WEEELABEX
Guidance Document for Treatment Operators

Title	B05 Guidance Document for Treatment Operators
Status	**Definitive**
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CONTENTS

1. INTRODUCTION

1.1 Purpose of this document

The primary purpose of this document is to provide a **basic guidance to (candidate) WEEELABEX Operators**. The document summarizes the essential steps that shall be followed in order **to be *certified* as a WEEELABEX Operator**. In addition, it describes the WEEELABEX Conformity Verification process and documents, the types of audits and tests that have to be performed, the categories of auditors, the types of non-conformances, the fail/pass criteria and other important information.

1.2 Other sources of information

Detailed information about the Conformity Verification process can be found in the document ***B04 Guidance document*** which is available on the WEEELABEX website.

The **WEEELABEX Organisation also runs training courses for operators** to provide a more **detailed insight into the Conformity Verification** process and **an explanation of the WEEELABEX requirements**. More details and dates are available on the WEEELABEX website www.weeelabex.org.

1.3 Contact details

All questions related to Conformity Verification can be sent directly to WEEELABEX Organisation:

WEEELABEX Organisation
Address:
U Habrovky 247/11
140 00 Prague
Czech Republic
Responsible person:
Petr Novotny (Managing Director)
office@weeelabex.org
WEEELABEX website:
http://www.weeelabex.org

2. WEEELABEX CONFORMITY VERIFICATION PROCESS

2.1 Conformity Verification – Introduction

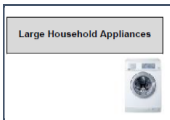
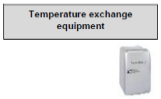
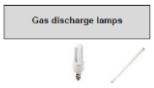
The WEEELABEX Conformity Verification (CV) is a process that consists of several steps. The CV process starts with the interest of an Operator and ends with "***certification***" the Operator as a 'WEEELABEX operator'. In detail:

- WEEELABEX CV is a procedure whereby WEEE treatment processes are audited by ***certified*** '**WEEELABEX Auditors'**. The auditors use the WEEELABEX audit process and reporting tools and provide fully documented and objective evidence that the audited processes conform to the WEEELABEX requirements.
- The treatment operators who have undergone a successful WEEELABEX CV for the process or processes performed at their facility are referred to as '**WEEELABEX Operators**'. Only those processes of the WEEELABEX Operators, which have been confirmed as compliant to the CV procedures, will be acknowledged and **listed on the WEEELABEX website**.
- The audit can be **commissioned either by an operator or by a WEEELABEX System**. The final listing of the operator as WEEELABEX Operator will include this information. The listing will also mention the name of the WEEELABEX Lead Auditor who conducted the audit.

More detailed information about the CV process can be found in the document ***B04 Guidance document***, which is available on the WEEELABEX website.

2.2 Conformity Verification – Eligibility of Treatment Operators

WEEELABEX Audits will be performed against **seven treatment processes** criteria ("**streams**") enabling treatment operators to become approved **for one or more process streams** depending on the type of treatment activity they perform:

	**Large appliances** (WEEE Categories 1 & 10; excluding temperature exchange equipment)
	**Mixed equipment** (WEEE categories 2; 3; 4; 5; 6; 7 and 9 but excluding display equipment) - small household appliances, consumer appliances, ICT equipment; lighting (excluding gas discharge lamps); tools, toys, sports equipment and measuring & monitoring equipment; and also category 1 equipment associated with collections of mixed appliances - e.g. microwave ovens, hotplates, extraction and ventilation hoods/systems, electric fans
	**Temperature exchange equipment** (WEEE Category 1 - fridges; freezers; air-conditioning units, heat exchange tumble dryers etc.)
	**CRT display appliances** (WEEE categories 3 & 4) and cathode ray tubes
	**Flat panel display equipment** (WEEE categories 3 & 4) - e.g. liquid crystal displays (LCD) televisions and monitors and screens containing cold cathode fluorescent lamps, LEDs, LCDs, plasma screens
	**Gas discharge lamps** (WEEE Category 5)
Other	**Other** (other process streams or variations which appear to fall outside of these shall be discussed with the WEEELABEX Office at the time of application; the WEEELABEX Office may refer the matter to the Governing Council for a decision)

