



**Connecticut Department of  
Energy & Environmental Protection**  
Bureau of Materials Management & Compliance Assurance  
Engineering & Enforcement Division

## **Instructions for Completing the Application Form to Become an Approved Covered Electronic Recycler or to Renew an Existing Approval**

*Please use these instructions to complete the Application to Become an Approved Covered Electronic Recycler (DEEP-EWASTE-APP-002) and all of its attachments. These instructions are not a substitute for the requirements of any relevant statutes or regulations. You should review all applicable laws prior to completing the application forms. Remember, it is your responsibility to comply with all applicable laws.*

### **Introduction**

In accordance with sections 22a-629 through-640 of the Connecticut General Statutes (CGS) and sections 22a-638-1 and 22a-630(d)-1 of the Regulations of Connecticut State Agencies (RCSA), the Department of Energy and Environmental Protection (Department) has established a program to recycle covered electronic devices (CEDs). CEDs include televisions, computers, computer monitors, and printers generated by households. Electronic recyclers seeking to participate in this program will first need to be approved by the Department. The specific requirements for covered electronic recyclers (CERs) as well as the application process, can be found in the regulations ([CT E-Waste Regulations](#))

Applicant's that are issued an approval by the Department become eligible to: enter into contracts with municipalities, collect CEDs from Connecticut residents, and seek reimbursement from electronics manufacturers for the responsible recycling pursuant to RCSA section 22a-638-1.

Applicants should be aware that the commissioner has prescribed new application forms to apply to become a CER or renew an existing CER approval. The new application forms have embedded fields for the applicant to electronically respond to each question. These fields have, for the most part, unlimited characters and should be used whenever possible. Supplemental information may be attached to any form. If you do not have the ability to use the electronic fields to complete your application, then you must make sure that your application is labeled properly.

All applicants must label any supporting documents as directed on the application form and always include, on each document, the applicant's name. When additional space is necessary to answer a question stated in the application, please insert additional sheets by the appropriate question. Label each sheet with the applicant's name, identifying the corresponding attachment and associated part and question number, as indicated in the example below:

Applicant/Company Name: ABC Company  
Attachment: C  
Part: C-2-A:2 Tracking Procedures  
Question: ii

The Department will only accept for review and approval or denial new applications or renewal applications using the newly prescribed application forms. Previously issued application forms will not be considered.

Any questions that you may have regarding this program should be directed to the Bureau of Materials Management and Compliance Assurance at 860-424-3372 or use the toll free hotline at 866-424-4193.

### **How to become a Covered Electronic Recycler (CER)**

In order to be considered for approval as a CER in Connecticut, the applicant will need to submit a completed [\*\*Application to Become an Approved Covered Electronic Recycler\*\*](#) (DEEP-EWASTE-APP-002) within the specified 60-day timeframe, that demonstrates that they and/or their partners:

- 1) Have expertise and experience in the field of electronics recycling; and
- 2) Have the ability to comply with the requirements of the law and regulations.

For more information on how to become a CER and the application process please refer to the Department's website at: [www.ct.gov/deep/e-waste](http://www.ct.gov/deep/e-waste).

### **How To Apply:**

For all new applications (to become a CER):

The application must include the following:

- A completed and originally-signed and certified [\*\*Application to Become an Approved Covered Electronic Recycler\*\*](#) (DEEP-EWASTE-APP-002) including all supporting documents; and
- a \$250.00 fee, paid by check or money order, made payable to the "Department of Energy and Environmental Protection".

For all renewal applications (for existing CERs only):

The application must include the following:

- A completed and originally-signed and certified [\*\*Application to Become an Approved Covered Electronic Recycler\*\*](#) (DEEP-EWASTE-APP-002) and a current process flow diagram.

Note: renewal applications allow for only one potential change: proposed reimbursement fees. All other changes to an existing CER approval must be made through the modification process in accordance with RCSA section 22a-638-1(b)(8)&(9). Modifications are processed separately from renewal applications. Supporting documentation is not required to be resubmitted for existing CERs.

You **must** submit the above materials together as a package to:

CENTRAL PERMIT PROCESSING UNIT  
DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION  
79 ELM STREET  
HARTFORD, CT 06106-5127

You should retain a copy of all documents for your files.

Refer to the “Available Resources” section at the end of these instructions to obtain all required documents related to the subject application and links to various regulations, prevailing guidance and other resources.

## **Part I: Application Type /Fee Information**

Please indicate whether your application is for an approval of a *new* CER, a *renewal* of an existing CER approval or for a *transfer* of an existing CER approval. An approval is deemed to be “existing” only if it has not yet expired on the date you file your application. For renewals and transfers, indicate the existing approval number in the space provided.

### ***Application for a New CER:***

There will be a \$250 fee when your application is submitted for an approval of a new CER. The application will not be processed without the fee. The payment should be in the form of a check or money order made payable to “Department of Energy and Environmental Protection”.

### ***Renewal of Existing CER Approvals:***

All existing CERs will also need to submit a renewal application to renew their existing approval. There is no fee to renew an existing CER approval.

The application form must be completed in its entirety, with the exception of Part VI. Do not submit Attachments A through E in Part VI, but you must submit a current process flow diagram described in Attachment C. Note: If there are proposed changes to any previously submitted and approved documents, a modification form must be completed, submitted and approved before the CER can operate with the proposed changes in accordance with RCSA section 22a-638-1(b)(8)(B).

For modifications, please complete and submit the Department’s form [Modification to an Existing CER Approval](#) (DEEP-EWASTE-APP-002M). For further information concerning modifications, please contact the Bureau of Materials Management and Compliance Assurance at 860-424-3372 or use the toll free hotline at 866-424-4193.

