB per file. If you have a file larger than 20MB you will need to save it into smaller sections and upload them separately.

### 5.10 Step A/8.1 – Sampling and inspection plan

You must include a sampling and inspection plan with your application. The purpose of this plan is to explain how you will determine the types of batteries you are accepting for treatment and also how you intend to inspect and monitor the waste batteries you accept.

The sampling and inspection plan must set out how you will:

- confirm that the batteries have arisen as waste in the UK;
- determine the tonnage of waste batteries you receive;
- separate the waste batteries by category and/or chemistry;
- sort mixed or potentially contaminated loads to determine the chemistry and/or category of batteries and the contamination in each load accepted;
- inspect each incoming load to ensure it meets your requirements; and
- for portable batteries, provide details of how you will identify which compliance scheme you have accepted the batteries on behalf of.

If you apply for approval for industrial and/or automotive batteries only but also receive portable batteries, your sampling and inspection must detail the proportions of all three categories of batteries, to ensure that you can complete your industrial and/or automotive battery returns accurately.

#### 5.10.1 Protocols

If you do not wish to sort every load, for example, if you receive loads of mixed category lead-acid batteries which do not need to be sorted in order to be recovered, you may wish to apply for a protocol. There are no national protocols for waste batteries but you may develop your own protocol if you wish. Where you intend to develop your own protocol for receiving mixed loads, you must provide a full justification and supporting evidence for it. The protocol may be in relation to all batteries you receive or only those from specified sources.

If you wish to apply for a protocol, for example, for mixed-category lead-acid batteries, you will need to provide the following information:

- tell us why you want the protocol, the need for it and what you hope to achieve with the protocol;
- this should be supported by sorting data of the quantities of portable, automotive and industrial batteries recorded for each site that the protocol will be used on;
- there should also be supporting information for any anomalies, for example, if particular loads have significantly higher or lower quantities of a specific type of battery than others, is that due to the type of site the batteries were collected from;
- we would also expect to see that you plan to repeat sorting of batteries on a regular basis to ensure that the protocol is still appropriate;
- finally do the proportions of batteries in the loads seem reasonable compared to the proportions of batteries placed on the market.

Additional information may be required depending on the protocol being applied for.

If you wish to apply for a protocol, send your proposal to the relevant agency to be assessed. If we are satisfied with your proposed protocol, we will acknowledge it. If your protocol is acknowledged, you may use it for the sites specified and for the waste stream that was sorted. This means that the relevant loads do not need to be sorted and the protocol can be applied for the proportions of batteries in the load.

#### 5.11 Step A/8.2 – Description of documentation systems

You must provide:

- details of the documentation systems you will use to comply with your record keeping and reporting obligations and to enable you to comply with your conditions of approval;

- details of how you will record the tonnages of batteries received and by category and chemistry; and
- an explanation of how you will accept portable batteries and issue evidence (if applicable). You must explain how you will ensure you issue evidence correctly and the information you will use to support the evidence you issue. You will need to demonstrate how you will confirm that evidence notes are only issued for UK batteries and provide an audit trail of the compliance scheme that the batteries were accepted on behalf of that evidence was issued to.

Your documentation must show that you have met the minimum treatment and recycling requirements and recycling efficiencies (applicable from 26 September 2011).

If any of the batteries are exported, you must explain how this is recorded and detail the supporting documentation that will be provided as evidence that the batteries have been exported and subsequently received for treatment and recycling at an overseas site specified on your approval (or subsequently added to your approval). If the batteries are being sorted at the overseas site into category and/or chemistry, this must be supported by documentation, including sorting records.

Your documentation systems must provide a full audit trail from acceptance of batteries to final treatment and recycling, and fully support any evidence notes you issue (if applicable). You must also demonstrate that you have documentation systems to support your quarterly or annual returns and to enable you to report correctly.

If you apply to be both an ABTO and ABE, or you receive batteries from another ABTO, you will need to demonstrate how you will ensure double-counting does not occur.

The documentation you will need to support your approval will include waste transfer notes, hazardous waste consignment notes, input and output records, sorting records, shipping documentation, etc.

You are required to keep any supporting records for 4 years.

#### 5.12 Step A/8.3 – Description of treatment and recycling operations

Tell us how you intend to meet the minimum treatment and recycling requirements set out in Part 2 of Schedule 4 to the Regulations for each site you are applying for.