Each process stream will be determined by the **type of treatment** carried out:

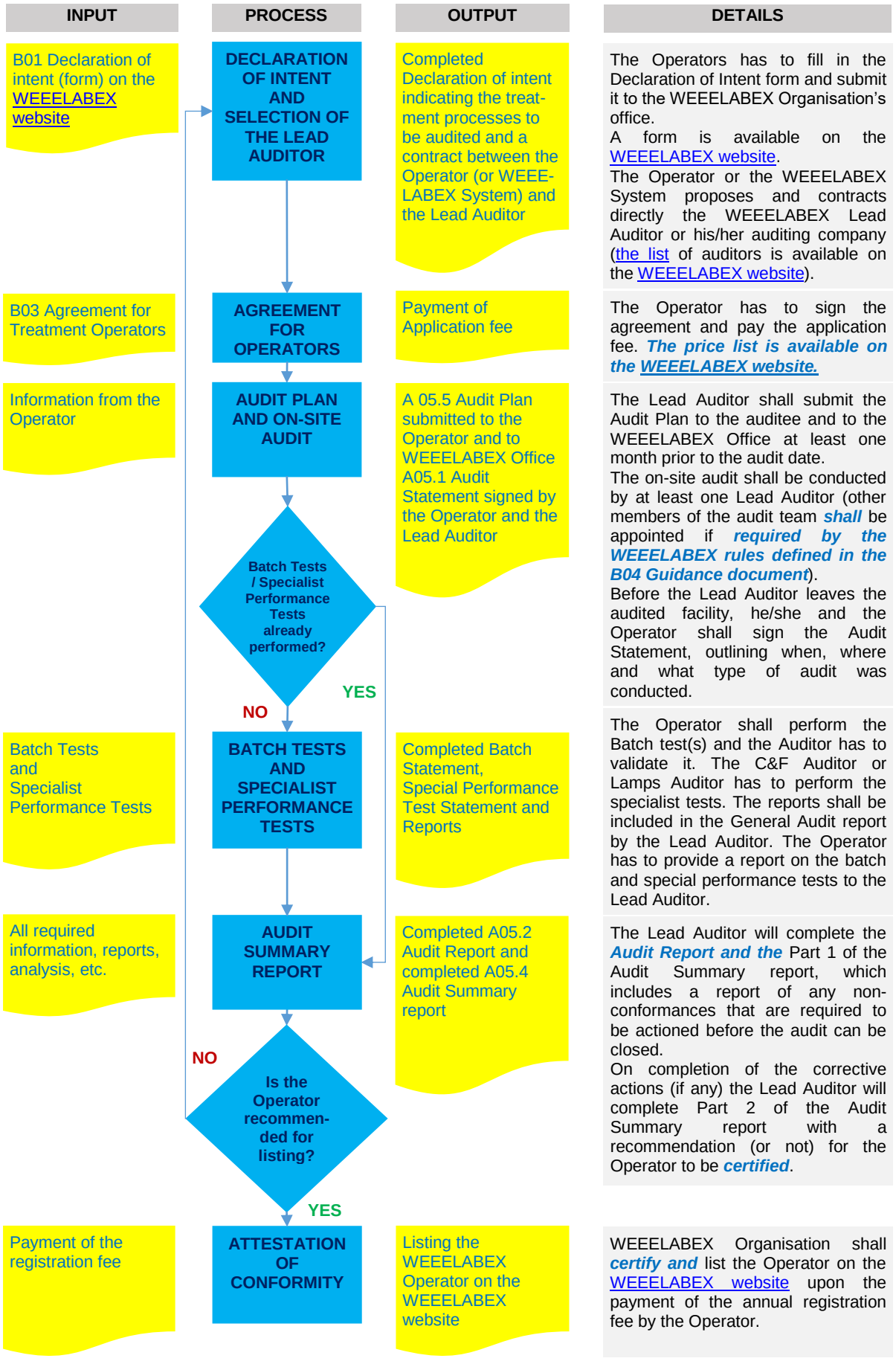
- **Type 1:** Manual dismantling, including all or some depollution.
- **Type 2:** Mechanical treatment (pre-treatment and intermediate treatment***, or specific manual treatment***), including some or all depollution (where indicated).
- **Type 3:** Advanced mechanical treatment, including some or all depollution (where indicated).
- **Type 4:** End-processing (pure fractions), or incineration / energy from waste facilities.