### ***Transfer of Existing CER Approvals:***

When transferring an existing approval, the proposed CER (transferee) shall apply as the applicant. The application form must be completed in its entirety, with the exception of Parts III and VI – Attachments C, D and E. In Part III: Proposed Reimbursement Fee Information, the fees previously proposed must remain the same throughout the duration of the existing approval. In Part VI: Attachments C, D and E deal with the process and activities of the CER and partners which must remain the same throughout the duration of the existing approval, unless a modification was submitted and approved. All other parts of the application must be completed, ***including Part VI – Attachments A&B.***

Please note that both the existing approved CER and transferee must sign Part VII of the application form.

Note: The transferee shall not operate or bill manufacturers for the recycling of CEDs prior to the Department’s written approval of the transfer.

## Part II: Applicant Information

Provide the information on the applicant. When completing Item 1, please use the following standards:

- *Name* - Provide the full, legal *company/firm* name. (If identifying an entity registered with the Secretary of the State, fill in the name and address exactly as it is shown on the registration. Please note, for entities registered with the Secretary of State, the registered name will be the name used by the Department. This information can be accessed at [CONCORD](#). If identifying an *individual*, provide the legal name (include suffix) in the following format: First Name; Middle Initial; Last Name; Suffix (Jr, PE, PhD, etc.). If the applicant is a governmental body, identify the city or town of such body followed by the relevant department, board or division.
  - *Business Phone* - Unless otherwise indicated, the phone number provided should be the number where the corresponding individual can be contacted during the daytime business hours.
  - *Primary Contact Person* - Provide the name of the specific individual within the company whom the Department may contact.
  - *Responsible Official* - Provide the name of the individual within the company who is responsible for implementing the E-waste program. Refer to the definition of responsible official under RCSA sections 22a-638-1.
  - *E-mail* – Applicants must provide an accurate e-mail address when completing their application. The e-mail address may be used for future correspondence from the Department to your business.
1. a. *Applicant* – Complete the information concerning the applicant.
    - b. Provide the applicant’s website, if any.
    - c. *Permits, licenses or approvals*: Identify permits, licenses or approvals, if any, held by the applicant. Include only those issued by federal or state government for activities related to the recycling of electronic waste.

## Part III: Proposed Reimbursement Fee Information

1. a. *Recycling Fee*:

Indicate one price, in cents per pound, the applicant proposes to charge manufacturers for the transportation and recycling of CEDs. This price should cover all types of CEDs and be calculated based on the eligible costs listed in RCSA section 22a-639-1(b)(3)(H). Do not provide separate prices for each type of CED. In addition, do not include ancillary charges such as fuel surcharges, capital expenses or set-up fees.
- b. For any existing contracts or agreements where the recycling fee in this application exceeds the fee(s) contained in those contracts or agreements for equivalent or similar services, the applicant shall provide a detailed explanation of the reasons for any such difference.
2. a. *Return to Manufacturer Fee*:

Manufacturers have the right to recycle their branded products at a facility of their choosing. Upon the manufacturer’s request, CERs must set aside any CEDs with the manufacturer’s name on it. The applicant shall indicate the price, in cents per pound, that it is proposing to charge

manufacturers for the transportation and storage of CEDs set aside at the request of a manufacturer. The price should be calculated based on the eligible costs listed in RCSA section 22a-639-1(b)(I).

- b. For any existing contracts or agreements where the return to manufacturer fee in this application exceeds the fee(s) contained in those contracts or agreements for equivalent or similar services, the applicant shall provide a detailed explanation of the reasons for any such difference.

#### **Part IV: Compliance History**

RCSA section 22a-638-(1)(b)(3)(E) provides for the Department's review of an applicant's record of compliance with the environmental laws of Connecticut, any other state, and the federal government of this or any other country. Under the law, the Department may consider the applicant's environmental compliance record, as well as the record of the applicant's principals and any parent companies or subsidiaries, when reviewing a CER approval. For more information, refer to CGS section 22a-6m.

If "Yes" is answered to any of the questions in Part IV, the Table of Enforcement Actions in Part V must be completed.

#### **Part V: Table of Enforcement Actions**

Complete the Table of Enforcement Actions if "Yes" is answered to any of the questions in Part IV.

*Type of Action:* Identify each enforcement action as one of the following: Administrative order (including consent orders); Judgment, order, or decree; or Criminal conviction.

*Date Commenced:* Provide the date each enforcement action listed was issued or commenced.

*Date Terminated:* If the enforcement action listed has terminated, provide the date of termination.

*Jurisdiction:* For each listed enforcement action, indicate whether a state court, a federal court, a state agency or a federal agency was involved. Identify such court or agency.

*Case/Docket/Order Number:* Provide the case, docket or order number of each enforcement action listed.

*Description of Violation:* Provide a brief description of the violation involved in the listed enforcement action and any requirement or penalty imposed as a result of such action.

Note: Any documents associated with any enforcement actions do not need to be submitted with your application. The Department retains the right to request copies of such documents at any time.

#### **Part VI: Supporting Documents**

Please refer to the following pages (8 through 21) of these instructions for detailed instructions on the completion of these attachments.

#### **Part VII: Certification for the Transfer of an Approval of a Covered Electronics Recycler**

This part should *only* be completed for the *transfer* of an existing CER approval. Both the existing approved CER *and* the proposed CER (transferee) must sign this part. The existing approved CER must

sign and print their name, and provide title, date, phone number and existing approval number. The transferee obtaining the approval must also sign and print their name, and provide title and date.