You should describe the treatment and recycling operations you intend to carry out on each category and chemistry of waste batteries at each of your specified sites, or which someone will undertake on your behalf (for ABTOs only). This will include details of removal of fluids and acids (if applicable), compliance with EC legislation relating to health and safety and waste management and if the treatment and storage is on impermeable surfaces/under a suitable weatherproof covering/or in suitable containers.

If you are applying to be an ABE you should describe the treatment and recycling operations which will occur at each of the sites you have specified outside the UK.

For both ABTOs and ABEs you must detail what best available techniques the treatment and recycling sites are using and explain the recycling efficiency levels these operations achieve.

From 26 September 2011, the recycling of batteries must meet the following minimum recycling efficiencies and associated requirements:

- (i) recycling of 65% by average weight of lead-acid batteries, including recycling of the lead content to the highest

degree that is technically feasible while avoiding excessive costs;

- (ii) recycling of 75% by average weight of nickel-cadmium batteries, including recycling of the cadmium content to the highest degree that is technically feasible while avoiding excessive costs; and
- (iii) recycling of 50% by average weight of other waste batteries.

Please also detail if whole batteries or components or specific waste streams, such as plastics or metals, are transferred to additional sites and what end products are obtained. If additional sites are used, you will need to include details of the recycling and treatment processes. You will need to obtain details of the quantities of materials recycled to confirm that the recycling efficiencies will be met.

### 5.13 Step A/8.4 – Treatment Requirements (exporters only)

For each overseas site, you wish us to assess, you must provide evidence showing that it will meet the minimum treatment and recycling requirements set out in paragraph 10(3) of Part 2 of Schedule 4 to the Regulations.

For sites within the European Economic Area (EEA), you should provide details of their permit (both original and translation) and their compliance with this authorisation, such as an inspection report. This should be uploaded in step B/3 for each site.

For sites outside the EEA you must provide evidence that the site is operating to standards that are broadly equivalent to EEA standards and that it complies, as a minimum, with Community legislation, in particular as regards health and safety and waste management. This evidence can be a statement from the competent authority that shows that the reprocessing site is regulated and works within a system that meets the standards as set out above. You should also provide a copy of the relevant environmental permit (original and translation). This should be uploaded in step B/3 for each site. We may consider other evidence which shows that the reprocessing sites operate to the required standards.

If you cannot provide satisfactory evidence that an overseas site meets the required standards we will not grant approval for you to export waste batteries to this site.

For all non-UK sites for which you wish to be approved, you must also show that you are able to comply with the Transfrontier Shipment of Waste Regulations 2007 and the Waste Shipment Regulations (EC/1013/2006) for all exports of waste batteries. Further information on exports can be obtained from the regulators. Contact details are provided in section 11.

### 5.14 Step A/9 – Additional Files

If there is any additional information you would like us to consider as part of application please upload it in this section.

### 5.15 ABTOs: Part B – Sites

For each site, you wish to be assessed, create a separate entry and state whether it is for waste portable or waste industrial/automotive batteries, or both.

#### 5.15.1 Step B/1 – Site Address

You must specify the name and address of each site and the permit or exemption number.

#### 5.15.2 Step B/2 – Battery Categories

You must specify the categories of batteries that the site accepts and estimated quantities of batteries that the site will accept. If the site accepts portable batteries, you must also indicate if evidence notes will be issued.

#### 5.15.3 Step B/3 – Additional Files

If there is any additional information, you wish us to consider, please upload it here.

### 5.16 ABEs: Part B – Overseas Sites

For each overseas site you wish to be assessed, create a separate entry and state whether it is for waste portable or waste industrial/automotive batteries, or both.

#### 5.16.1 Step B/1 – Overseas Site Address

You must specify the name and address of each site.

#### 5.16.2 Step B/2 – Battery Categories

You must specify the categories of batteries that the site accepts and estimated quantities of batteries that the site will accept. If the site accepts portable batteries, you must also indicate if evidence notes will be issued.

#### 5.16.3 Step B/3 – Additional Files

Please upload the permit for each site here and any other additional information you wish us to consider.

#### 5.16.4 Step B/4 – Environmental Permits

Provide the permit number (if applicable) and if the site has been accredited for an environmental management system.

#### 5.16.5 Step B/5 – Description of Operations

Provide details of the treatment or recycling operations for each chemistry of batteries that will be carried out by that site on your behalf.

