

# Statutory Instrument 2004 No. 3212

## **The Landfill Allowances and Trading Scheme (England) Regulations 2004**

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### STATUTORY INSTRUMENTS

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**2004 No. 3212**

### **ENVIRONMENTAL PROTECTION, ENGLAND**

The Landfill Allowances and Trading Scheme (England) Regulations  
2004

*Made*

*3rd December 2004*

*Coming into force*

*1st April 2005*

The Secretary of State, in exercise of the powers conferred upon her by sections

6, 7, 10 to 13, 15, 16 and 26 of the Waste and Emissions Trading Act 2003<sup>[1]</sup> ("the Act"), and having consulted in accordance with section 27(2) of the Act such bodies or persons appearing to her to be representative of -

- (a) the interests of waste disposal authorities in England as she considers appropriate;
- (b) the interests of persons concerned in the operation of landfills in England as she considers appropriate;
- (c) any other affected persons as she considers appropriate;

makes the following Regulations, a draft of which (since these Regulations include the first regulations to be made by the Secretary of State under sections 6, 7 and 11 of the Act) has been laid before and approved by a resolution of each House of Parliament in accordance with section 28(2) of the Act:

## PART 1

### General

#### **Citation, commencement and application**

1. - (1) These Regulations may be cited as the Landfill Allowances and Trading Scheme (England) Regulations 2004 and come into force on 1st April 2005.

(2) These Regulations apply to England only.

#### **Interpretation**

2. - (1) In these Regulations -

"the Act" means the Waste and Emissions Trading Act 2003;

"collected municipal waste" means municipal waste which comes into the possession or under the control of -

(a) a waste disposal authority, or

(b) a waste collection authority within the area of the disposal authority,

whether or not the waste comes into the possession or under the control of that authority under or by virtue of the Environmental Protection Act 1990<sup>[2]</sup>;

"disposal" has the same meaning as in Council Directive 75/442/EEC on waste<sup>[3]</sup>;

"electronic communication" has the same meaning as in section 15(1) of the Electronic Communications Act 2000<sup>[4]</sup>;

"European Waste Catalogue" means the list of wastes which, pursuant to Article 1(a) of Council Directive 74/442/EEC on waste

and Article 1(4) of Council Directive 91/689/EEC[5] on hazardous waste, is set out in Commission Decision 2000/532/EC[6];

"landfill allowance account" means the landfill allowance account contained in the landfill allowances register under regulation 16(2) and (3);

"Landfill Directive" means Council Directive 99/31/EC on the landfill of waste[7];

"reconciliation period" means the period of 6 months following the end of a scheme year;

"recovery" has the same meaning as in Council Directive 75/442/EEC on waste;

"relevant authority" means -

- (a) the monitoring authority,
- (b) the Secretary of State;

"treatment" has the same meaning as in section 22(4) of the Act;

"vintage" means in respect of landfill allowances allocated -

- (a) for different scheme years, the chronological order in which those allowances were allocated,
- (b) for the same scheme year, the order in which those landfill allowances were allocated for that year;

"waste collection authority" has the same meaning as in Part 2 of the Environmental Protection Act 1990; and

"waste facility" means a facility for the disposal or recovery of waste other than a landfill.

(2) In these Regulations references to waste being sent by a waste disposal authority to a landfill or a waste facility are references to waste being sent to such a landfill or facility in pursuance of arrangements made by the authority.

(3) In these Regulations a landfill allowance is available to a waste disposal authority for a scheme year -

- (a) for the purposes of regulation 7 if it has -
  - (i) been allocated to the authority for that scheme year, and
  - (ii) not subsequently been transferred or withdrawn;
- (b) for all other purposes if it has been -

- (i) allocated to the authority for that scheme year, or
- (ii) banked, borrowed or transferred to that scheme year,

and not subsequently been banked, borrowed, transferred or withdrawn.

**Giving notices and notifications, and the submission of forms and returns**

3. - (1) Subject to paragraph (2), where under these Regulations a person is required or authorised to -

- (a) submit or give a form, notice or return to another person; or
- (b) notify another person of any matter;

the form, notice, return or notification must be in writing.

(2) Where -

(a) that other person has an address for the purposes of electronic communications -

- (i) any return may be submitted, or
- (ii) any notice or notification may be given,

by way of such communications;

(b) regulation 4(3)(a) applies, the form may be submitted to the monitoring authority by way of electronic communications to the address specified in the form;

(c) regulation 4(3)(b) applies, the form may be submitted to the monitoring authority via the website;

(d) a relevant authority maintains a website for the purpose of enabling returns to be submitted to the monitoring authority, any return which is enabled to be so submitted may be submitted to the monitoring authority via the website.