***O*nly operators performing type 1 and type 2** treatments (either singularly or together at the same site) **may apply for WEEELABEX Conformity Verification**. **Type 1** Operators **will only be considered for listing** if the **subsequent treatment partner(s) is either:**

- a ***certified*** WEEELABEX Operator; or
- compliant with the requirements defined in the document B02 Eligibility of Treatment Operators, clause 2.4.

A more detailed description of the activities performed by the above treatment types and exceptions may be found in the **B02 Eligibility for Operators** document, including Annex I, Annex II and Annex III, which is available on the WEEELABEX website.

2.3 Conformity Verification – Process flow chart



2.4 Conformity Verification – Documents

There are several **WEEELABEX documents and reports** that are essential for the Conformity Verification (CV) process. Without these documents, the CV cannot be completed. Some of (but not all) the documents and reports are described below.

2.4.1 Declaration of Intent

The declaration of intent is the **first document** that has to be completed by the Operator and submitted to the WEEELABEX Organisations' office. It shall be submitted by an online tool available on the WEEELABEX website.

It is the application form, which **starts the CV process,** and includes **general information about the Operator**. The Operator should indicate **the streams he wishes to be the subject of the CV and the name of the** proposed **Lead Auditor** (it is the responsibility of the WEEELABEX Organisation to nominate a Lead Auditor for each CV process in accordance with ISO 17065 and with documents of the WEEELABEX certification scheme - Operators). In addition, **permits and/or licences** of the treatment activities at the facility shall be mentioned. The Operator shall also submit a **diagram or chart of the process flow(s) to be audited**. This shall be detailed enough to show the input materials received, the treatment processes (e.g. manual separation; magnetic segregation of ferrous metals; mechanical disassembly; x-ray separation etc.), and the outputs (as they arise during the treatment process).
WEEELABEX general audit, batch test or specialist audit shall not be started by the WEEELABEX Lead Auditor, Auditor or Specialist Auditor at the operator´s site unless "**Acknowledgement**" e-mail from the WEEELABEX Office verifies readiness for Conformity Verification process. This "Acknowledgement" e-mail is being submitted to the Lead Auditor that is nominated by the WEEELABEX Organisation. The nominated Lead Auditor is responsible to ensure that **any audit/test does not start as long as the "Acknowledgement" e-mail from the WEEELABEX Office is not received and confirmed**.

2.4.2 Agreement for Treatment Operator

The Operator is required to sign the **B03 Agreement for Treatment Operators** document (provided by the WEEELABEX Organisation) and pay the application fee (see 2.11). By signing this document the Operator is agreeing to all the terms and conditions of the WEEELABEX Organisation and of the Conformity Verification.

2.4.3 Contracting the WEEELABEX Lead Auditor

The Operator or the WEEELABEX System contracts directly with the WEEELABEX Lead Auditor or his/her auditing company (the list of auditors is available on the WEEELABEX website). All members of the audit team shall be required to sign a confidentially agreement on request of the WEEELABEX Operator and / or WEEELABEX System.

2.4.4 Audit Plan

The **Lead Auditor** shall **agree the date(s) of the audit** with the auditee, and is responsible for completing the **A05.5 Audit Plan** with the details of the facility and the treatment process streams to be audited.

The Lead Auditor shall submit an Audit Plan to the auditee **at least one month prior to the audit** date (unless a different agreement is made). The Operator is required to sign and return a copy to the Lead Auditor within two days of receipt to confirm the date is accepted. The confirmed copy of the Audit Plan shall be submitted to the WEEELABEX Office by the Lead Auditor without undue delay.

2.4.5 Audit Statement

After the on-site Conformity Verification audit**, and before the Lead Auditor leaves** the audited facility, he/she and the Operator shall sign the **A05.1 Audit Statement**, which outlines when, where and what type of audit was conducted and who participated.

2.4.6 Batch Statement

Auditors shall **fill in the A05.7 Batch Statement**, and provide two signed copies to the auditee after the batch test and **before leaving** the operator's premises. The Operator shall also sign the document, showing acceptance of the data gathered during the performance of the batch. Both parties will retain one copy of this document.

