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1 Context

This document lays down the requirements for WEEELABEX Auditors who will be entitled to perform conformity verifications based on the **WEEELABEX requirements** undertaken by operators who apply for WEEELABEX attestation, regardless if the request for WEEELABEX conformity verification was launched by a WEEELABEX Member System or the operator.

Those individuals approved as 'WEEELABEX Auditors' will compose a pool of auditors that is mandated to verify conformity of operators and treatment processes.

2 Types and stages of WEEELABEX Auditors

Three different auditor levels are available that reflect the respective auditing experience / skills:

- **WEEELABEX** Auditor
 - A person who meets the basic criteria below, and who has participated in a **general qualification examination workshop (hereinafter as "examination workshop")** and successfully passed the examination **process as defined in the document A06 General qualification examination workshop manual.**
 - WEEELABEX Auditors are entitled to assist the Lead Auditor during conformity verification audits, and to validate batch tests.
 - **The WEEELABEX Auditor must perform at least one WEEELABEX Audit in two consecutive years to remain certified.**

- **WEEELABEX** Lead Auditor

- A person who is an **WEEELABEX** Auditor who has **either**:
 - proven **WEEELABEX** auditing experience at six on site **WEEELABEX** audits, including one closed **WEEELABEX** audit performed as a trainee lead auditor under the supervision of **a** **WEEELABEX** Lead Auditor in three consecutive years; **or**
 - **proven WEEE auditing experience of at least ten audits in last three consecutive years, and has performed at least 3 audits as a lead auditor (for example for ISO 14001 or ISO 9001), and has a minimum of three years working experience in the WEEE sector, and has successfully passed the Fast Track Lead Auditor qualification process as defined in the document C 05 Fast Track Lead Auditor qualification process (including one closed WEEELABEX audit performed as a trainee lead auditor under the supervision of a WEEELABEX Assessor).**
- **WEEELABEX** Lead Auditors shall perform at least one **WEEELABEX** audit in the first twelve months following confirmation of their approval to remain listed. If not, they will be delisted to a position of **WEEELABEX** Auditors. After performing the Conformity verification audit under supervision of **WEEELABEX** Lead Auditor, they shall be listed as **WEEELABEX** Lead Auditors again.
- **WEEELABEX** Lead Auditors are entitled to perform conformity verification audits and validate batch tests and prepare the final **Audit** report **and the Summary report (Part 1 & 2)**.
- Auditors who successfully become **certified** as **WEEELABEX** Lead Auditors will be eligible to become **examiners** for general auditor and specialist performance test **examination workshops**. The **qualification process and selection of examiners, and the examination workshops** will remain the responsibility of, and under the control of, the **WEEELABEX** Organisation **in accordance with the WEEELABEX internal document TQM_04**.

- **WEEELABEX** Specialist Auditor

There are two types of specialist auditors.

All specialist auditors must have successfully completed a general **examination workshop** prior to attending a specialist auditor **examination workshop** outlined below:

- To be a specialist CFA¹ Auditor they have to have participated in a specialist and separate **examination workshop** setting out the requirements and audit process for the Step 1 and Step 2 performance test; and successfully passed the CFA examination **process during and at the end of the examination workshop**.
- To be a specialist Lamps Auditor they have to have participated in **a specialist and separate lamps examination workshop; and successfully passed the Lamps examination process during and at the end of the examination workshop**.

The criteria for each type is:

- **WEEELABEX** CFA auditor

- A person who is an Auditor who has participated in at least **six** **WEEELABEX** CFA audits (**including the CFA performance tests**).
- They are entitled to perform a CFA performance test (as set down in **EN 50574-1:2012 and CLC/TS 50574-2:2014**) and validate the CFA batch test.

¹ CFA¹ means 'cooling and freezing appliances'.

- WEEELABEX Lamps auditor
 - A person who is an Auditor who has participated in at least three WEEELABEX Lamps audits.
 - They are entitled to perform a lamp audit (as part of a general audit) and validate the Lamps batch test.