(3) Any notification given in writing by the Secretary of State under these Regulations may be given by addressing it to the waste disposal authority and -

- (a) leaving it at, or
- (b) sending it by post to,

the authority's principal office.

#### **Electronic registers and forms**

4. - (1) Any register maintained under these Regulations may be in an electronic form.

(2) Where any register is in an electronic form a relevant authority may make the register available for inspection by the public on a website maintained by the authority for that purpose.

(3) Any form provided by the monitoring authority under these Regulations may be provided -

(a) in an electronic form, or

(b) for completion and submission to the monitoring authority via a website maintained by a relevant authority for that purpose.

## PART 2

Allocation and the banking, borrowing and transfer of landfill allowances

#### **Allocation of allowances**

5. As soon as reasonably practicable after the Secretary of State has complied with section 4(4) of the Act, the monitoring authority must assign all landfill allowances allocated to a waste disposal authority under that section -

(a) to the waste disposal authority's landfill allowance account;

(b) a unique reference number (which may include any letter) from which the following information may be ascertained -

(i) the waste disposal authority to which the allowance is allocated,

(ii) the year for which the allowance is allocated,

(iii) the vintage of the allowance for that year.

#### **Banking landfill allowances**

6. - (1) All landfill allowances which -

(a) are available to a waste disposal authority for a scheme year, and

(b) have not been utilised for that scheme year after the monitoring authority complies with regulation 15,

must be banked for use in the following scheme year.

(2) Paragraph (1) does not apply -

(a) in a target year,

(b) where the following scheme year is a target year.

**Borrowing of landfill allowances**

7. - (1) A waste disposal authority may borrow for use in a scheme year up to 5% of the landfill allowances available to it for the following scheme year (rounded down to the nearest whole allowance).

(2) Paragraph (1) does not apply -

(a) in a target year,

(b) where the following year is a target year.

(3) Where a waste disposal authority intends to borrow a landfill allowance it must submit a borrowing request to the monitoring authority before the end of the reconciliation period for the scheme year.

(4) A borrowing request must -

(a) be made on the form provided by the monitoring authority;

(b) specify -

(i) the name of the waste disposal authority,

(ii) the number of landfill allowances which it intends to borrow.

(5) The monitoring authority is not required to consider a borrowing request unless it is made in accordance with paragraph (4).

(6) If the conditions in paragraph (8) are satisfied the monitoring authority must -

(a) remove the number of landfill allowances specified in the borrowing request from the part of the waste disposal authority's landfill allowance account relating to the following scheme year;

(b) include those allowances in the part of the account relating to the scheme year;

(c) notify the waste disposal authority which made the request -

(i) that its request has been accepted,

(ii) of the amendments that have been made to its landfill allowance account.

(7) If the conditions in paragraph (8) are not satisfied the monitoring authority must notify the waste disposal authority -

(a) that its request has not been accepted,

(b) of the reasons why.

(8) The conditions referred to in paragraphs (6) and (7) are that -

(a) the borrowing request complies with paragraph (2),

(b) the number of landfill allowances specified in the request are available to the waste disposal authority for the following scheme year,

(c) accepting the borrowing request would not cause the waste disposal authority to exceed the limit on borrowing under paragraph (1), and

(d) the authority is not suspended from borrowing landfill allowances under regulation 9.

#### **Transfer of landfill allowances**

**8.** - (1) A waste disposal authority may transfer to any other waste disposal authority, whether by way of trade or otherwise, landfill allowances which -

(a) are available to the waste disposal authority for a scheme year, and

(b) have not been utilised.

(2) But a waste disposal authority must not transfer an allowance from any scheme year for which the allowance is available to the authority unless the transfer is to that scheme year.

(3) Where a waste disposal authority ("the transferor") agrees to transfer a landfill allowance to another waste disposal authority ("the transferee") the transferor must submit a transfer request to the monitoring authority before the end of the reconciliation period for the scheme year in which the agreement is made.

(4) A transfer request must -

(a) be made on the form provided by the monitoring authority;

(b) specify-

(i) the names of the transferor and transferee,

(ii) the number of landfill allowances to be transferred,

(iii) for each landfill allowance the scheme year for which the allowance is available to the transferor,

(iv) the date the transfer was agreed,

(v) the price (if any) to be paid.