2.4.7 Batch Report / Specialist Performance Test Report

The Auditor verifying the batch test and the C&F Auditor or Lamps Auditor performing the specialist tests **will complete the relevant audit reports**. These will include the **results of the tests**, including all external laboratory analysis performed. The results of the tests **will be included in the general Audit** Report by the Lead Auditor.

2.4.8 Audit Report

The **A05.2 Audit Report** (checklist) is designed to allow the verification of the Operator based on the treatment process streams forming the scope of the audit. There are **general requirements**, as well as **specific requirements**, and for this reason, the Audit Report is composed of two different types of questions:

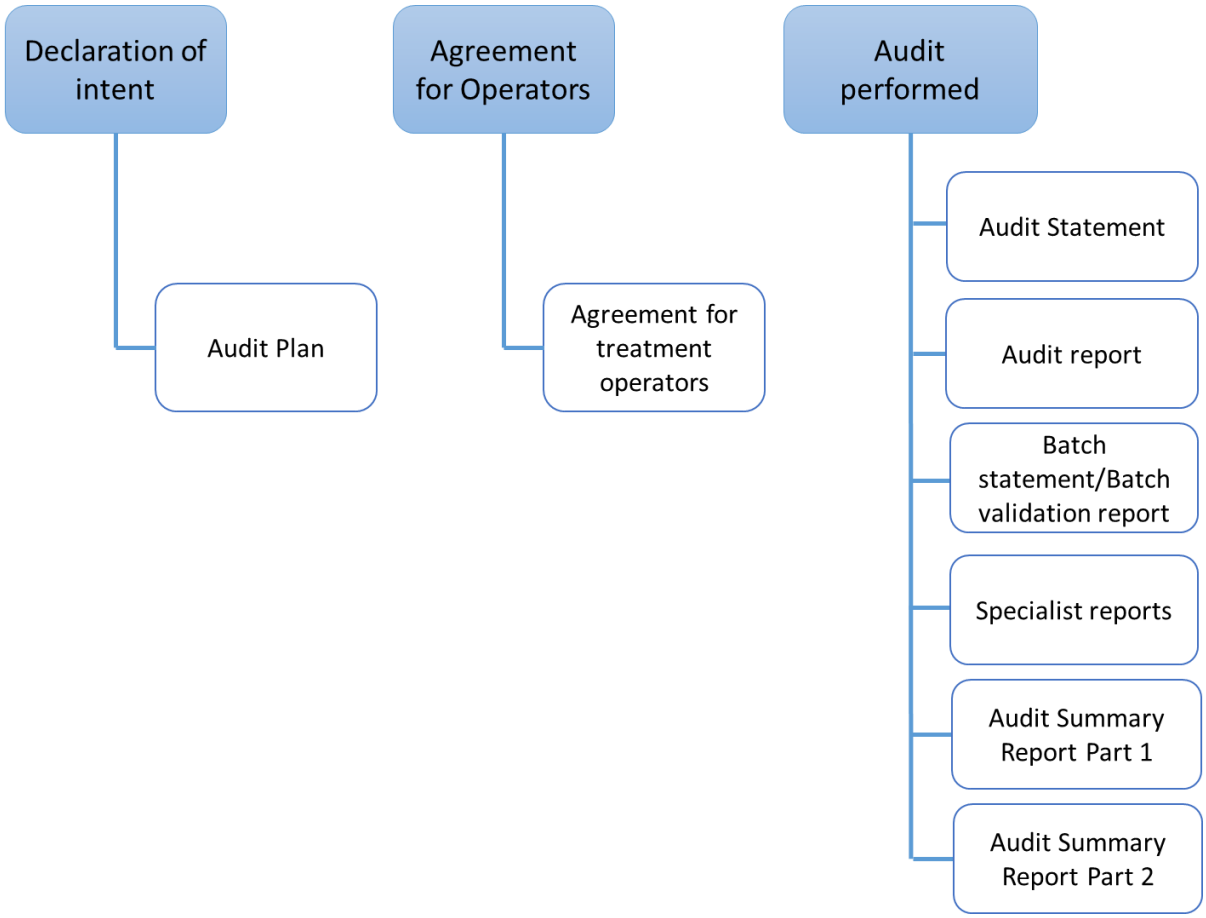
- **general questions**: one question, and one answer, common for all streams and activities;
- **specific questions**: one question, and one answer, specific for every (or some) specific streams.