3 Profile of WEEELABEX auditors

In order to seek approval as a WEEELABEX auditor, individuals should as a minimum meet the following criteria:

All Auditors:

a) Professional background:

- i WEEELABEX auditors should either have a EEE / WEEE related technical / practical background and / or proven auditing experience in the context of ISO 9001/14001 or specialist WEEE facility audits in order to perform conformity verification activities in the context of WEEELABEX.
- ii They should be familiar with general waste and WEEE treatment technologies and with EU and particular national legislation in the areas of WEEE, waste, environment, hazardous substances and occupational health and safety.
- iii *WEEELABEX auditors shall have knowledge of and access to the respective WEEE treatments standards (including respective WEEE related EN standards) which are valid within the scope and the time frame of the respective WEEELABEX audit.***

b) Personal qualifications:

WEEELABEX auditors should have a good level of judgement, and good communication skills. They should be customer oriented and have a good sense of comprehension and ability for assertion.

c) Impartiality and confidentiality:

Auditors shall be committed to impartiality² and confidentiality according to the **ISO 17024 and ISO 17065**, and be independent to the extent that is required with regard to:

- i An auditor employed by a WEEELABEX System may not perform an audit at a facility where the auditor has the responsibility for the contractual / service relationship within the last twelve calendar months.
- ii All audits are to be carried out by third party auditors (auditors that are not employed by any WEEELABEX System). Without prejudice to clause i and the sentence above, a third party auditor may request the services of a second party auditor (auditor that is employed by a WEEELABEX System) in exceptional cases where there is a lack of auditors or where the third party auditor is being assessed to become a lead auditor. An auditor (Lead auditor or Auditor) employed by a WEEELABEX System may therefore perform a WEEELABEX audit only as a member of an audit team comprising of at least one **third party auditor** (auditor that is not employed by any WEEELABEX System). All members of the audit team shall be committed to impartiality and confidentiality according to **ISO 17024 and ISO 17065**. Contractual relationship between the auditor(s) and the **audited** operator shall be

² **Impartiality:** The audit shall be conducted with due impartiality of the audit and objectivity of the audit conclusions. The auditors will be expected to be free from any commercial, financial and other interest which might affect their judgement. Procedures will be implemented to ensure that persons or organisations external to the Auditor cannot influence the results of audit carried out.

managed by the **third party auditor** (auditor that is not employed by any WEEELABEX System).

- iii An auditor **or his/her auditing company shall** not perform an audit at a facility where the auditor or the auditing company have a direct consultancy / business relationship within the last twelve calendar months.
- iv Auditors or **his/her** auditing companies shall not provide a consultancy service or form a business relationship with any treatment facility where he has performed a WEEELABEX Audit for one year after the said WEEELABEX Audit has taken place.

d) Language skills:

WEEELABEX auditors **shall** have a good command of English (written and oral) *Note: A member of each audit team must have sufficient knowledge of the local language, besides English.*

e) Code of conduct:

WEEELABEX auditors shall adhere to the following principles:

- i **Ethical conduct:** Professionalism when conducting all activities.
- ii **Fair presentation:** There is an obligation to report findings truthfully and accurately.
- iii **Due professional care:** The application of diligence and judgement in auditing.
- iv **Evidence-based approach:** A systematic audit process shall enable the auditor in reaching reliable and reproducible audit conclusions.

A summary of required competencies (ability to apply knowledge and skills to achieve intended results) for all the auditors' levels is defined in the Annex 1 of this document.

4 Application Process

Prospective auditors that consider they meet with the above criteria should apply in the first instance to the WEEELABEX Organisation using the Auditor Application Form [*available on the website / from the WEEELABEX office*].

Prospective auditors who are **certified** as WEEELABEX Auditors will be expected to abide by the terms and conditions set down in the A03 Auditor Agreement Form.

Further details may be found on the website / from the WEEELABEX office.

