

Upper tier – Application to register as an upper tier carrier/dealer, broker/dealer (or both) of controlled waste



Waste (England and Wales) Regulations 2011

Please read through this form and the guidance notes. Please write clearly in the answer spaces.

If you want to register or renew a registration as an upper tier carrier/dealer, broker/dealer (or both) of controlled waste, you can apply online from our website, www.environment-agency.gov.uk or you can use this form.

Before you apply, please make sure you read the **guidance notes on applying for registration as an upper tier carrier/dealer, broker/dealer (or both) of controlled waste.**

It will take about 15 minutes to fill in this form.

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1 About this application – part 1

1.1 I want to register as one of the following

Please tick one box only.

- A carrier/dealer
- A broker/dealer
- A carrier/broker/dealer

1.2 I would like to do the following

Please tick one of the following boxes.

- (a) Register for the first time – choose this option if you want to register for the first time or if your previous registration has expired and you want to register again.
- (b) Renew an existing registration – choose this option if your current registration comes to an end within the next six months and you want to renew it.
- (c) Make changes to an existing registration – choose this option if you want to do any of the following (please tick the appropriate box).
 - I want to join an existing registered partnership – if you are to become a partner in a partnership that is already registered, you can add your details in section 4. Or, all partners can make a new joint application (see (a) above), which costs the same
 - I am registered as a carrier/dealer and want to become a carrier/broker/dealer
 - I am registered as a broker/dealer and want to become a carrier/broker/dealer

You cannot change the identity of the legal person holding the registration on an existing registration. If you want to do this you will need to make a new application – see the guidance notes for details.

1.3 If you are renewing or making changes to an existing registration, please tell us

- (a) Your existing registration number

1 About this application – part 1, continued

- (b) The expiry date of your registration (DD/MM/YYYY)

You can find this information on your registration certificate.

2 The applicant

The applicant is the individual, company or organisation who will be registered (not necessarily the person filling in the form).

Customer reference number

What is your customer reference number?

The customer reference number is a unique identification number which tells us who you are. It is always made up of one letter and nine numbers in this order: A111111111.

If you have a customer reference number from us, please enter it here and go to section 7.

If you do not have a customer reference number, leave this blank and go to question 2.1.

2.1 Please tell us which type of applicant you are

Please tick one of the following boxes and then provide all details in the relevant section.

- An individual (such as a sole trader)
Now go to section 3.
- A partnership (or a new partner joining an existing partnership)
Now go to section 4.
- A limited company
Now go to section 5.
- A public body
Now go to section 6.

3 Individual applicants

3.1 Individual's details

Title (Mr, Mrs, Miss and so on) _____
First name _____
Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

Trading or business name (if any)

Previous name (if any)

3.2 Individual's address

Postcode _____

Country

3.3 Individual's contact details

Contact numbers, including the area code

Phone _____

Fax _____

Mobile _____

Email _____

Now go to section 7.

4 Partnership applicants

4.1 Partnership details

Partnership name

Trading name (if different to the above)

4.2 Partnership address

Postcode _____

Country

4 Partnership applicants, continued

4.3 Partnership contact details

Contact numbers, including the area code

Phone _____

Fax _____

Mobile _____

Email _____

4.4 Partner details

For each partner, please give the following details.

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

You must provide details of any other partners on a separate piece of paper.

Now go to section 7.

5 Limited company applicants

5.1 Company details

Full company name (as registered with Companies House)

Company registration number

Country of incorporation (if not the UK)

Trading name (if different from company name)

Previous name (if any)

5.2 Company registered office address

Postcode _____

5 Limited company applicants, continued

Country

5.3 Company contact details

Contact numbers, including the area code

Phone _____

Fax _____

Mobile _____

Email _____

5.4 Company officers

For each director and the company secretary, please provide the following details

Position

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

Position

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

Position

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

You must provide details of any other company officers on a separate piece of paper.

Now go to section 7.

6 Public body applicants

6.1 Public body details

Public body name

Type of public body (please tick one box only)

English county council

English district council

English unitary authority

English metropolitan council

London borough council

Welsh unitary authority

Town council

Other government authority

NHS trust

Primary care trust

Welsh local health board

Other health body

Fire authority

Other public body (please give details)

6.2 Public body address

Postcode _____

Country

6.3 Public body contact details

Contact numbers, including the area code

Phone _____

Fax _____

Mobile _____

Email _____

6.4 Public body chief executive details

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Date of birth (DD/MM/YYYY)

You must provide your date of birth.

Now go to section 7.

7 What language do you want your correspondence in?

English
 Welsh

8 Application contact

If we have any questions about the application, we will use the address you give here. We will also send all correspondence, including formal correspondence about future registrations, to this address. If you are applying as an individual and you are also the preferred contact, you do not have to fill in this section.