2.4.9 Audit Summary report

The Lead Auditor will complete the **Part 1** of the Audit Summary report, which will include details **of any non-conformances** that are **required to be actioned** before the audit can be closed (within a **maximum of a three months period** following receipt of the Audit Summary, when the Operator can take corrective actions).

On completion of the corrective actions (if any), the Lead Auditor will complete **Part 2** of the Audit Summary report **with a recommendation (or not)** for the Operator **to be *certified***. The Lead Auditor shall release the Part 2 of the Audit Summary report **not later than one month after receiving all of the information required**.

2.4.10 Summary of audit process documents



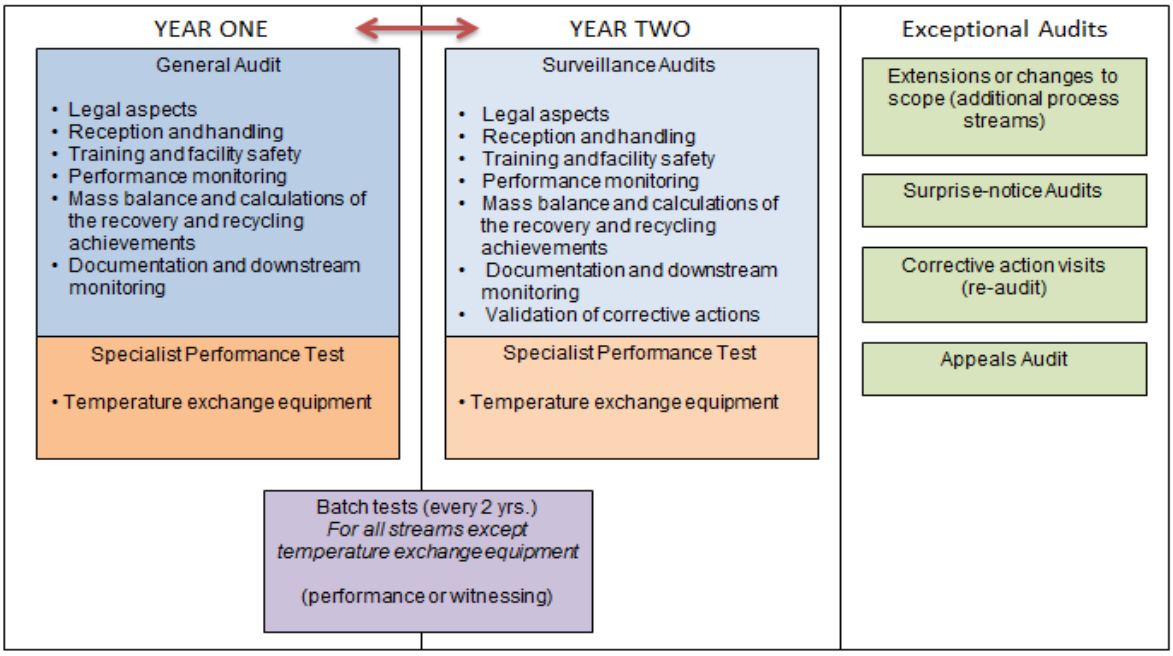
2.4.11 Circulation of audit process documents

The WEEELABEX Lead auditor shall provide a copy of the Batch and Specialist Performance Test ***statements and*** reports; the ***Audit statement;*** Audit Report; and Audit Summary report (parts 1 & 2) to the WEEELABEX Operator, to the WEEELABEX System(s) in the case when the latter commissioned and paid for the audit, and to the WEEELABEX Organisation. The Audit Summary report (parts 1 & 2) shall be completed in English language. The audit Summary report (parts 1 & 2) shall be available to all WEEELABEX Systems on request to the WEEELABEX Organisation.

2.5 Conformity Verification – Categories of Audits and Tests

There are several categories of Audits and Tests within the WEEELABEX CV process. Some have to be performed **each year**, while others have to be performed **every two years.** Additional exceptional audits may also need to be performed.