## 6 Application charge

An application charge must be made for your application to be technically assessed.

The fee can be paid by:

- cheque;
- CHAPS;
- BACS; or
- credit card over the telephone (not available in Northern Ireland).

The contact details for the agencies are in section 11.

### 6.1 ABTO charge

For an ABTO, the fee is based on the number of sites being applied for and, for each of the sites, whether you plan to operate below or above the following thresholds:

- issuing batteries evidence notes in respect of not more than 15 tonnes of waste batteries; and
- accepting not more than 150 tonnes of waste automotive and industrial batteries for treatment and recycling.

If you expect to exceed either of these thresholds, you must pay the charge for a 'large' ABTO, which is £2,570 in England, Wales and Scotland and £2,590 in Northern Ireland.

If you expect to remain under both of these thresholds, you should pay the 'small' ABTO charge, which is £500.

You must be under both thresholds to qualify for the smaller charge.

You must pay the appropriate charge for each site for which you are applying. If you do not include the correct charge your application will be returned to you and its determination delayed.

## 6.2 ABE charges

For ABEs, the charge you pay is dependent only on whether you plan to operate below or above the following thresholds:

- issuing batteries evidence notes in respect of not more than 15 tonnes of waste portable batteries; and
- accepting not more than 150 tonnes of waste automotive and industrial batteries for treatment and recycling.

If you expect to exceed either of the thresholds, you must pay the charge for a 'large' ABE. This is £2,570 in England, Wales and Scotland and £2,590 in Northern Ireland.

If you expect to remain under both of the thresholds, you should pay the charge for a 'small' ABE. This is £500.

You must be under both thresholds to qualify for the lower charge.

The charge is not related to the number of overseas sites in your application. You may apply for as many overseas sites on one application as you wish for no extra charge. However, if you wish subsequently to add further sites, you must pay a further charge of £110 per site at that time.

## 6.3 ABTOs and ABEs

If you are applying to be both an ABTO and an ABE, you must make separate applications and pay the appropriate charge for each of these.

## 6.4 Making changes during your approval year

If you are approved as a small ABTO or ABE but during your approval year you then:

- issue evidence notes for more than 15 tonnes of waste portable batteries; or
- accept more than 150 tonnes of waste industrial/automotive batteries for treatment and recycling

you must pay the balance of the charge (£2,070 in England, Wales and Scotland and £2,090 in Northern Ireland) for each ABTO facility or ABE approval within 28 days of exceeding the thresholds.

If you are an ABE and you wish to add additional overseas sites to your approval, you must apply to do so and pay a charge of £110 per site.

The additional site(s) will be approved from the date of our decision to approve the site(s). There will be no backdating.

## 7 What happens once you've submitted your application

### 7.1 Duly making process

Once you have submitted the online form the agencies will carry out a check on your submission to check it has all the information we need to start our assessment. Once the application is 'duly made', including payment of the application charge, we will technically assess the application.

If your application is rejected because it is incomplete you will receive a refund, but if it is duly made and technically assessed but is not approved you will not receive a refund.

## 7.2 Technical Assessment

Once your application has been duly made, it will be technically assessed and we will decide whether to grant approval. Part of this process may include further clarification and submission of extra information that we require. A site visit may be required as part of the assessment. Applications must be determined within 12 weeks once the application has been duly made, unless an extension is agreed.

In order to approve your application, we must be satisfied that you have met the criteria for approval, specified in regulation 59(2), including that you will comply with the conditions of approval.

## 7.3 Approval

If you are approved, you will receive separate approval numbers for each approval type (ABTO or ABE), for each battery type you have applied for (portable or industrial/automotive) and for ABTOs only, for each specified site, from each appropriate authority to which you make an application. For ABEs, one approval number covers all your treatment and recycling sites outside the UK.

If we refuse your application, we will let you know why. You will not receive a refund of your application charge and you have the right to appeal against our decision.

## 7.4 Your right to appeal against a decision

You may appeal against our decision to refuse approval, or to withdraw your approval.

If you wish to make an appeal you should submit it to the Secretary of State for England and Wales, the Scottish Ministers for Scotland or the Planning Appeals Commission in Northern Ireland, depending on which authority refused your application or withdrew your approval.