8.1 Contact details

Position

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Organisation name

8.2 Contact address

Postcode _____

Country

8.3 Contact numbers

Contact numbers, including the area code

Phone _____
 Fax _____
 Mobile _____
 Email _____

9 Principal place of business

Please give us the following details of your principal (main) place of business if different from those already given above.

9.1 Principal place of business address

Postcode _____

Country

9 Principal place of business, continued

9.2 Principal place of business contact details

Contact numbers, including the area code

Phone _____
 Fax _____
 Mobile _____
 Email _____

10 About this application – part 2

10.1 Convictions

Has the applicant or any relevant person (including business partner, director, manager, company secretary or any similar officer) been convicted of any relevant offence? Please see the guidance notes for an explanation of ‘relevant person’ and ‘relevant offence’.

Below, you must answer Yes or No. If you leave this blank, we will have to contact you which will delay your registration.

No
 Yes Now you must provide all details in question 10.2.

10.2 Please give details of any person (either the applicant or a relevant person to the applicant) who has been convicted of any relevant offence

For convicted individuals

Title (Mr, Mrs, Miss and so on) _____
 First name _____
 Last name _____
 Date of birth (DD/MM/YYYY)

 Position

For convicted corporate bodies

Corporate body name

For all convictions

Date of conviction (DD/MM/YYYY)

 Name of court

 Offence

 Penalty imposed

If there are other convictions, please continue on a separate piece of paper.

If you have not previously done so, you should provide a post-conviction plan for these convictions. **If you do not, it increases the likelihood of us refusing your application.** Please see the guidance notes for advice on writing your post-conviction plan.

11 The Data Protection Act 1998

We, the Environment Agency, will use the information you provide so that we can:

- deal with your application;
- make sure you keep to the conditions of the 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.

12 Copy cards for carriers

If you are a registered waste carrier/dealer, you can order credit-card style authorised copies of your registration certificate at any time. They cost £5 each. If you choose to order them now, we will not start to process your order until you are registered. We will then send you your certificate first and your copy cards will then follow, usually within 28 days of you being registered.

Please send me _____ copy cards at £5 each.

Total amount enclosed

£ _____

13 Checklist

There is a charge for your application. If we sent you this form by post, the amount will be shown in the letter which came with it. If you downloaded the form over the internet, you can find the charges on the same page of our website.

Please make cheques payable to **Environment Agency**.

I enclose a cheque for £ _____

Don't forget to include the cost of any copy cards you have ordered as well as your application charge.

Please check back through your application and make sure you have answered all the necessary questions and all the details given are correct. If you don't provide all the information we ask for, we may reject your application.

If you are including other documents with this application (for example, continuation sheets or a post-conviction plan), please make sure they have a title and a reference number and are dated. You also need to provide the following details.

13 Checklist, continued

Title

Reference number

Date (DD/MM/YYYY)

14 Declaration

If you make a statement that is false or misleading, you will be committing an offence under Section 7(3) of the Control of Pollution (Amendment) Act 1989.

I declare that as far as I know and believe, the information in this application is true. I understand that this application may be refused, or approval withdrawn, if I give false or incomplete information.

Tick this box to confirm that you understand and agree with the declaration above.

Name

Title (Mr, Mrs, Miss and so on) _____

First name _____

Last name _____

Position

Today's date (DD/MM/YYYY)

15 What happens next?

Please send your application, including the fee, to

Environment Agency
 Quadrant 2
 99 Parkway Avenue
 Sheffield
 S9 4WF.

The law gives us up to two months to make a decision on your application. However, in most cases we are much quicker than this.

If we need more information about your application, we will contact you by email, phone or in writing. In the unlikely event that we need more than two months to make a decision on your application, we will contact you first to ask for your agreement.

Once we have made a decision on your application, we will let you know the outcome. If you have been registered you will receive a certificate.

We may refuse your application if you or another relevant person has been convicted of a relevant offence or if you have given us incomplete or false information. We will not refund your application fee in these circumstances.

If we do refuse your application or if we take longer than two months to make a decision on it, without getting your agreement to do so, you can appeal to the Secretary of State.

Feedback

(You don't have to answer this part of the form, but it will help us improve our forms if you do.)

We want to make our forms easy to fill in and our guidance notes easy to understand. Please use the space below to give us any comments you may have about this form or the guidance notes that came with it.

How long did it take you to fill in this form?

We will use your feedback to improve our forms and guidance notes.



For Environment Agency use only

Application reference number

Date received (DD/MM/YYYY)

Fee received?

No

Yes

Amount received

£