Note: The proposed CER will receive written notification of the Department's decision to transfer the existing CER approval. The transferee shall not operate or bill manufacturers for the recycling of CEDs prior to the Department's written approval of the transfer.

### **Part VIII: Applicant Certification**

After the application has been completed, it must be reviewed and signed by a responsible official. By their signature, they certify to the following:

“I have personally examined and am familiar with the information submitted in this document and all attachments thereto, and I certify that based on reasonable investigation, including my inquiry of the individuals responsible for obtaining the information, the submitted information is true, accurate and complete to the best of my knowledge and belief.

I understand that a false statement in the submitted information may be punishable as a criminal offense, in accordance with section 22a-6 of the General Statutes, pursuant to section 53a-157b of the General Statutes, and in accordance with any other applicable statute.

I understand that the subject activity is authorized only on or after the date the commissioner issues a written approval with respect to such activity.

I certify that based upon reasonable investigation every facility for which information is being provided, has obtained or will obtain all permits, licenses or approvals needed to authorize the activities.

I certify that if approved, I will comply with sections 22a-629 through-640 of the Connecticut General Statutes and sections 22a-638-1 and 22a-630(d)-1 of the Regulations of Connecticut State Agencies and practices as described in this application.

I certify that I have provided the owner or operator of each facility, for which information is being provided, with a copy of the standards established in section 22a-638-1(c) through (e) of the Regulations of Connecticut State Agencies.

I also certify that this application is on complete and accurate forms as prescribed by the commissioner without alteration of the text.”

**Renewal Only:** “I also hereby certify that:

I am applying for renewal of an existing Covered Electronic Recycler approval by the Commissioner and all aspects of the activities, facilities and supporting documentation described therein continue to comply with the provisions of the approved application and any approved modifications;

For any part of the application that had an expiration of coverage date after the date of the Commissioner's existing approval, such as certificate(s) of insurance or financial assurance, as applicable, I have extended or replaced coverage for my own facilities, and verified that coverage was extended or replaced for my partners to fully satisfy the applicable obligation during the remainder of the term of the approval; and

For any part of the application that may expire after the Commissioner approves this renewal application, I will ensure that coverage will be extended or replaced to fully satisfy the applicable obligation for the remainder of the term of the approval.”

The certification of the application package shall be signed as follows:

- 1) For an individual(s) or sole proprietorship: by the individual(s) or proprietor, respectively;
- 2) For a corporation: by a principal executive officer of at least the level of vice president, or his agent;
- 3) For a limited liability company (LLC): by a manager, if management of the LLC is vested in a manager(s) in accordance with the company's "Articles of Organization", or by a member of the LLC if no authority is vested in a manager(s);
- 4) For a partnership: by a general partner;
- 5) For a municipal, state, or federal agency or department: by either a principal executive officer, a ranking elected official, or by other representatives of such registrant authorized by law.

An application will be considered insufficient unless all required signatures are provided. The applicant will receive written notification of the department's decision to approve the application.

## Part VI: Supporting Documents

### CER Application Requirements By Type of Facility *For New CERs Only*

Please use the chart below as guidance to ensure the applicable attachments have been submitted as part of your application. Please refer to the following instructions for detailed information for each attachment.

Yes – Attachment must be provided

No – Attachment is not applicable

Type of Facility/Company	Applicant/CER (and its facilities, if any)	Collection Locations (municipal, retail, private programs, one-day)	Transporter	Facility Incidental to Transportation (including storage of CEDs for 10 days or less)	Recycling and Disposal Facility of Non-MOCs	Recycling and Disposal Facility of MOCs
<b>Attachment A: Applicant Background Information</b>	Yes	No	No	No	No	No
<b>Attachment B: Description of Applicant's Qualifications and Relevant Experience</b>	Yes	No	No	No	No	No
<b>Attachment C: Activities and Procedures for the Management of CEDs</b>	Yes	No	No	No	No	No
<b>Attachment D: Recycling (including storage of CEDs /MOCs for greater than 10 days) and Disposal Facilities</b>	Yes, if applicable	No	No	No	No	Yes
<b>Attachment E: Transporters and Facilities Incidental to Transportation</b>	Yes, if applicable	No	Yes	Yes	No	No

## Part VI: Supporting Documents

**New Applicants:** Check the appropriate box on the application form by each attachment being submitted as verification that all applicable attachments have been submitted. Please label all attachments as referenced in the application form and these instructions and be sure to include the name of the applicant.

**Renewal Applicants:** Do not submit Attachments A through E with the exception of a current process flow diagram described in Attachment C. Note: If there are proposed changes to any previously submitted and approved documents, a modification form must be completed, submitted and approved before the CER can operate with the proposed changes in accordance with RCSA section 22a-638-1(b)(8)(B).

### Attachment A: Applicant Background Information

Check the appropriate box describing the business entity and submit the corresponding completed form indicated as Attachment A

Corporation: Form [DEEP-EWASTE-APP-002CO](#)

Limited Liability Company: Form [DEEP-EWASTE-APP-002LLC](#)

Limited Partnership: Form [DEEP-EWASTE-APP-002LP](#)

General Partnership: Form [DEEP-EWASTE-APP-002GP](#)

Voluntary Association/Individual or Other: Form [DEEP-EWASTE-APP-002VA](#)

### Attachment B: Description of Applicant Qualifications and Relevant Experience (DEEP-EWASTE-APP-002C)

Submit as Attachment B, a completed [Description of Qualifications and Relevant Experience](#) (DEEP-EWASTE-APP-002B) form. In order to be considered an approved CER, the applicant must demonstrate that they possess the experience and qualifications to manage electronic waste, specifically including CEDs. This can be demonstrated through the number of years the applicant has managed electronic waste including CEDs; the qualifications of the applicant including any titles held; trade association memberships; speaking engagements on electronics recycling; articles written; and any other relevant information.