(5) The monitoring authority is not required to consider a transfer request unless it is made in accordance with paragraph (4).

(6) If the conditions in paragraph (8) are satisfied, the monitoring authority must -

(a) delete the landfill allowances from the transferor's landfill allowance account;

(b) allocate each landfill allowance to the transferee's landfill allowance account for the scheme year for which, immediately before the transfer, it was available to the transferor;

(c) notify the transferor and transferee -

(i) that the request has been accepted,

(ii) of the amendments that have been made to their landfill allowance accounts.

(7) If the conditions in paragraph (8) are not satisfied the monitoring authority must notify the transferor and transferee -

(a) that the request has not been accepted,

(b) of the reasons why.

(8) The conditions referred to in paragraphs (6) and (7) are that -

(a) the agreement complies with paragraphs (1) and (2),

(b) all landfill allowances are available to the transferor for the scheme years specified pursuant to paragraph (4)(b)(iii), and

(c) neither the transferor nor the transferee is suspended from transferring allowances under regulation 9.

### **Suspension of banking, borrowing and transferring of landfill allowances**

**9.** - (1) The Secretary of State may suspend any or all waste disposal authorities from banking, borrowing and transferring landfill allowances if she considers -

(a) in a scheme year between target years that there is a risk that the total amount of biodegradable municipal waste sent to landfills by waste disposal authorities in England will exceed the maximum amount for England which is specified under (or pursuant to section 3(1) of the Act is treated as having been specified under) section 2(1)(a) of the Act, or

(b) it necessary to exercise her power under section 5 of the Act (alteration of allocations under section 4).

(2) The Secretary of State may suspend a waste disposal authority from banking, borrowing and transferring landfill allowances if she has reason to believe that -

(a) the waste disposal authority has failed to comply with -

(i) its duty under section 9 of the Act (duty not to exceed allowances), or

(ii) any requirement under these Regulations; or

(b) an unauthorised person may attempt, or has attempted, to submit a borrowing or transfer request to the monitoring authority on behalf of the waste disposal authority.

(3) If the Secretary of State suspends a waste disposal authority from banking, borrowing and transferring landfill allowances under paragraph (1) or (2), at the same time she must notify the monitoring authority and the waste disposal authority of -

(a) that fact,

(b) the reasons for the suspension.

(4) The Secretary of State may lift a suspension if in any case falling within -

(a) paragraph (1)(a), the Secretary of State is satisfied that there is no significant continuing risk that the total amount of biodegradable municipal waste sent to landfills by waste disposal authorities in England will exceed the maximum amount mentioned in that paragraph;

(b) paragraph (1)(b) -

(i) the allocation of landfill allowances has been altered, or

(ii) the Secretary of State no longer considers that an alteration is necessary;

(c) paragraph (2)(a), the Secretary of State is satisfied that the failure to comply is unlikely to recur;

(d) paragraph (2)(b), the Secretary of State is satisfied that there is no further risk of the unauthorised submission of a borrowing or transfer request.

(5) If the Secretary of State lifts a suspension under paragraph (4), at the same time she must notify the monitoring authority and any waste disposal authority which, as a consequence, is no longer suspended from banking, borrowing and transferring landfill allowances of -

(a) that fact,

(b) the reasons for lifting the suspension.

(6) The effect of suspending a waste disposal authority from banking, borrowing and transferring landfill allowances is that no landfill allowances may be -

(a) transferred to or from the waste disposal authority's landfill allowance account under regulation 8,

(b) banked or borrowed within that account under regulation 6 or 7.

(7) In paragraph (2)(b) "unauthorised person" means a person who is not authorised by a waste disposal authority to submit borrowing or transfer requests on the authority's behalf.

## PART 3

### Monitoring

#### **Monitoring authority and keeping the provisions in regulation 13(2) under review**

**10.** - (1) The Environment Agency shall be the monitoring authority for England.

(2) The monitoring authority must keep under review the provisions in regulation 13(2).

(3) If the monitoring authority considers that any of the provisions in regulation 13(2) ought to be changed it must as soon as reasonably practicable notify the Secretary of State of -

(a) its opinion;

(b) the reasons for its opinion.