The procedure to appeal is set out in Schedule 7 of the Regulations. If your appeal is successful we must notify you within 28 days of the date your appeal succeeded of our decision to grant approval.

Where your approval is withdrawn during an approval period, the withdrawal will be ineffective until any appeal has been decided. Where your approval is suspended during an approval period the suspension will remain in force while any appeal is being decided.

## 8 Conditions of approval

Once you are approved as an ABTO or ABE, you must comply with the general conditions of approval which are set out in Part 2 of Schedule 4 to the Regulations.

This includes the requirements relating to treatment standards and recycling efficiencies, reporting and holding the relevant authorisations.

Portable ABTOs must also comply with the conditions of approval set out in Part 3 of Schedule 4 to the Regulations.

Portable ABEs must also comply with the conditions of approval set out in Part 4 of Schedule 4 to the Regulations.

Please see Schedule 4 to the Regulations for the precise wording of each condition.

### 8.1 Compliance with other legislation

ABTOs and ABEs must comply with other related legislation, including the transport of batteries both in the UK and overseas.

ABEs must also comply with the Transfrontier Shipment of Waste Regulations 2007 and Waste Shipment Regulations (EC/1013/2006), available at: <http://www.environment-agency.gov.uk/netregs/63370.aspx>

## 9 Records, reporting and issuing evidence

### 9.1 Records

ABTOs and ABEs must retain records to support the batteries evidence notes you have issued or the industrial/automotive batteries you have accepted for treatment and recycling, as specified by regulation 67. This may include transfer notes, hazardous waste consignment notes, contract details, weighbridge tickets, photographs, invoices and any other relevant documentation to support your compliance with conditions of approval.

The records must be kept for at least four years after the record is made and may be required as part of your compliance monitoring or if you are required to submit an independent audit report.

### 9.2 Reporting

ABTOs and ABEs must provide us with reports in accordance with regulation 66. For waste portable batteries these reports must be submitted quarterly by the following dates:

- Quarter 1 (January, February, March) – 30 April
- Quarter 2 (April, May, June) – 31 July
- Quarter 3 (July, August, September) – 31 October
- Quarter 4 (October, November, December) – 31 January.

For waste industrial/automotive batteries an annual report must be submitted on or before 31 January of the year following the end of the relevant approval period.

These reports are submitted on NPWD. There is further guidance on reporting in 'GN07: Guidance regarding the Waste Batteries and Accumulators Regulations 2009'.

### 9.3 Independent Audit Reports

Independent Audit Reports are required from 'large' ABTOs and ABEs who have either:

- issued more than 15 tonnes of evidence on portable batteries; or
- accepted for treatment and recycling more than 150 tonnes of automotive/industrial batteries

by 31 May in the year following the relevant approval period. There is further information available in the document 'Independent Audit Report Guidance'.

The report must be from an independent auditor and demonstrate to our satisfaction that:

- the treatment of waste batteries accepted at a specified site (ABTO) or exporter (ABE) meets the minimum treatment requirements;
- the recycling of waste batteries accepted at a specified site (ABTO) or exported (ABE) meets the minimum recycling efficiency requirements (this is in force only from 26 September 2011); and
- the batteries evidence issued by the ABTO or ABE during the relevant approval period are consistent with the amount of waste portable batteries (in tonnes) accepted at a specified site for treatment and recycling or exported for treatment and recycling.

Failure to supply an independent audit report may result in enforcement action.

## 10 Suspension and cancellation

Your approval lasts for one relevant approval period unless we suspend or cancel your approval.

### 10.1 Circumstances when we may suspend or cancel approval

We may suspend or cancel your approval if we believe you have failed or are likely to fail to comply with any of the general conditions of approval in Part 2 of Schedule 4 to the Regulations.

We may also suspend or cancel your approval:

- to issue batteries evidence notes where we believe that you have failed or are likely to fail to comply with any of the conditions of approval in Part 3 of Schedule 4 (ABTOs) or Part 4 of Schedule 4 (ABEs) to the Regulations;
- if we are no longer satisfied that the minimum treatment and recycling requirements in paragraph 10(3) of Schedule 4 to the Regulations are being met in relation to waste batteries exported to a site outside the EEA, we must cancel the approval of an exporter for that overseas site;
- where we believe you have knowingly or recklessly supplied false information in your application for approval, or knowingly or recklessly supplied false information in order to comply with any of your conditions of approval.