1. Complete the table by listing current and previous projects and contracts over the past five (5) years in managing and recycling electronic waste, specifically including CEDs. In the corresponding columns, provide a description of each project or contract listed as well as a dollar value in price per pound, if ascertainable, for each. You must provide a dollar value for each project or contract listed;
2. List the number of years the applicant has managed electronic waste including CEDs;
3. List any relevant experience of the applicant including any titles held (e.g., previous owner or operator of recycling business);

4. List any awards, recognitions, certifications earned, current trade association memberships, articles written and speaking engagements. Attach copies of such awards, certifications, or membership information, etc.; and
5. List any other relevant information that has not otherwise been described in this attachment.

## **Attachment C: Activities and Procedures for the Management of CEDs (DEEP-EWASTE-APP-002C)**

Submit as Attachment C, a completed [Activities and Procedures for the Management of Covered Electronic Devices](#) (DEEP-EWASTE-APP-002C) form, regarding the recycling and disposal activities and procedures for the management of CEDs.

Complete this form in accordance with CGS section 22a-629 and RCSA section 22a-638-1(b). The purpose of this attachment is to provide a step-by-step description of the material flow in sequential order from the initial point of collection from residents until CEDs and the components of CEDs are processed into raw materials or products and the waste and/or residue from the recycling of CEDs is disposed of.

For the purposes of this attachment, the following definitions shall apply:

- a. *Initial Point of Collection* shall mean a solid waste facility (e.g. municipal transfer station, private programs, one-day collection, or retail locations) or location designated by the municipality for the convenient and accessible collection of CEDs from their residents and subsequent storage.
- b. *Transporters* shall mean the transportation company that is engaged in transporting CEDs from the initial point of collection to the point of delivery of the CEDs to the **initial recycling facility**, where the CEDs are first dismantled, crushed, shredded or processed.
- c. *Facilities Incidental to Transportation* shall mean a facility where for no more than ten days, activities incidental to transportation are conducted, including, but not limited to: the storing of prepackaged CEDs or their components; the transfer of prepackaged CEDs or their components from one mode of transportation to another; or the aggregation of pre-packaged CEDs or their components. This does not include shipping ports or other similar transportation-related facilities.
- d. *Recycling Facility* shall mean a place or location, including all land and structures or appurtenances, used to collect, store, separate or process CEDs or components of CEDs into raw materials or products. This shall include, but is not limited to, the disassembly and physical recovery of CEDs, or components of CEDs (e.g. crushing shredding, grinding, glass-to-glass recovery or other operations). This shall not include: “initial points of collection” used to collect CEDs from residents provided none of the above activities are conducted, or “facilities incidental to transportation” as defined above.
- e. *Disposal Facility* shall mean a facility receiving waste or residue generated from the recycling of CEDs or their components, for disposal when such waste or residue cannot be recycled any further. This shall include, but is not limited to, an incinerator or facility where waste or residue is placed on the land or water.

**There are three parts to Attachment C:**

- C-1 – Disclosure of Business Partners
- C-2 – Written Narrative – Upstream, Downstream and Other Procedures
- C-3 – Process/Material Flow Diagram for CEDs and Components of CEDs – to be attached

**Part C-1 – Disclosure of Business Partners**

Use Table C-1 to list basic information about all business partners used to manage CEDs, including:

- Certain Transporters (**up to initial recycling facility**). An Attachment E must also be completed and submitted for each facility/company.
- All Facilities Incidental to Transportation. An Attachment E must also be completed and submitted for each facility/company.
- All Recycling Facilities. A business partner that stores for more than 10 days whole CEDs (or components of CEDs that are MOCs or contain MOCs) is also considered a “Recycling Facility” and must be identified in Table C-1. In addition, an Attachment D must also be completed and submitted for each facility/company that stores or recycles MOCs.
- All Disposal Facilities (waste or residue disposal facilities). In addition, an Attachment D must also be completed and submitted for each facility/company that disposes of waste or residue from the recycling of MOCs.

*Note: Do not include in Table C-1 the initial collection points/locations used to collect CEDs from residents. The initial collection points will need to be addressed in section C-2-A of the application.*

**Table C-1: Disclosure of Business Partners**

For each business partner listed in the left hand column, complete the respective information in the adjacent columns.

Add rows to the table by selecting tab in the last row, in the last column.

If a business partner acts as more than one facility type, list each facility type and applicable information on a separate row.