**Obligation for waste disposal authorities to keep records and make returns**

**11.** - (1) A waste disposal authority must keep records containing the following information for each scheme year -

- (a) the weight in tonnes of collected municipal waste;
- (b) the weight in tonnes of municipal waste sent to landfills by the authority; and
- (c) the weight in tonnes of municipal waste sent to waste facilities whether by -
  - (i) the authority, or
  - (ii) any waste collection authority within the area of the authority.

(2) In relation to municipal waste mentioned in paragraph (1)(b) and (c) the records must contain details of -

- (a) the total weight in tonnes of waste sent to each landfill or waste facility,
- (b) the standard description of, and the appropriate code in the European Waste Catalogue for, the waste referred to in subparagraph (a).

(3) All weights mentioned in paragraphs (1) and (2) must be rounded up to the nearest tonne.

(4) The records under paragraph (1) must be kept for a period of two years beginning on the day after the day on which the reconciliation period for the scheme year ends.

(5) A waste disposal authority must submit to the monitoring authority a return containing the information in paragraphs (1) and (2) for each 3 month period in a scheme year ending on 31 March, 30 June, 30 September and 31 December within 3 months of the end of that period.

(6) The monitoring authority, or a person authorised by the monitoring authority, may by notice require a waste disposal authority to -

- (a) produce for inspection or for removal for inspection elsewhere, records it is required to keep under paragraph (1);
- (b) supply the monitoring authority with information about, or evidence as to, matters connected with the sending of biodegradable municipal waste to landfills;

and to do so in such form, at such reasonable place and within such

reasonable time as is specified in the notice.

(7) The monitoring authority, or a person authorised in writing by the monitoring authority, may make copies of -

- (a) records produced under paragraph (6)(a),
- (b) information or evidence supplied under paragraph (6)(b).

**Obligation for operators of landfills to keep records and make returns**

**12.** - (1) Subject to paragraph (2), an operator of a landfill must keep records containing the following information for each scheme year -

- (a) the weight in tonnes (rounded up to the nearest tonne) of each load of municipal waste accepted at the landfill;
- (b) the standard description of, and the appropriate code in the European Waste Catalogue for, the waste;
- (c) the area in which the municipal waste originated and the waste disposal authority for that area;
- (d) any treatment applied to the waste at the landfill before it is landfilled.

(2) Where any waste has been sent to a landfill directly from a transfer station -

- (a) paragraph (1)(c) does not apply to that waste, but
- (b) the operator of the landfill must record the name of the transfer station.

(3) The records under paragraphs (1) and (2)(b) must be kept for a period of two years beginning on the day after the day on which the reconciliation period for the scheme year ends.

(4) An operator of a landfill must submit to the monitoring authority a return containing the information in paragraphs (1) and (2)(b) for each scheme year within 3 months of the end of that scheme year.

(5) The monitoring authority, or a person authorised in writing by the monitoring authority, may by notice require an operator of a landfill -

- (a) to produce for inspection, or for removal for inspection elsewhere, records they are required to keep under paragraphs (1) and (2)(b); and
- (b) to do so in such form, at such reasonable place and within such reasonable time as is specified in the notice.

(6) The monitoring authority, or a person authorised by the monitoring authority, may make copies of records produced under paragraph (5).

(7) A person authorised in writing by the monitoring authority may enter at any reasonable time (and, if need be, by force) premises occupied by a person concerned in the operation of a landfill for the purposes of -

- (a) finding records which are required to be kept under paragraphs (1) and (2)(b),
- (b) inspecting them or removing them for inspection elsewhere,
- (c) copying them.

(8) On entering any premises under paragraph (7), a person may take with him -

- (a) any other person duly authorised by the monitoring authority;
- (b) if the authorised person has reasonable cause to apprehend any serious obstruction in the execution of his duty, a constable;
- (c) any equipment or materials required for any purpose for which the power of entry is being exercised.

(9) The power of the monitoring authority, or a person authorised by the monitoring authority, under paragraphs (5) to (7) includes power to require any person to afford such facilities and assistance -

- (a) within the person's control, or
- (b) in relation to which the person has responsibilities,

as are necessary to enable the monitoring authority or an authorised person to exercise the power.

(10) In this regulation -

"operator of a landfill" means the person who has control over the operation of the landfill; and

"transfer station" means a waste facility where the waste mentioned in paragraph (2) is unloaded only in order to permit the waste to be prepared for further transport for recovery, treatment or disposal elsewhere.