Annex 1: Summary of required competencies (ability to apply knowledge and skills to achieve intended results) for all the auditors' levels:

<i>Required competencies - ability to apply knowledge and skills to achieve intended results</i>	<i>Lead Auditor</i>	<i>Auditor</i>	<i>Specialist Auditor - CFA auditor</i>	<i>Specialist Auditor - Lamps auditor</i>
GENERAL AND SURVEILLANCE AUDIT				
<p><i>Ability to coordinate the activities included in the Conformity Verification process (batch tests, specialist performance tests) among the different actors involved (specialist auditors/auditors, auditees, certification body).</i></p> <ul style="list-style-type: none"> - <i>supervising the audit team carrying out the audits/tests, ensuring that all stages of the audits/tests are planned, carried out, and formally reported to the auditee and the Certification body.</i> 	X	-	-	-
<p><i>Ability to compile and issue a comprehensive Audit plan for General/ Surveillance audit according to the following information:</i></p> <ul style="list-style-type: none"> - <i>review the Declaration of Intent;</i> - <i>review any previous audit findings;</i> - <i>review any audit reports issued previously;</i> - <i>calculation of on-site audit duration in compliance with Annex 1 of the document B04.</i> 	X	-	-	-
<p><i>Ability to form the Audit team according to the following information:</i></p> <ul style="list-style-type: none"> - <i>identification of audited WEEE streams based on review or a Declaration of Intent;</i> - <i>identification the need for participation of specialist auditors, technical experts, or interpreters;</i> - <i>identification of knowledge and skills of audit team members.</i> 	X	-	-	-
<p><i>Ability to lead the on-site General/Surveillance audit:</i></p> <ul style="list-style-type: none"> - <i>leadership and communication skills;</i> - <i>good command of English (written and oral);</i> - <i>knowledge of the Conformity Verification process, documents, and circulation of documents;</i> - <i>supervising the audit team carrying out the on-site audit, ensuring that all stages of the audit are planned and carried out.</i> 	X	-	-	-
<p><i>Ability to perform the on-site General/ Surveillance audit:</i></p> <ul style="list-style-type: none"> - <i>communication and auditing skills;</i> - <i>good command of English (written and oral);</i> - <i>good command of the local language of the Auditee (at least one of the audit team);</i> - <i>deep knowledge of WEEELABEX requirements including the EN 50625 series standards;</i> - <i>deep knowledge of the document A04 Auditor manual, including the audit questionnaire, classification of non-conformities and other aspects of the auditing process;</i> - <i>knowledge of technical and legal aspects of the WEEE treatment process, or delegate this task to a member of the audit team with recognised skills;</i> 	X	X	-	-

<ul style="list-style-type: none"> - understanding and evaluation of compliance of all the treatment processes, covering but not limited to the following topics: <ul style="list-style-type: none"> o General and legal compliance and document management; o Documents and downstream monitoring; o Material reception, sorting, handling and storage; o Training, facility safety and emergency planning; o Depollution; o Recycling & recovery and batch tests; o Preparation for reuse; o Disposal of fractions. - knowledge of depollution benchmarks, depollution limit values and targets values defined in the WEEELABEX requirements; - knowledge of how to identify non-conformities and recommendations for improvement in compliance with the document A04 Auditor manual. 				
<p>Ability to create and issue the Audit reports from the General/Surveillance audit:</p> <ul style="list-style-type: none"> - deep knowledge of the reporting tools and templates (A 05.0a Integrated Auditing Reporting Template); - good command of English (written); - good PC skills with a focus on use of MS Office or equivalent software; - knowledge of how assess the level of compliance against the WEEELABEX requirements and how to answer the questions defined in the Audit questionnaire according to the rules defined in the document A04 Audit manual; - knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04 Auditor manual; - knowledge of how to describe evidence obtained to support the auditor's answers or the facts of a conformance or non-conformance in compliance with the document A04 Auditor manual; - deep knowledge of what are the conditions to issue a recommendation for the certification (or not) to the Certification body; - knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document. 	X	-	-	-
SPECIALIST PERFORMANCE TEST AND BATCH TEST – TEMPERATURE EXCHANGE EQUIPMENT (CFA performance test)				
<p>Ability to compile and issue a comprehensive Audit plan for CFA performance test according to the following information:</p> <ul style="list-style-type: none"> - good understanding of the treatment process; - review any previous audit reports (if available); - deep knowledge of the EN 50625 series standards; EN 50574 and CLC-TS 50574-2; - knowledge of the minimum amount of WEEE that shall be treated during the CFA performance test according to the standard EN 50574 and CLC-TS 50574-2; - knowledge of the minimum amount of WEEE that shall be treated during the CFA batch test according to the EN 50625-1. 	-	-	X	-
<p>Ability to form the Audit team according to the following information:</p> <ul style="list-style-type: none"> - identification the need for participation of specialist auditors, technical experts, or interpreters; - identification of knowledge and skills of audit team members. 	-	-	X	-
<p>Ability to lead the on-site CFA performance test:</p> <ul style="list-style-type: none"> - leadership and communication skills; - good command of English (written and oral); 	-	-	X	-