Audit Categories and timing:



2.5.1 General Audit (performed in year one of the audit cycle)

The General Audit is the **formal and primary evaluation of the implementation and effectiveness** of the Operator's system to achieve and maintain **conformity of the process with the WEEELABEX requirements**. The General Audit must be conducted **by at least one Lead Auditor** (other members of the audit team ***shall*** be appointed if ***required by the WEEELABEX rules defined in the B04 Guidance document***). Either the WEEELABEX Lead Auditor or Auditor (if part of the audit team) must have sufficient knowledge of the local language, besides English.

2.5.2 Surveillance Audit (performed in year two of the audit cycle)

The Surveillance Audit shall be performed by a WEEELABEX **Lead Auditor** within the **next calendar year** of the listing of the WEEELABEX Operator (but not until six months from the listing and not exceeding six months following the yearly anniversary of the listing). It aims to check that any non-conformances raised at the General Audit are actioned effectively and to check that the legal requirements of the permit are being met and to determine whether the WEEELABEX Operator **continues to meet the WEEELABEX requirements**.

In case there is a different Lead Auditor for the General audit and a different Lead Auditor for Surveillance audit, both lead auditors shall be stated on the attestation of conformity document (certificate) of the audited treatment operator.

During the Surveillance Audit, a WEEELABEX Lead Auditor shall follow the same reporting procedure as for the General Audit.

2.5.3 Specialist Performance Test (for temperature exchange equipment)

For the CV of a Temperature exchange equipment (CFA) treatment process, a performance test must be performed **annually** by a **specialist WEEELABEX C&F Auditor** (with other members of an audit team if appropriate).
The Specialist Performance Test shall follow the requirements of **EN 50574-1:2012 and CLC/TS 50574-2:2014**.

The Specialist Performance Test has to be performed before the General Audit can be closed. This shall be **within six months following the General or Surveillance Audit**, but **may be done one year prior to the General / Surveillance Audit**.

2.5.4 Batch Test (other treatment process streams)

Batch tests have to be performed for **all the treatment streams** that are the subject of the CV process, **at least every two years**.

A special Audit/Batch Test **for gas discharge lamps** shall be performed / verified by a WEEELABEX **Lamps Auditor**.

Batch tests may also be required for the treatment of **non-pure fractions of WEEE** (as a result of being >20% of the input stream).

A Batch Test has to be performed **before the General Audit can be closed**. This shall be **within six months following** the General Audit, but may be done within the ***one*** **years prior** to the General Audit. ***Only a Batch Test performed and validated within the WEEELABEX Conformity process shall be accepted.***

The Batch Test shall follow the WEEELABEX requirements, and may be performed by a WEEELABEX Auditor (being a Lead Auditor or Auditor); or by the (candidate) WEEELABEX Operator or his/her appointed contractor, when it shall be validated (observed) by a WEEELABEX Auditor. A Batch Test is only valid if performed or witnessed by a WEEELABEX Auditor. Validation shall **comprise a visual check during the batch, a visual check of all input and output fractions, verification of the documentation, and assessment of compliance with the WEEELABEX requirements.**

The **minimal volume of** input material, which must be treated during a Batch Test is described in the **WEEELABEX requirements.**

When required by the WEEELABEX requirements, **samples** of the output materials shall **be taken** and sent to an independent laboratory (or manually analysed where appropriate) for assessment against the limit values set down in the ***published EN 50625 series technical specifications or in the*** document **A10 Documentation to measure de-pollution performances** (available on the WEEELABEX website). ***Those*** document***s*** contain also target and limit values and methods for sampling and for manual and ***laboratory*** analysis.

2.5.5 Exceptional Audits

Exceptional Audits are audits that fall outside of the General or Surveillance Audit cycle, or Batch or Specialist Performance Tests. They are required **when there are changes in the process, or scope, or for the review of corrective actions**.

2.5.6 Surprise-notice audits

The WEEELABEX Organisation or a WEEELABEX System may exercise its right to request access for additional audits **to assess the WEEELABEX Operator's processes. Surprise-notice audits are planned such that they are targeted to specific areas of the WEEELABEX Operator's activity.**

The WEEELABEX Lead Auditor is not required to give any notice of a surprise-notice audit or to provide a plan of the surprise audit to the WEEELABEX Operator. The WEEELABEX Operator is required to admit the WEEELABEX Auditor (who shall announce himself on arrival) and to facilitate the reasonable requirements requested by the WEEELABEX Lead Auditor.