Column (a) – Name of Facility/Company

Column (b) - Address of Facility/Company

Column (c) – Facility Type: Select from one of the following as defined above: Transporters, Facilities Incidental to Transportation, Recycling Facilities, Disposal Facilities

Column (d) – Brief Process/Activity Description:

Column (e) – Materials Received: Select from the following list:

- CEDs - Computers
- CEDs - Monitors
- CEDs - Printers
- CEDs - Televisions
- Contaminated Plastic
- Baghouse/Air filters
- Batteries

Glass - Leaded  
Glass - Non-leaded  
Glycol  
LCD/LED Monitor Screen Material  
Mercury-containing Material  
Paper / Fiber  
PCBs  
Plastic Film/ Shrink Wrap  
Plastic Rigid (Light & Dark)  
Printed Circuit Board Residue  
Scrap Metal including wires and cords  
Shredded Circuit Boards  
Wastewater Sludge / Residue  
Whole Cathode Ray Tubes  
Whole Printed Circuit Boards  
Wood  
Other recyclable or disposal material (must specify)

Column (f) – MOCs: Select from the following list (include all that are applicable):

- circuit boards (whole or shredded);
- whole CRTs;
- glass from CRTs, with the exception of glass that has been sorted, washed and culletized and that is destined for use in manufacturing new CRTs or in any other product clearly identified by the applicant;
- batteries;
- any mercury-containing materials (a component of a CED or part of a component that include, but is not limited to, a switch, relay, backlighting or lamp that contains elemental mercury integral to its function. This shall also include phosphor powders prior to during the retort process; or
- any material containing polychlorinated biphenyls (PCBs) including capacitors and ballasts.

## **Part C-2: Written Narrative**

### **Response Format:**

The written narrative must be organized according to the 3 basic sections presented below – regardless of whether the applicant uses the electronic form provided or not.

If you choose to provide any of the written narrative as a separate attachment, you must indicate the exact location of the response to each item in the corresponding space provided in the application (**e.g., See attachment titled Part C-2-A:2 Tracking Procedures, pgs. 6 – 10**).

### **Labeling Any Attachments:**

Label each sheet with the applicant's name, identifying the corresponding attachment and associated part and question number, as indicated in the example below:

Applicant/Company Name: ABC Company  
Attachment: C  
Part: C-2-A:2 Tracking Procedures  
Question: ii  
Page(s): 6-10

Note: Regardless of the format that you choose to respond to each of the items in Part C-2, your response must describe in detail how the CER will manage CEDs and components of CEDs in compliance with the requirements of RCSA section 22a-638-1.

The 3 basic sections of the written narrative component include:

- A. Upstream Procedures - beginning from the point(s) of initial collection of CEDs to the initial recycling facility
- B. Downstream Procedures - beginning from the initial recycling facility(ies) to the point(s) where waste or residue is disposed from recycling of CEDs, components of CEDs or materials from CEDs.
- C. Other Procedures – includes Data Security, Exports, Reuse/Refurbishment and Environmentally Preferable Practices

### **C-2-A: Upstream Procedures**

- 1. Initial Collection Points** - Identify all types of initial collection points being used to collect CEDs from residents by selecting the applicable box(es) on the application. Check all that apply.
- 2. Tracking Procedures** - Describe in detail the tracking procedures beginning from all of the applicable point(s) of initial collection of CEDs and non-CEDs from consumers (as identified in section C-2-A:1 of the application) to the initial recycling facility, where CEDs are first dismantled, crushed, shredded or processed in a similar manner.

The tracking procedures should be broken down into separate section headings based on each type of collection point identified in C-2-A:1 of the application, as applicable.

- 3. CER Recordkeeping/Billing Procedures** - Describe in detail the system(s) that will be used to record and maintain the data required to properly bill manufacturers in accordance with the formulas and requirements of RCSA Section 22a-638-1(j).

## **C-2-B: Downstream Procedures**

### **Process Flow: Processes / Methods Used to Recycle CEDs or Components of CEDs by CER and its Downstream Vendors**

Describe in detail the process flow of CEDs and components of CEDs as the materials are being processed by the CER and its downstream business partners. In addition to the written description, provide a process flow diagram as Attachment C-3. Ensure that the description provided in this section is consistent with the process flow diagram provided as Attachment C-3.

For each material handled, beginning with the initial recycling facility to the points where CEDs or components of CEDs are processed into raw materials or products and waste or residue is disposed of from recycling of CEDs and components of CEDs, at a minimum, describe the processes and methods (i.e. disassembly and physical recovery operations such as crushing, shredding, grinding, glass-to-glass recycling) that will be used to recycle CEDs and components of CEDs. If multiple facilities will be used for the same activity, include a description of the circumstances in which each facility will be used. The description shall include each recycling facility and each disposal facility used to recycle or dispose of CEDs or components of CEDs. Also include the mechanism for recording weights of the various materials handled in order to provide accurate annual reporting to the department.

### **C-2-C: Other Procedures (Data Security, Export, Reuse/Refurbishment, Environmentally Preferred Practices)**

1. Data Security Procedures: Describe in detail procedures to ensure data security (i.e., a hard drive or similar data storage device that is to be recycled, erased or destroyed):
2. Export Procedures: For CEDs and components of CEDs that will be exported, provide detailed descriptions of the circumstances in which the CEDs and or components will be exported. Indicate “Not Applicable” if no CEDs or components of CEDs are exported and indicate why.
3. Reuse/Refurbishment Procedures: For CEDs that will be re-used or refurbished, provide detailed descriptions for how CEDs will be re-used or refurbished in accordance with RCSA section 22a-638-1(d)(1) thru (6). Indicate “Not Applicable” if no CEDs are Reused/Refurbished.
4. Environmental Preferred Practices: Provide a description of the environmentally preferred practices used by business partners identified in Table C-1. This includes, but is not limited to, LEED, ISO 14001, e-Stewards, R2 certifications, any energy efficient practices, alternative fuels, and fleet operations.

### **Part C-3: Process Flow Diagram for CEDs and Components of CEDs**

Attach a process flow diagram which includes upstream and downstream business partners. Ensure consistency between the business partners identified in Table C-1 and the written description of downstream process flow provided in C-2-B of the application form.