<ul style="list-style-type: none"> - <i>knowledge of the Conformity Verification process, documents, and circulation of documents;</i> - <i>supervising the audit team carrying out the on-site test, ensuring that all stages of the test are planned and carried out.</i> 				
<p>Ability to perform the on-site CFA performance test:</p> <ul style="list-style-type: none"> - <i>communication and auditing skills;</i> - <i>good command of English (written and oral);</i> - <i>good command of the local language of the Auditee (at least one of the audit team);</i> - <i>deep knowledge of the EN 50625 series standards, EN 50574 and CLC-TS 50574-2;</i> - <i>knowledge of technical and legal aspects of the WEEE treatment process, or delegate this task to a member of the audit team with recognised skills;</i> - <i>understanding and evaluation of compliance of the treatment process, covering but not limited to the following topics:</i> <ul style="list-style-type: none"> o <i>Step 1 depollution and treatment process;</i> o <i>Step 2 depollution and treatment process;</i> o <i>Depollution monitoring and reporting requirements and procedure.</i> - <i>knowledge of depollution process, depollution benchmarks, depollution limit values and targets values defined in the EN 50625 series standards, EN 50574 and CLC-TS 50574-2;</i> - <i>skills and knowledge of sampling methods and procedures and manual/handpicking analysis methods and procedures as defined in the EN 50625 series standards, EN 50574 and CLC-TS 50574-2;</i> - <i>knowledge of how to select a laboratory for the required chemical analysis and how to specify the required chemical analysis and how to interpret the results.</i> 	-	-	X	-
<p>Ability to create and issue the Audit reports from the CFA performance test:</p> <ul style="list-style-type: none"> - <i>deep knowledge of the reporting tools and templates (A05 8 Temperature exchange equipment Specialist Audit Report; A05.2a Reporting template Performance Test C&F step 1; A05.2b Reporting template Performance Test C&F step 2; A05.2c Reporting Template CF Monitoring; A 05.0b Integrated Batch Reporting Template);</i> - <i>good command of English (written);</i> - <i>good PC skills with a focus on use of MS Office or equivalent software;</i> - <i>knowledge of how assess the level of compliance against the EN 50574 and CLC-TS 50574-2;</i> - <i>knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04 Auditor manual;</i> - <i>knowledge of how to describe evidence obtained to support the auditor's answers or the facts of a conformance or non-conformance in compliance with the document A04 Auditor manual;</i> - <i>knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document.</i> 	-	-	X	-
BATCH TEST AND SPECIALIST AUDIT – GAS DISCHARGE LAMPS (LAMPS)				
<p>Ability to compile and issue a comprehensive Audit plan for LAMPS batch test and specialist audit according to the following information:</p> <ul style="list-style-type: none"> - <i>review the Declaration of Intent;</i> - <i>good understanding of the treatment process;</i> - <i>review any previous audit reports (if available);</i> 	-	-	-	X