2.5.7 Appeals Audit

The WEEELABEX Office may exercise its right to request access for an appeals audit **in response to an appeal** being lodged by either a WEEELABEX System or the Operator, **against the outcome of an audit process**.

2.6 Conformity Verification – Categories of Auditors

There are **several categories** of WEEELABEX Auditors:

- WEEELABEX **Lead Auditor:** General and Surveillance audits **must be conducted** by at least one **Lead Auditor** (other members of the audit team ***shall*** be appointed if determined by the Lead Auditor ***as required by the WEEELABEX rules defined in the B04 Guidance document***, e.g. other WEEELABEX Auditors, technical experts or translators/interpreters).
- WEEELABEX **Specialist Lead Auditor:** Specialist performance tests **must be conducted** by at least one WEEELABEX **Specialist Lead Auditor** (other members of the audit team can be appointed if determined by the Lead Auditor, e.g. other WEEELABEX Auditors, technical experts or translators/interpreters).
- WEEELABEX **Auditor:** Batch tests must be **performed or validated** by at least one WEEELABEX **Auditor,** being either a Lead Auditor or Auditor (other members of the audit team can be appointed if appropriate).

The updated lists of ***certified*** WEEELABEX Auditors are available on the WEEELABEX webpage.

2.7 Conformity Verification – Audits / Tests duration

The audit duration will depend on the type of treatment process stream(s) and the volume of WEEE being processed at the audit site ***and is calculated per the WEEELABEX rules defined in the B04 Guidance document***.

2.8 Conformity Verification – Priorities of the questions

A **specific priority** is assigned to each question that shall be answered during the audit process:

- **Priority 1**: the question is **critical** and, to be ***certified*** (recommended for ***certification***, or continued ***certification***), the Operator **has to comply** with the related requirement;
- **Priority 2**: the question is considered not as significant as Priority 1 but is still an **essential part** of the Conformity Verification where improvements can be made. Each Priority 2 question has a **specific weight.**

2.9 Conformity Verification – Pass / Fail criteria

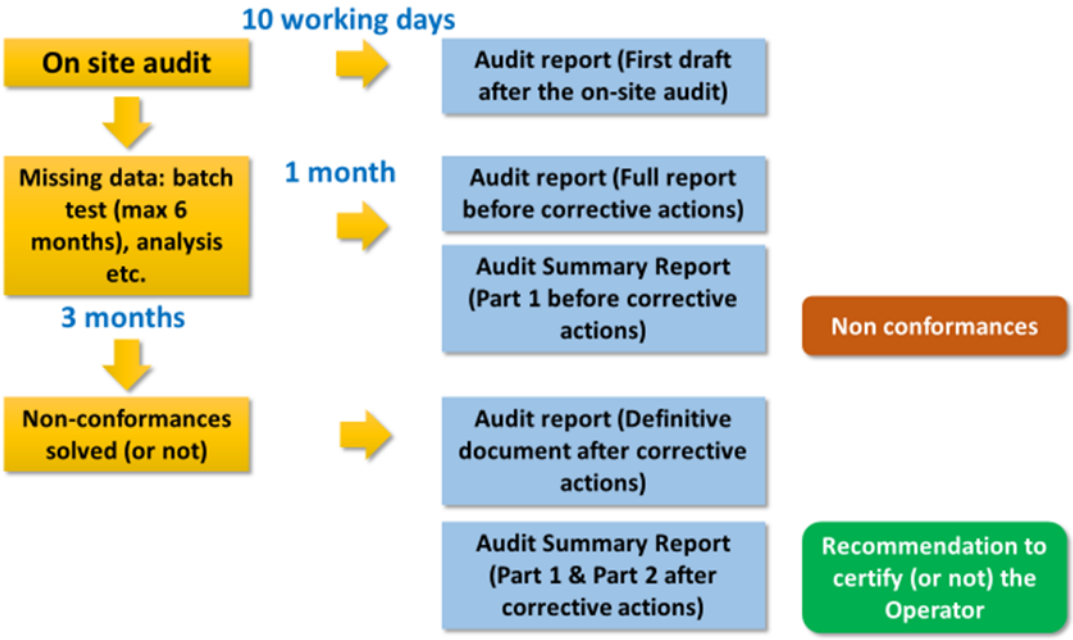
The Lead Auditor should recommend ***certification*** the Operator only when:

- Corrective actions for **Priority 1** questions **have been efficiently concluded** and a defined **minimum score is reached for Priority 2** questions.
- If **the same Priority 1 non-conformance** is found in the first subsequent Audit after the first occurrence of the non-conformance (indicating that the corrective action was not effective) then the (Candidate) WEEELABEX Operator shall submit to the Lead auditor a new detailed corrective action plan within the deadline defined. The **corrective action plan shall identify the root cause and shall define an appropriate corrective action to eliminate the cause** of the nonconformity in order to prevent recurrence (the corrective actions shall be appropriate to the impact of the problems encountered). The Lead auditor shall review the corrective action plan and the results/records/other evidence of actions taken in order to review and confirm (or not) the effectiveness of corrective action implemented. **Without the confirmation of the corrective action effectiveness, the recommendation to list or continued listing the (Candidate) WEEELABEX Operator shall not be given** by the WEEELABEX Lead Auditor. If the same Priority 1 non-conformance is found **again in the next subsequent Audit** (indicating that the corrective action was still not effective), **recommendation to de-list the WEEELABEX Operator shall be given** by the WEEELABEX Lead Auditor.

All non-conformances (related to **Priority 1** questions) identified during the General or Surveillance Audit or any Exceptional Audit shall have a **maximum of three months** period where the Operator **can take corrective actions**.
All non-conformances (related to **Priority 2** questions) identified during the General or Surveillance Audit or any Exceptional Audit shall have a **maximum of three months** period where the Operator can solve **enough non-conformances in order to reach a defined minimum score**.

2.10 Conformity Verification – Timing

The figure below summarizes the maximum **timing of the Conformity Verification** process.



2.11 Conformity Verification – Cost

The service fees of WEEELABEX Auditor(s) and the Audit team for conducting the general and surveillance audits, specialist performance tests and batch tests and laboratory fees **are not determined** by the WEEELABEX Organisation. The service fees should be **agreed in a separate contract** or agreement between the Operator or the WEEELABEX Member System and the Auditor or his/her auditing company and is subject to free market competition.

The service fees are paid by:

- **the WEEELABEX Member System ordering a WEEELABEX CV; or**
- **the Operator if initiating the WEEELABEX CV**

The table below states the current WEEELABEX Organisation **fees:**

	Year 1	Year 2
Application fee (on a one-time basis)	**300 € per each Treatment stream**	**-**
General and Surveillance audits; Specialist Performance Tests; Batch Tests	**Cost depends on the agreement with the auditor or his/her auditing company (free market competition)**	
Annual registration fee	**500 € per each Treatment stream**	**500 € per each Treatment stream**

3. LISTING, DE-LISTING AND APPEAL PROCESS

3.1 Attestation of conformity (certification/listing)

The WEEELABEX Organisation records the **outcome of each WEEELABEX CV** and will either:

a) **grant the certification of conformity document (certificate)** and list the WEEELABEX Operator for the audited treatment processes at the WEEELABEX webpage; or
b) **decline the certification of conformity (certification)** and not list the (or de-list) candidate operator.

Before listing the WEEELABEX Operator, the WEEELABEX Office shall review the Audit Summary report and shall review if all the requirements related to the Conformity Verification process are met within 30 working days from the date of receipt of the Audit Summary report.

Certification of conformity is issued:

- Following the **completion of all the necessary steps** in the WEEELABEX CV process (general audit; specialist performance tests and relevant batch tests);
- Following **payment of the registration fee**.

3.2 Cancellation and de-listing

The WEEELABEX Organisation may de-list the Operator in specific situations that are described in detail in the document **B03 Agreement for Treatment Operators.**

3.3 Appeal process

An appeal can be **initiated either by a WEEELABEX Member System or the Operator against a Conformity Verification** or listing / de-listing decision which negatively affects them.

An appeal must be received by the WEEELABEX Organisation **within 15 days of receipt of the decision** to list or not list or de-list the facility or treatment process stream.