## **Attachment D: Recycling and Disposal Facilities that Receive Materials of Concern (DEEP-EWASTE-APP-002D)**

Submit as Attachment D, a completed [Recycling and Disposal Facilities that Receive Materials of Concern](#) (DEEP-EWASTE-APP-002D) form for *each* recycling facility and *each* disposal facility that receives materials of concern or MOCs. This form is not required for recycling and disposal facilities that receive non-MOCs.

For the purposes of this attachment, the following definitions shall apply:

- a. *Materials of concern or MOCs* shall mean CEDs or components of CEDs that contain or consist of any of the following:
  - circuit boards (whole or shredded);
  - whole CRTs;
  - glass from CRTs, with the exception of glass that has been sorted, washed and culletized and that is destined for use in manufacturing new CRTs or in any other product clearly identified by the applicant;
  - batteries;
  - any mercury-containing materials (a component of a CED or part of a component that include, but is not limited to, a switch, relay, backlighting or lamp that contains elemental mercury integral to its function. This shall also include phosphor powders prior to during the retort process; or
  - any material containing polychlorinated biphenyls (PCBs) including capacitors and ballasts.
- b. *Recycling Facility* shall mean a place or location, including all land and structures or appurtenances, used to collect, store, separate or process CEDs or components of CEDs into raw materials or products. This shall include, but is not limited to, the disassembly and physical recovery of CEDs, or components of CEDs (e.g. crushing shredding, grinding, glass-to-glass recovery or other operations). This shall not include: “initial points of collection” used to collect CEDs from residents provided none of the above activities are conducted, or “facilities incidental to transportation” as defined above.

*Note: Any facility that stores for greater than ten days or aggregates or transfers non-packaged CEDs is considered a “Recycling Facility” as defined above.*
- c. *Facilities Incidental to Transportation* shall mean a facility, place or location, where for no more than ten days, activities incidental to transportation are conducted, including, but not limited to: the storing of prepackaged CEDs or their components; the transfer of prepackaged CEDs or their components from one mode of transportation to another; or the aggregation of pre-packaged CEDs or their components. This does not include ports or other similar transportation-related facilities.
- d. *Disposal facility* shall mean a facility receiving waste or residue generated from the recycling of CEDs or their components, for disposal when such waste or residue cannot be recycled any further. This shall include but is not limited to, an incinerator or facility where waste or residue is placed on the land or water.

Provide the following information for each entity:

## Part I: Facility Information

1. Name of facility/company/firm name, location address, business phone, primary contact person within the company whom the Department may contact with their associated title and e-mail.
2. Identify all permits, licenses or approvals, if any, held by the entity. Include only those issued by federal or state government for activities related to the recycling of electronic waste.

Please note for Recycling or Disposal Facilities located in Connecticut:

- If the Recycling or Disposal Facility accumulates 5,000 kg (11,000 lbs.) or more of universal wastes as defined in [RCSA section 22a-449\(c\)-113](#), the facility must submit a completed EPA form entitled "*RCRA Subtitle C Site Identification Form*" (included in the Notification of Regulated Waste Activity Instructions and Forms EPA Form 8700-12, latest revision), to the Department's Waste Engineering and Enforcement Division. A copy of this form and instructions are available on the EPA website at [www.epa.gov/osw/inforesources/data/form8700/forms.htm](http://www.epa.gov/osw/inforesources/data/form8700/forms.htm) or by calling the Department's Waste Engineering and Enforcement Division at 860-424-3023.
  - If the Recycling or Disposal Facility is a Large Quantity Handler pursuant to [RCSA section 22a-449\(c\)-113](#) and the facility disassembles used electronics, it must obtain authorization to conduct the disassembly of used electronics pursuant to [CGS section 22a-208a](#).
  - If the Recycling or Disposal Facility engages in one-day collection activities for used electronics including CEDs, the facility may need to obtain a registration under the [General Permit to Perform One-Day Collections of Certain Wastes and Household Hazardous Waste](#) ("One-Day GP"). Note: the One-Day GP would not be needed, however, if the only wastes collected are universal wastes.
3. Indicate if the facility is managing CEDs as a Universal Waste. For Recycling or Disposal Facilities located in Connecticut: if the Recycling or Disposal Facility is not managing CEDs as a universal waste used electronics under [RCSA section 22a-449\(c\)-113](#), then a Solid Waste permit from the Department must be obtained. For permit related questions, please contact the Bureau of Materials Management and Compliance Assurance at 860-424-3372 or use the toll free hotline at 866-424-4193.
  4. Indicate whether the facility is managing CEDs under Electronics Recycling Coordination Clearinghouse Collection Site Best Practices: ([ERCC BMP guidelines](#)).
  5. Check the appropriate boxes next to each of the required plans (A – F) indicating that such plan has been prepared and is in effect at the facility and is available for on-site inspection. **Do not submit these plans with the application. These plans need to be kept at the facility at all times and made available to the commissioner upon request.**

### Environmental Management Systems (EMS) and Environmental Health and Safety (EH&SM) Plans:

The applicant may submit, on behalf of the facility, a request to the Department to recognize that a certification or credential granted by an independent entity meets the requirements of an EMS and/or EH&SM plans. Any such request may be written in the space provided and you may attach any supporting documentation including such certification or credential.

**Closure Plan and Cost Estimate:**

The applicant may submit, on behalf of the facility, a request to the Department to recognize other means to achieve compliance with a closure plan and cost estimate, including but not limited to, a government program that provides functionally equivalent protections. Any such request may be written in the space provided and you may attach any supporting documentation.