We may limit our suspension or cancellation to one or more specified sites for an ABTO or to one or more specified sites outside the UK for an ABE, or we may suspend or cancel your whole approval. The particular circumstances that lead to a suspension being issued will influence whether the suspension or cancellation is for part (i.e. named sites within an approval) or for the whole approval.

In addition to suspending or cancelling an approval we may also take other enforcement action.

Your approval will be deemed to be cancelled if you:

- cease to be a battery treatment operator or exporter; or
- ask us to cancel it (from the date you specify).

### 10.2 Notification of intent to suspend or cancel an approval

Before suspending or cancelling an approval we will send you notification of intent to do this. This notice will include information on:

- our decision to suspend or cancel the approval;
- the extent of the suspension or cancellation;
- our reasons for our decision;
- your right of appeal;
- for cancellations, the date when this will take effect; and
- for suspensions, the dates when the suspension will take effect, the period of suspension and any steps you are required to take to bring the suspension to an end.

During suspension and after cancellation you are not considered to be 'approved' and must not issue any batteries evidence notes nor accept for treatment and recycling industrial and/or automotive batteries. It is a criminal offence if you do.

If your suspension is lifted, you must not issue evidence against any waste portable batteries you have accepted during your period of suspension.

### 10.3 Enforcement

The Regulations contain specific offences for ABTOs and ABEs that fail to comply with the conditions of approval. These offences are in regulation 89 and the penalties are in regulation 90. If we believe or suspect that you have breached the Regulations we will investigate and may take enforcement action. We can also suspend or cancel your approval if we think this is appropriate.

The Environment Agency's Enforcement and Prosecution Policy is publicly available on our website at:  
<http://www.environment-agency.gov.uk/business/regulation/31851.aspx>

SEPA's Enforcement Policy is available at:  
[http://www.sepa.org.uk/about\\_us/policies.aspx](http://www.sepa.org.uk/about_us/policies.aspx)

NIEA's service standard is available at:  
<http://www.nienvironment.gov.uk/legislation-and-service.pdf>

### 11 Further information and contact details for the agencies

#### For England and Wales

Information on the battery regulations is available here:

[www.environment-agency.gov.uk/batteries](http://www.environment-agency.gov.uk/batteries)

For queries about approval as an ABTO or ABE:

Email: [batteries@environment-agency.gov.uk](mailto:batteries@environment-agency.gov.uk)

Telephone: 03708 506 506

Information on the controls that apply to the Transfrontier Shipments of Waste is available here:

[www.environment-agency.gov.uk/wasteshipments](http://www.environment-agency.gov.uk/wasteshipments)

Email: [nattfs@environment-agency.gov.uk](mailto:nattfs@environment-agency.gov.uk)

Telephone: 03708 506 506

#### For Scotland

Information on the battery regulations is available here:

[http://www.sepa.org.uk/waste/waste\\_regulation/producer\\_responsibility/batteries.aspx](http://www.sepa.org.uk/waste/waste_regulation/producer_responsibility/batteries.aspx)

For queries about approval as an ABTO or ABE:

Email: [Producer.responsibility@sepa.org.uk](mailto:Producer.responsibility@sepa.org.uk)

Telephone: 01786 457 700

Information on the controls that apply to the transfrontier movements of waste is available here:

[http://www.sepa.org.uk/waste/waste\\_regulation/transfrontier\\_shipment.aspx](http://www.sepa.org.uk/waste/waste_regulation/transfrontier_shipment.aspx)

Telephone: 01786 457 700

#### For Northern Ireland

Information on approval as an ABTO or ABE and the controls that apply to the transfrontier movements of waste is available here:

[http://www.doeni.gov.uk/index/protect\\_the\\_environment/waste/batteries.htm](http://www.doeni.gov.uk/index/protect_the_environment/waste/batteries.htm)

For queries on approval as an ABTO or ABE:

Email: [batteries@doeni.gov.uk](mailto:batteries@doeni.gov.uk)

Telephone: 028 9056 9382

For queries on transfrontier shipments of waste:

Email: [tfs@doeni.gov.uk](mailto:tfs@doeni.gov.uk)

Telephone: 028 9056 9742

#### Government departments

Department for Business Innovation and Skills (BIS)

<http://www.berr.gov.uk/whatwedo/sectors/sustainability/batteries/page30610.html>