### **Determining the amount of biodegradable municipal waste in amounts of waste**

**13.** - (1) The provisions in this regulation apply for the purposes of -

(a) determining whether a waste disposal authority is liable to a penalty under section 9 of the Act;

(b) the provisions in -

(i) section 10(2)(a), (b) and (d) of the Act,

(ii) regulation 14.

(2) For the purposes mentioned in paragraph (1) it must be assumed that -

(a) the amount of biodegradable municipal waste in an amount of collected municipal waste is 68% by weight (rounded up to the nearest tonne);

(b) an amount of separated municipal waste is comprised only of those types of waste which it is the purpose of the process of separation to separate;

(c) where an amount of separated municipal waste is comprised of a type of waste which is listed in the first column of the table in the Schedule to these Regulations, the amount of biodegradable municipal waste by weight in that type of waste is the corresponding amount in the second column of that table (rounded up to the nearest relevant amount).

(3) In paragraph (2) -

"amount of collected municipal waste" means the amount of collected municipal waste for any period of time, but such period must not be less than three months;

"nearest relevant amount means" -

(a) the nearest tonne, or

(b) where the amount of biodegradable municipal waste referred to in paragraph (2)(c) is -

(i) less than 10 tonnes, the nearest 100 kilograms,

(ii) less than 1 tonne, the nearest 10 kilograms; and

"separated municipal waste" means waste which has been separated from other municipal waste, whether the separation occurs before or after the waste comes into the possession or under the control of -

(a) a waste disposal authority, or

(b) a waste collection authority.

### **Calculation of the amount of biodegradable municipal waste sent to landfills**

**14.** - (1) No later than 5 months after the end of a scheme year, in relation to each waste disposal authority the monitoring authority must -

- (a) calculate, in accordance with paragraphs (2) and (3), the amount of biodegradable municipal waste sent to landfills by the waste disposal authority during the scheme year;
- (b) prepare, in accordance with regulation 15(2) and (3), a draft reconciliation for the authority by reconciling the allowances available to the authority for the scheme year with the amount of biodegradable municipal waste sent to landfills by the authority as calculated under sub-paragraph (a); and
- (c) notify the authority of -
  - (i) the calculation under sub-paragraph (a),
  - (ii) the draft reconciliation under sub-paragraph (b).

(2) In making the calculation referred to in paragraph (1)(a) the monitoring authority shall carry out the following steps -

- (a) calculate the amount of biodegradable municipal waste by weight in the amount of collected municipal waste for the scheme year;
- (b) if any municipal waste is sent to any waste facilities, subtract from the amount calculated under sub-paragraph (a) the amount of biodegradable municipal waste by weight which is sent to those waste facilities;
- (c) if any of the municipal waste mentioned in sub-paragraph (b) is sent to landfills after treatment at the waste facilities mentioned in the same sub-paragraph, add to the amount calculated under sub-paragraph (b) the amount of biodegradable municipal waste by weight which is sent to those landfills.

(3) The monitoring authority must round the amount calculated in accordance with paragraph (2) up to the nearest tonne.

### **Utilisation of landfill allowances**

**15.** - (1) As soon as reasonably practicable after the end of the reconciliation period the monitoring authority must reconcile the allowances available to each waste disposal authority with the amount of biodegradable municipal waste sent to landfills by the waste disposal authority, as calculated under regulation 14(1)(a), by deeming allowances to have been utilised in accordance with paragraphs (2) and (3).

(2) Landfill allowances available to a waste disposal authority for the scheme year must be utilised in the following order -

- (a) allowances originally allocated to another waste disposal authority which have been transferred to the landfill allowance account;
- (b) allowances banked from an earlier scheme year;
- (c) allowances borrowed from a later scheme year;
- (d) any other allowances.

(3) Within each category in paragraph (2), allowances must be utilised according to the order of their vintage.

(4) The monitoring authority must deem allowances to have been utilised until -

- (a) the number of allowances deemed to have been utilised is equal to the number of allowances needed to authorise the amount of biodegradable municipal waste sent to landfills by the waste disposal authority, as calculated under regulation 14(1)(a); or
- (b) no more allowances are available to that authority for the scheme year.

## PART 4

### Registers

#### **Landfill allowances register**

**16.** - (1) The monitoring authority must maintain a landfill allowances register.

(2) In relation to each waste disposal authority the landfill allowances register must contain -

- (a) a landfill allowance account, and
- (b) a transaction log.