**Facility Security Program:**

The security program must control access to the facility or the portion of the facility where CEDs or components of CEDs are present and may include, but need not be limited to, badges for employees, an alarm system, metal detectors, surveillance cameras, indoor and outdoor lighting, or perimeter fencing.

**Part II: Compliance History**

RCSA section 22a-638-(1)(b)(3)(E) provides for the Department’s review of an applicant's record of compliance with the environmental laws of Connecticut, any other state, and the federal government of this or any other country. Under the law, the Department may consider the applicant's environmental compliance record, as well as the record of the applicant's principals and any parent companies or subsidiaries, when reviewing a CER approval. For more information, refer to CGS section 22a-6m.

If “Yes” is answered to any of the questions in Part IV, the Table of Enforcement Actions in Part V must be completed.

**Part III: Table of Enforcement Actions**

Complete the Table of Enforcement Actions if “Yes” is answered to any of the questions in Part III.

*Type of Action:* Identify each enforcement action as one of the following: Administrative order (including consent orders); Judgment, order, or decree; or Criminal conviction.

*Date Commenced:* Provide the date each enforcement action listed was issued or commenced.

*Date Terminated:* If the enforcement action listed has terminated, provide the date of termination.

*Jurisdiction:* For each listed enforcement action, indicate whether a state court, a federal court, a state agency or a federal agency was involved. Identify such court or agency.

*Case/Docket/Order Number:* Provide the case, docket or order number of each enforcement action listed.

*Description of Violation:* Provide a brief description of the violation involved in the listed enforcement action and any requirement or penalty imposed as a result of such action.

Note: Any documents associated with any enforcement actions do not need to be submitted with your application. The Department retains the right to request copies of such documents at any time.

**Part IV: Required Documentation**

Check the appropriate boxes in the application next to each of the listed requirements as verification that such documentation has been submitted as an attachment to this form. Label each attachment with the applicant’s name and as specified below.

### ***Proof of Insurance***

Provide proof of insurance from the insurance company indicating the amount and type specified below pursuant to RCSA section 22a-638-1(e)(6). Such proof must be in the form of a copy of the insurance document or correspondence from the issuing institution indicating the amounts and dates of coverage. Clearly label any enclosures with the name(s) of the facility(ies) covered, types of coverage and the amount(s) covered by each document.

Minimum Coverage Amounts for CGL and PLL:

- A. Commercial General Liability (CGL): One million dollars (\$1,000,000) combined single limit per occurrence and two million dollars (\$2,000,000) annual aggregate; and
- B. Pollutant Releases, Accidents and Other Emergencies (Pollution Legal Liability or PLL):
  - For facilities in which ***whole CEDs are dismantled, shredded, crushed or otherwise processed***: Three million dollars (\$3,000,000) combined single limit per occurrence and six million dollars (\$6,000,000) annual aggregate, or
  - For ***all other recycling and disposal facilities***: One million dollars (\$1,000,000) combined single limit per occurrence and two million dollars (\$2,000,000) annual aggregate.

Note: If proof of CGL or PLL insurance coverage is not offered or is unobtainable for a facility in accordance with RCSA section 22a-638-1(e)(6), then, in the spaces provided, write an explanation that pertains to the circumstance(s) why insurance coverage is not obtainable for the facility.

### ***Proof of Financial Assurance***

Provide evidence of financial assurance or other guarantee indicating the amount and type pursuant to RCSA section 22a-638-1(e)(7). You must check ***one of the two options*** provided, and enclose the appropriate document(s) as evidence of such coverage.

If financial assurance is not required by any applicable laws or regulations of the state or locality where the facility is located, or if financial assurance is not required by a permit issued by any governmental entity to the facility, then, in the space provided, write an explanation why financial assurance is not required for the facility.

## **Attachment E: Transporters and Facilities Incidental to Transportation (DEEP-EWASTE-APP-002E)**

Submit as Attachment E, a completed [\*Transporters and Facilities Incidental to Transportation\*](#) (DEEP-EWASTE-APP-002E) form for ***each*** initial transporter and ***each*** facility incidental to transportation.

Indicate whether the entity is a transporter or a facility incidental to transportation. Please check all boxes that apply and fill out the applicable parts of the form.

Each Transporter must complete Parts I, III and IV.

Each Facility Incidental to Transportation must complete Parts II, III and IV.

If the entity is both a transporter and a facility incidental to transportation, then check off both boxes and complete and submit one form. In such case, the applicant will need to complete all sections of this form.

### **Part I: Transporter Information**

*Transporters* shall mean the transportation company that is engaged in transporting CEDs from the initial point of collection to the point of delivery of the CEDs to the *initial recycling facility*, where the CEDs are first dismantled, crushed, shredded or processed.

Provide the following information for each Transporter:

1. Name of transportation company/firm name, location address, business phone, primary contact person within the company whom the Department may contact with their associated title and e-mail.
2. Identify all permits, licenses or approvals, if any, held by the entity. Include only those issued by federal or state government for activities related to the recycling of electronic waste.
3. A detailed description of the transportation capacity including: the fleet size (i.e. the number of trucks and trailers); and the capacity of each truck/trailer in cubic yards.

### **Part II: Facility Incidental to Transportation**

*Facilities Incidental to Transportation* shall mean a facility where for no more than ten days, activities incidental to transportation are conducted, including, but not limited to: the storing of prepackaged CEDs or their components; the transfer of prepackaged CEDs or their components from one mode of transportation to another; or the aggregation of pre-packaged CEDs or their components. This does not include shipping ports or other similar transportation-related facilities.

