

Title	A02 Auditors Profile
Status	Definitive
Revision / Date	DEFREV 11 version 1 / 4th August 2020

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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 **WEEE** 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 **for treatment and preparation for re-use operators**, and to validate **related** batch tests.
 - **WEEELABEX Auditors are entitled to perform conformity verification audits for collection and logistics operators (hereinafter also as "Collection and Logistics audits") and prepare the final Audit report and the Summary report (Part 1 & 2).**
 - **WEEELABEX Auditors must have passed a specialized qualification workshop on Collection and Logistics to be allowed to perform Collection and Logistics audits.**

- **WEEELABEX Auditors must have performed at least one audit at a treatment facility in order to be eligible to perform Collection and Logistics audits, alternatively, WEEELABEX Auditors must perform the first WEEELABEX Collection and Logistics Audits as part of a team lead by a WEEELABEX Lead Auditor.**
- The WEEELABEX Auditor must perform at least one WEEELABEX Audit in two consecutive years to remain certified.

WEEELABEX Lead Auditor

- A person who is a 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 **for treatment and preparation for re-use and for collection and logistics operators** and validate batch tests and prepare the final Audit report and the Summary report (Part 1 & 2).
 - **WEEELABEX Lead Auditors must have passed a specialized WEEELABEX qualification workshop on Preparation for Re-use requirements to be allowed to perform Preparation for Re-use audits.**
 - **WEEELABEX Lead Auditors must have passed a specialized WEEELABEX qualification workshop on Collection and Logistics requirements to be allowed to perform Collection and Logistics audits.**
 - 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

¹ CFA¹ means 'cooling and freezing appliances'.

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 specialist auditor
 - A person who is a WEEELABEX Auditor who has either:
 - participated in at least six WEEELABEX TEE2 audits (including the TEE performance tests) as an audit team member listed in all General/Surveillance audit reports and all Temperature Exchange Equipment Specialist Audit Reports, or
 - proven auditing experience of at least six TEE audits based on EN 50625-2-3 and CLC/TS 50625-3-4 (including the TEE performance tests) in last three consecutive years, and has a minimum of three years working experience in the TEE sector, and has successfully passed the Fast Track CFA specialist auditor qualification process as defined in the document C 05b Fast Track CFA specialist auditor qualification process, including one completed WEEELABEX TEE audit (including the TEE performance tests) performed as a trainee CFA specialist auditor under the supervision of a WEEELABEX Assessor.
 - They are entitled to perform a TEE performance test (as set down in EN 50625-2-3 and CLC/TS 50625-3-4) and validate the TEE batch test.
- WEEELABEX Lamps specialist auditor
 - A person who is an Auditor who has participated in at least three WEEELABEX Lamps audits, or
 - A person who is a Lead auditor and CFA specialist auditor (such auditors are supposed to have sufficient experience and abilities to carry out the Lamps audits especially considering their extensive experience with requirements related to legal compliance, risk assessment, storage and handling, sampling, analysis, and de-pollution monitoring).
 - 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 *and preparation for re-use technologies and collection and logistics process* and with EU and particular

² TEE² means 'temperature exchange equipment'.

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 standards (including respective WEEE related EN 50625 series standards **and EN 50614 preparation for re-use standard**) 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 impartiality³ 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 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 **or preparation for re-use** 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.

³ **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.

- 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:

Required competencies - ability to apply knowledge and skills to achieve intended results	Lead Auditor	Auditor	Specialist Auditor - CFA auditor	Specialist Auditor - Lamps auditor
GENERAL AND SURVEILLANCE AUDIT – ALL WEEE TREATMENT <i>OR PREPARATION FOR RE-USE</i> STREAMS				
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). - 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.	X	-	-	-
Ability to compile and issue a comprehensive Audit plan for General/ Surveillance audit according to the following information: - review the Declaration of Intent; - review any previous audit findings; - review any audit reports issued previously; - calculation of on-site audit duration in compliance with Annex 1 of the document B04.	X	-	-	-
Ability to form the Audit team according to the following information: - identification of audited WEEE streams based on review or a Declaration of Intent; - identification the need for participation of specialist auditors, technical experts, or interpreters; - identification of knowledge and skills of audit team members.	X	-	-	-
Ability to lead the on-site General/Surveillance audit: - 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 audit, ensuring that all stages of the audit are planned and carried out.	X	-	-	-
Ability to perform the on-site General/ Surveillance audit: - 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 WEEELABEX requirements including the EN 50625 series standards <i>and EN 50614 standard</i> ; - deep knowledge of the document A04 <i>TR</i> Auditor manual, including the audit questionnaire, classification of non-conformities and other aspects of the auditing process; - knowledge of technical and legal aspects of the WEEE treatment <i>and/or preparation for re-use</i> process, or delegate this task to a member of the audit team with recognised skills; - understanding and evaluation of compliance of all the treatment <i>and/or preparation for re-use</i> processes, covering but not limited to the following topics: o General and legal compliance and document management; o Documents and downstream monitoring;	X	X	-	-

<ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> - 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 TR 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 TR Audit manual; - knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04 TR 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 TR 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 – TEMPERATURE EXCHANGE EQUIPMENT (<i>TEE</i> performance test)				
<p>Ability to compile and issue a comprehensive Audit plan for TEE performance test according to the following information:</p> <ul style="list-style-type: none"> - good understanding of the treatment and/or preparation for re-use process; - review any previous audit reports (if available); - deep knowledge of the EN 50625 series standards, EN 50625-2-3 and CLC/TS 50625-3-4; and EN 50614 standard); - knowledge of the minimum amount of WEEE that shall be treated during the TEE performance test according to the standard EN 50625-2-3 and CLC/TS 50625-3-4. 	-	-	X	-
<p>Ability to form the Audit team according to the following information:</p> <ul style="list-style-type: none"> - identification of 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 TEE performance test:</p> <ul style="list-style-type: none"> - 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 test, ensuring that all stages of the test are planned and carried out. 	-	-	X	-
<p>Ability to perform the on-site TEE performance test:</p> <ul style="list-style-type: none"> - communication and auditing skills; - good command of English (written and oral); 	-	-	X	-