<ul style="list-style-type: none"> - <i>deep knowledge of the WEEELABEX requirements;</i> - <i>knowledge of the minimum amount of WEEE that shall be treated during the batch test according to the EN 50625-1.</i> 				
<p>Ability to form the Audit team according to the following information:</p> <ul style="list-style-type: none"> - <i>identification the need for participation of specialist auditors, technical experts, or interpreters;</i> - <i>identification of knowledge and skills of audit team members.</i> 	-	-	-	X
<p>Ability to lead the on-site LAMPS batch test and audit:</p> <ul style="list-style-type: none"> - <i>leadership and communication skills;</i> - <i>good command of English (written and oral);</i> - <i>knowledge of the Conformity Verification process, documents, and circulation of documents;</i> - <i>supervising the audit team carrying out the on-site test, ensuring that all stages of the test are planned and carried out.</i> 	-	-	-	X
<p>Ability to perform the on-site LAMPS batch test and audit:</p> <ul style="list-style-type: none"> - <i>communication and auditing skills;</i> - <i>good command of English (written and oral);</i> - <i>good command of the local language of the Auditee (at least one of the audit team);</i> - <i>deep knowledge of the WEEELABEX requirements;</i> - <i>knowledge of technical and legal aspects of the WEEE treatment process, or delegate this task to a member of the audit team with recognised skills;</i> - <i>understanding and evaluation of compliance of the treatment process;</i> - <i>knowledge of depollution process, depollution benchmarks, depollution limit values and targets values defined in the WEEELABEX requirements;</i> - <i>skills and knowledge of sampling methods and procedures and manual analysis methods and procedures as defined in the in the WEEELABEX requirements;</i> - <i>knowledge of how to select a laboratory for the required chemical analysis and how to specify the required chemical analysis and how to interpret the results.</i> 	-	-	-	X
<p>Ability to create and issue the Audit reports from the LAMPS batch test and audit:</p> <ul style="list-style-type: none"> - <i>deep knowledge of the reporting tools and templates (A 05.0b Integrated Batch Reporting Template; A 05.2d Reporting Template Lamps);</i> - <i>good command of English (written);</i> - <i>good PC skills with a focus on use of MS Office or equivalent software;</i> - <i>knowledge of how assess the level of compliance against the WEEELABEX requirements;</i> - <i>knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04 Auditor manual;</i> - <i>knowledge of how to describe evidence obtained to support the auditor's answers or the facts of a conformance or non-conformance in compliance with the document A04 Auditor manual;</i> - <i>knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document.</i> 	-	-	-	X

BATCH TEST for the following streams: - Large appliances; - Mixed equipment; - Display units (televisions and monitors containing cathode ray tubes); - Display units (televisions and monitors containing cold cathode fluorescent lamps); - Other streams approved by the WEEELABEX Organisation.				
Ability to compile and issue a comprehensive Audit plan for batch test according to the following information: - review the Declaration of Intent; - good understanding of the treatment process; - review any previous audit reports (if available); - deep knowledge of the WEEELABEX requirements; - knowledge of the minimum amount of WEEE that shall be treated during the batch test according to the EN 50625-1.	X	X	-	-
Ability to form the Audit team according to the following information: - identification the need for participation of specialist auditors, technical experts, or interpreters; - identification of knowledge and skills of audit team members.	X	X	-	-
Ability to lead the on-site batch test: - leadership and communication skills; - good command of English (written and oral); - knowledge of the Conformity Verification process, documents, and circulation of documents; - supervising the audit team carrying out the on-site batch test, ensuring that all stages of the batch test are planned and carried out.	X	X	-	-
Ability to perform the on-site batch test: - communication and auditing skills; - good command of English (written and oral); - good command of the local language of the Auditee (at least one of the audit team); - deep knowledge of the WEEELABEX requirements; - knowledge of technical and legal aspects of the WEEE treatment process, or delegate this task to a member of the audit team with recognised skills; - understanding and evaluation of compliance of the treatment process; - knowledge of depollution process, depollution benchmarks, depollution limit values and targets values defined in the WEEELABEX requirements; - skills and knowledge of sampling methods and procedures and manual/handpicking analysis methods and procedures as defined in the in the WEEELABEX requirements; - knowledge of how to select a laboratory for the required chemical analysis and how to specify and interpret the required chemical analysis.	X	X	-	-
Ability to create and issue the batch test reports: - deep knowledge of the reporting tools and templates (A 05.0b Integrated Batch Reporting Template); - good command of English (written); - good PC skills with a focus on use of MS Office or equivalent software; - knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document.	X	X	-	-

Note: the sign "X" means that the competency is applicable for the mentioned auditor's level.