(3) The landfill allowance account must record for each scheme year -

- (a) the number and reference numbers of allowances allocated to the waste disposal authority under section 4 of the Act;
- (b) any alteration of allocations under section 5 of the Act;
- (c) the number and reference numbers of allowances banked, borrowed, or transferred to or from the account;
- (d) the total number of allowances available to the authority;

(e) after the monitoring authority has complied with regulation 14(1) -

(i) the amount of biodegradable municipal waste sent to landfills by the authority,

(ii) the number of landfill allowances needed to authorise the sending to landfills of that amount; and

(f) after the monitoring authority has complied with regulation 15 -

(i) the number and reference number of any allowances which have been utilised,

(ii) the number (if any) of landfill allowances which were available for the scheme year and were not utilised,

(iii) the amount (if any) in tonnes by which biodegradable waste sent to landfills by the waste disposal authority exceeded the landfill allowances available to the authority.

(4) The transaction log must detail the following information in relation to the allocation, banking, borrowing, transfer, and withdrawal of landfill allowances -

(a) the date that the transaction is included in the register;

(b) the reference numbers of the landfill allowances allocated, banked, borrowed, transferred or withdrawn;

(c) in the case of a transfer the waste disposal authorities involved; and

(d) in the case of any banking or borrowing, the year -

(i) for which the landfill allowances were originally allocated,

(ii) to which they have been banked or borrowed.

(5) At the end of the reconciliation period for a scheme year the landfill allowances register must record for that scheme year the total price (if any) paid by waste disposal authorities for the transfer of landfill allowances to that scheme year.

### **Penalties register**

17. The Secretary of State must maintain a penalties register which, in relation to each waste disposal authority, must contain the following information -

- (a) any liability to a penalty under Chapter 1 of the Act;
- (b) the amount of the penalty;
- (c) if the Secretary of State notifies the authority of that amount under regulation 22(1)(b) -
  - (i) the date when payment of the penalty is due,
  - (ii) the amount of any interest incurred under regulation 22(3);
- (d) confirmation of any decision to -
  - (i) extend the time for paying the whole or part of the penalty or any interest on it under section 26(1)(c)(i) of the Act;
  - (ii) relieve the waste disposal authority, in whole or in part, from liability to the penalty or any interest on it under section 26(1)(c)(ii) of the Act; and
- (e) the date that any payment in respect of the penalty is made to the Secretary of State.

#### **Amendment of information on registers**

**18.** - (1) Where a relevant authority has reason to believe that any information on a register maintained by the authority is incorrect, the authority may amend the register so as to correct that information.

(2) Before a relevant authority amends a register under paragraph (1) it must -

- (a) consult any waste disposal authority which would be affected by the amendment, and
- (b) have regard to any representations made by a waste disposal authority.

(3) Where a relevant authority amends a register under paragraph (1) it must notify any waste disposal authority which is affected by the amendment of the amendment which has been made.

#### **Availability of registers**

**19.** In relation to any register maintained under this Part a relevant authority must -

- (a) make the register available for inspection by members of the public at its principal office free of charge at all reasonable times; and

(b) afford to members of the public, facilities for obtaining copies of entries in the register on payment of a reasonable charge.

## PART 5

### Penalties

#### **Penalties: exceeding allowances**

**20.** - (1) The penalty to which a waste disposal authority is liable under section 9(2) of the Act is the excess landfill for that waste disposal authority multiplied by £200.

(2) For the purposes of paragraph (1) "excess landfill" means, for a scheme year, the amount in tonnes by which biodegradable municipal waste sent to landfills by the waste disposal authority, as calculated under regulation 14(1)(a), exceeds the landfill allowances available to the authority.

(3) The supplementary penalty ("SP") to which a waste disposal authority is liable under section 9(3) of the Act must be calculated according to the following formula -

$$SP = F \times (T1/T2)$$

where for the target year -

F is the amount of any fine imposed on the United Kingdom in respect of the United Kingdom's obligations under Article 5(2) of the Landfill Directive;

T1 is the amount in tonnes by which biodegradable municipal waste sent to landfills by the waste disposal authority, as calculated under regulation 14(1)(a), exceeds the landfill allowances available to the authority; and

T2 is the amount in tonnes by which biodegradable municipal waste sent to landfills in the United Kingdom exceeds the maximum amount specified under section 1(1)(a) of the Act.