<ul style="list-style-type: none"> - good command of the local language of the Auditee (at least one of the audit team); - deep knowledge of the EN 50625 series standards, EN 50625-2-3 and CLC/TS 50625-3-4; - 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, covering but not limited to the following topics: <ul style="list-style-type: none"> - Step 1 depollution and treatment process; - Step 2 depollution and treatment process; - Depollution monitoring and reporting requirements and procedure. - knowledge of depollution process, depollution benchmarks, depollution limit values and targets values defined in the EN 50625 series standards, EN 50625-2-3 and CLC/TS 50625-3-4; - skills and knowledge of sampling methods and procedures and manual/handpicking analysis methods and procedures as defined in the EN 50625 series standards, EN 50625-2-3 and CLC/TS 50625-3-4; - 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. 				
<p>Ability to create and issue the Audit reports from the TEE performance test:</p> <ul style="list-style-type: none"> - 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); - 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 EN 50625-2-3 and CLC/TS 50625-3-4; - knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04 TR 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 TR Auditor manual; - knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document. 	-	-	X	-
SPECIALIST AUDIT – GAS DISCHARGE LAMPS (LAMPS)				
<p>Ability to compile and issue a comprehensive Audit plan for LAMPS specialist audit according to the following information:</p> <ul style="list-style-type: none"> - review the Declaration of Intent; - good understanding of the treatment and/or preparation for re-use process; - review any previous audit reports (if available); - deep knowledge of the EN 50625 series standards, EN 50625-2-1 and CLC/TS 50625-3-2; and EN 50614 standard); - review any previous audit reports (if available); - deep knowledge of the WEEELABEX requirements. 	-	-	-	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 LAMPS specialist audit: leadership and communication skills; good command of English (written and oral); knowledge of the Conformity Verification process, documents, and circulation of documents;</p> <ul style="list-style-type: none"> - supervising the audit team carrying out the on-site test, ensuring that all stages of the test are planned and carried out. 	-	-	-	X
<p>Ability to perform the on-site LAMPS specialist audit:</p> <ul style="list-style-type: none"> - 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 and/or preparation for re-use process, or delegate this task to a member of the audit team with recognised skills; - understanding and evaluation of compliance of the treatment and/or preparation for re-use 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 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 the required chemical analysis and how to interpret the results. 	-	-	-	X
<p>Ability to create and issue the Audit reports from the LAMPS specialist audit:</p> <ul style="list-style-type: none"> - deep knowledge of the reporting tools and templates; - 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; - knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04 TR 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 TR Auditor manual; - knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document. 	-	-	-	X
BATCH TEST – ALL WEEE TREATMENT PROCESS STREAMS				
<p>Ability to compile and issue a comprehensive Audit plan for batch test according to the following information:</p> <ul style="list-style-type: none"> - 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	-	-
<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	X	-	-
<p>Ability to lead the on-site batch test:</p> <ul style="list-style-type: none"> - leadership and communication skills; - good command of English (written and oral); 	X	X	-	-

<ul style="list-style-type: none"> - 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. 				
<p>Ability to perform the on-site batch test:</p> <ul style="list-style-type: none"> - 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	-	-
<p>Ability to create and issue the batch test reports:</p> <ul style="list-style-type: none"> - 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	-	-
GENERAL AND SURVEILLANCE AUDIT – ALL WEEE COLLECTION AND LOGISTICS STREAMS				
<p>Ability to lead the on-site General/Surveillance audit:</p> <ul style="list-style-type: none"> - leadership and communication skills; - good command of English (written and oral); - knowledge of the Conformity Verification process, documents, and circulation of documents 	X	X	-	-
<p>Ability to perform the on-site General/ Surveillance audit:</p> <ul style="list-style-type: none"> - 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 WEEELABEX requirements including the CLC/TS 50625 -4 standard; - deep knowledge of the document A04CL Auditor manual, including the audit questionnaire, classification of non-conformities and other aspects of the auditing process; - knowledge of technical and legal aspects of the WEEE collection and logistics process, or delegate this task to a member of the audit team with recognised skills; - understanding and evaluation of compliance of all the collections and logistics 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; 	X	X	-	-

<ul style="list-style-type: none"> ○ <i>Transport</i> ○ <i>Training, facility safety and emergency planning;</i> ○ <i>Preparation for reuse;</i> - <i>knowledge of how to identify non-conformities and recommendations for improvement in compliance with the document A04CL Auditor manual</i> 				
<p><i>Ability to create and issue the Audit reports from the General/Surveillance audit:</i></p> <ul style="list-style-type: none"> - <i>deep knowledge of the reporting tools and templates (A05.0aCL Integrated Auditing 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 WEEELABEX requirements and how to answer the questions defined in the Audit questionnaire according to the rules defined in the document A04CL Auditor manual;</i> - <i>knowledge of how to define and describe non-conformities and recommendations for improvement in compliance with the document A04CL 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 A04CL Auditor manual;</i> - <i>deep knowledge of what are the conditions to issue a recommendation for the certification (or not) to the Certification body;</i> - <i>knowledge of the Conformity Verification process, documents, and circulation of reports based on the document B04 WEEELABEX Guidance Document.</i> 	X	X	-	-

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