Provide the following information for each Facility Incidental to Transportation:

1. Name of facility/company/firm name, mailing address, business phone, primary contact person within the company whom the Department may contact with their associated title and e-mail;
2. Identify all permits, licenses or approvals, if any, held by the entity. Include only those issued by federal or state government for activities related to the recycling of electronic waste;

Please note for facilities incidental to transportation located in Connecticut:

- If such facility accumulates 5,000 kg (11,000 lbs.) or more of universal wastes as defined in [RCSA section 22a-449\(c\)-113](#), the facility must submit a completed EPA form entitled "*RCRA Subtitle C Site Identification Form*" (included in the Notification of Regulated Waste Activity Instructions and Forms EPA Form 8700-12, latest revision), to the Department's Waste Engineering and Enforcement Division. A copy of this form and instructions are available on the EPA website at [www.epa.gov/osw/inforesources/data/form8700/forms.htm](http://www.epa.gov/osw/inforesources/data/form8700/forms.htm)

or by calling the Department's Waste Engineering and Enforcement Division at 860-424-3023.

- If the Recycling or Disposal Facility is a Large Quantity Handler pursuant to [RCSA section 22a-449\(c\)-113](#) and the facility disassembles used electronics, it must obtain authorization to conduct the disassembly of used electronics pursuant to [CGS section 22a-208a](#).
  - If the Recycling or Disposal Facility engages in one-day collection activities for used electronics including CEDs, the facility may need to obtain a registration under the [General Permit to Perform One-Day Collections of Certain Wastes and Household Hazardous Waste](#) (“One-Day GP”). Note: the One-Day GP would not be needed, however, if the only wastes collected are universal wastes.
3. Indicate whether the facility incidental to transportation is managing CEDs as a Universal Waste under RCSA section 22a-449(c)-113 incorporating 40 CFR 273.

For such facilities located in Connecticut: if the facility is not managing CEDs as a universal waste used electronics under [RCSA section 22a-449\(c\)-113](#), then a Solid Waste permit from the Department may be needed. For permit related questions, please contact the Bureau of Materials Management and Compliance Assurance at 860-424-3372 or using a toll free hotline to 866-424-4193.

4. Indicate whether the facility incidental to transportation is managing CEDs under Electronics Recycling Coordination Clearinghouse Collection Site Best Practices: ([ERCC BMP guidelines](#)).
5. Indicate the activities incidental to transportation that will be performed by the facility; and
6. a. Provide a detailed description of how the facility will store CEDs and/or components of CEDs.
- b. If the storage will be inside a building, provide the storage area, in square feet, where CEDs or components will be stored; and the maximum storage capacity, in cubic yards.
- c. If the storage will be inside trailers, provide the total number of trailers and the storage capacity of each trailer in cubic yards.

**Part III: Compliance History (*This section applies to Transporters and Facilities Incidental to Transportation*)**

RCSA section 22a-638-(1)(b)(3)(E) provides for the Department’s review of the compliance history with the environmental laws of Connecticut, any other state, and the federal government of this or any other country. The Department may consider the environmental compliance record of the transporter or facility incidental to transportation including any principals or any parent companies or subsidiaries, when reviewing a CER approval.

If “Yes” is answered to any of the questions in this Part, you must complete the Table of Enforcement Actions in Part V.

#### **Part IV: Table of Enforcement Actions (*This section applies to Transporters and Facilities Incidental to Transportation*)**

Complete the Table of Enforcement Actions if you have answered “Yes” to any of the questions in Part IV.

*Type of Action:* Identify each enforcement action as one of the following: administrative order (including consent orders); judgment, order, or decree; and criminal conviction.

*Date Commenced:* Provide the date each enforcement action listed was issued or commenced.

*Date Terminated:* If the enforcement action listed has terminated, provide the date of termination.

*Jurisdiction:* For each listed enforcement action, indicate whether a state court, a federal court, a state agency or a federal agency was involved. Identify such court or agency.

*Case/Docket/Order Number:* Provide the case, docket or order number of each enforcement action listed.

*Description of Violation:* Provide a brief description of the violation involved in the listed enforcement action and any requirement or penalty imposed as a result of such action.

Note: Copies of any documents associated with any enforcement actions do not need to be submitted with your application initially, although the Department retains the right to request these documents at a later date.

#### **Available Resources:**

Below is a list of possible resources to aid applicants in completing the CER application form and supporting documents.

For the CER application form, instructions and other required documents, visit the Department’s website at [www.ct.gov/DEEP/e-waste](http://www.ct.gov/DEEP/e-waste).

- [Recycler Application and Instructions](#)
- [CT’s E-Waste Regulations](#)
- Electronics Recycling Coordination Clearinghouse Collection Site Best Practices: [www.ecycleclearinghouse.org/Content.aspx?pageid=95](http://www.ecycleclearinghouse.org/Content.aspx?pageid=95)
- CT’s Universal Waste Rule (under [RCSA section 22a-449\(c\)-113](#) incorporating 40 CFR 273)

For general assistance regarding the application: contact the Bureau of Materials Management and Compliance Assurance, at 860-424-3372 or use the toll free hotline at 866-424-4193.

#### **Affirmative Action, Equal Employment Opportunity and Americans with Disabilities**

The Connecticut Department of Energy and Environmental Protection is an Affirmative Action/Equal Opportunity Employer that is committed to complying with the requirements of the Americans with Disabilities Act (ADA). Please contact us at (860) 418-5910 or [deep.accommodations@ct.gov](mailto:deep.accommodations@ct.gov) if you: have a disability and need a communication aid or service; have limited proficiency in English and may need information in another language; or if you wish to file an ADA or Title VI discrimination complaint.