(4) The supplementary penalty ("SP") to which a waste disposal authority is liable under section 9(4) of the Act must be calculated according to the following formula -

$$SP = F \times (T1/T2)$$

where -

F is, for the scheme year, the amount of any fine imposed on the United Kingdom in respect of the United Kingdom's obligations under Article 5(2) of the Landfill Directive;

T1 is, for the scheme year, the amount in tonnes by which biodegradable municipal waste sent to landfills by the waste disposal authority, as calculated under regulation 14(1)(a), exceeds the landfill allowances available to the authority; and

T2 is the amount in tonnes by which biodegradable municipal

waste sent to landfills in the United Kingdom in the scheme year exceeds the maximum amount specified under section 1(1)(a) of the Act in respect of the last target year before the scheme year.

**Penalties: failure to comply with requirements imposed by regulation 11 of these Regulations**

**21.** The penalty to which a waste disposal authority is liable under section 12(3) of the Act is £1000 for each requirement imposed on the authority by regulation 11 with which the authority fails to comply.

**Penalties: general**

**22.** - (1) Where a waste disposal authority is liable to a penalty, the Secretary of State may -

- (a) assess the amount of the penalty,
- (b) notify the authority of that amount.

(2) The penalty is due one month after the date on which the waste disposal authority is notified by the Secretary of State under paragraph (1)(b) ("the due date").

(3) Where a waste disposal authority does not pay a penalty in full by the due date, the waste disposal authority is liable to pay interest on any outstanding amount of the penalty for the period which -

- (a) begins on the due date, and
- (b) ends on the day before the day on which the penalty is paid in full.

(4) Interest under this regulation shall be payable at a rate of one percentage point above LIBOR on a day to day basis.

(5) Where an amount has been assessed and notified to a waste disposal authority under paragraph (1), the amount and any interest incurred under paragraph (3) shall be recoverable as if it were a civil debt.

(6) In paragraph (4), "LIBOR" means the sterling three month London interbank offered rate in force during the period between -

- (a) the due date, and
- (b) the date on which the penalty is paid in full.

PART 6

Guidance

**Guidance to waste disposal authorities**

**23.** A waste disposal authority, in exercising functions in relation to waste that is or contains biodegradable municipal waste, must have regard to any guidance issued by the Secretary of State under this regulation.

*Elliott Morley*

Minster of State Department for Environment, Food and Rural Affairs

3rd December 2004

SCHEDULE

Regulation 13(2)(c)

Amount of biodegradable municipal waste in certain types of waste

**1.** In this Schedule -

"inert construction and demolition waste" -

(a) means any waste from construction or demolition activities which is not capable of undergoing anaerobic or aerobic decomposition, but

(b) does not include any of the other types of waste which are listed in the first column of the table in this Schedule; and

"putrescible waste" -

(a) means any animal or vegetable waste (including wood) which is capable of undergoing anaerobic or aerobic decomposition, but

(b) does not include any of the other types of waste which are listed in the first column of the table in this Schedule.

**Table**

<i>Type of waste</i>	<i>Amount of biodegradable municipal waste (expressed as a percentage by weight)</i>
Card	100%
Paper	100%
Putrescible waste	100%
Vegetable oil	100%
Footwear	50%
Furniture	50%

Textiles	50%
Batteries	0%
Electrical and electronic equipment	0%
End-of-life vehicles	0%
Fluorescent tubes	0%
Glass	0%
Inert construction and demolition waste	0%
Metal	0%
Mineral oil	0%
Plastic	0%
Soil	0%

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## EXPLANATORY NOTE

*(This note is not part of the Regulations)*

These Regulations are made under the Waste and Emissions Trading Act 2003 ("the Act") for the purpose of implementing Articles 5(1) and (2) of Council Directive 99/31/EC on the landfill of waste (O.J. No. L 182, 16.7.1999, p. 1) in England. They make provision for implementing Chapter 1 of Part 1 of the Act (waste sent to landfills) including the landfill allowances scheme under that Part. The Regulations come into force on 1st April 2005.

Part 1 sets out the general provisions. Regulation 1 concerns the citation, commencement and application of the Regulations and regulation 2 deals with interpretation. Regulation 3 is concerned with the giving and submission of various documents and provision is made for electronic communications and the use of websites. Regulation 4 also enables the use of electronic registers and the provision of electronic forms.

Part 2 includes provisions on the allocation, banking, borrowing and transfer of landfill allowances. After the Secretary of State has made an allocation of landfill allowances under section 4 of the Act, regulation 5 requires the monitoring authority to assign reference numbers to those allowances and to allocate them to the landfill allowance accounts of waste disposal authorities.

Regulations 6 to 8 concern the banking, borrowing and transfer of

landfill allowances. Subject to certain exceptions, landfill allowances which are not utilised in one scheme year are automatically banked to the next (regulation 6). Under regulations 7 and 8, requests must be submitted to the monitoring authority before landfill allowances can be borrowed or transferred. Provided the relevant conditions in regulations 7(8) and 8(8) are satisfied these requests will be accepted. Regulation 9 enables the Secretary of State to suspend waste disposal authorities from banking, borrowing and transferring landfill allowances in the circumstances in regulation 9(1) and (2).

Part 3 concerns the monitoring of the landfill allowances scheme. Regulation 10 provides that the Environment Agency is the monitoring authority for England, and consequently that authority is subject to the duties in section 10(2) of the Act. Regulation 14 requires the monitoring authority to calculate how much biodegradable municipal waste is sent to landfill by each waste disposal authority in a scheme year, and regulation 15 requires the monitoring authority to reconcile this amount with the waste disposal authority's allowances for that year. Assumptions about the amount of biodegradable municipal waste in amounts of waste apply in relation to specified functions of the monitoring authority (regulation 13 and the Schedule to the Regulations).

Regulations 11 and 12 impose obligations on waste disposal authorities and landfill operators to keep specified records and make specified returns to the monitoring authority. The information in the returns is necessary to enable the monitoring authority to carry out its functions under the Act and the Regulations.

Part 4 contains provisions on registers. The monitoring authority must maintain a landfill allowances register (regulation 16), and the Secretary of State must maintain a penalties register (regulation 17). Under regulation 19 these registers must be made available for inspection by members of the public, who may also obtain copies of any entries on payment of a reasonable charge. Regulation 18 enables the monitoring authority and the Secretary of State to amend incorrect information on a register.

Part 5 contains provisions on penalties. Regulations 20 and 21 specify how penalties under sections 9 (failure to comply with duty not to exceed allowances) and 12(3) (failure to comply with requirements imposed under regulation 11 of these Regulations) of the Act are calculated. Regulation 22 makes provision for when penalties are due and for interest in the event of late payment.

Part 6 concerns guidance. Regulation 23 requires waste disposal authorities to have regard to any guidance issued by the Secretary of State in exercising functions in relation to biodegradable municipal waste.

A transposition note setting out how the Government will transpose Articles 5(1) and (2) of the Landfill Directive into law in relation to England has been prepared and copies can be obtained from Waste Landfill Policy, Department for Environment, Food and Rural Affairs, Zone 7/E8 Ashdown House, 123 Victoria Street, London SW1E 6DE. A copy has been placed in the library of each House of Parliament.

A full regulatory impact assessment of the effect that this instrument will

have on the costs of business has been prepared for these Regulations. Copies can be obtained from Waste Landfill Policy, Department for Environment, Food and Rural Affairs, Zone 7/E8 Ashdown House, 123 Victoria Street, London SW1E 6DE. A copy has been placed in the library of each House of Parliament.

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*Notes:*

[1] 2003 c. 33. The relevant powers in sections 6, 7, 10 to 13, 15, 16 and 26 are expressed to be exercisable by the allocating authority. Section 24(1) provides that the allocating authority for England is the Secretary of State.[back](#)

[2] 1990 c. 43.[back](#)

[3] O.J. No. L 194, 25.7.1975, p. 39; as amended by Council Directive 91/156/EEC (O.J. No. L 78, 26.3.1991, p. 32), Council Directive 91/692/EEC (O.J. No. L 377, 31.12.1991, p. 48) and Commission Decision 96/350/EC (O.J. No. L 135, 6.6.1996, p. 32).[back](#)

[4] 2000 c. 7.[back](#)

[5] O.J. No. L 377, 31.12.1991, p. 20; as amended by Council Directive 94/31/EC (O.J. No. L 168, 2.7.1994, p. 28) and Corrigendum to Directive 91/689/EC (O.J. L 23, 30.1.1998, p. 39).[back](#)

[6] O.J. No. L 226, 6.9.2000, p. 3; as amended by Commission Decision 2001/118/EC (O.J. No. L 47, 16.2.2001, p.1), Commission Decision 2001/119/EC (O.J. No. L 47, 16.2.2001, p.32) and Council Decision 2001/573/EC (O.J. No. L 203, 28.7.2001, p.18).[back](#)

[7] O.J. No. L 182, 16.7.1999, p. 1.[back](#)

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