



WEEELABEX

Guidance Document



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1. Introduction

The primary purpose of this Scope and System document is to describe the management and administration procedure the WEEELABEX Organisation will follow, and the processes and requirements the WEEELABEX Auditors must apply and adhere to in order to provide conformity verification to treatment, **and/or preparation for re-use, and/or collection, and/or logistics** operators wishing to be listed as WEEELABEX **certified** Operators.

The content of this document also serves to inform operators¹ of the processes and requirements involved in the conformity verification process against the requirements of the WEEELABEX Conformity Verification documents as defined below (hereinafter “WEEELABEX requirements”).

1.1 References

Conformity verification process (**hereinafter also as “certification process”**) for each specific WEEE stream is based on conformity to the following requirements:

No.	WEEE stream:	Certification scheme:	Specification of the conformity verification requirements:
A	Large appliances *	WEEELABEX Certification scheme - Operators EUro B2101 **	<u>TREATMENT:</u> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <u>PREPARATION FOR RE-USE:</u> - EN 50614:2020 <u>COLLECTION AND LOGISTICS:</u> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)
B	Mixed equipment *	WEEELABEX Certification scheme - Operators EUro B2101 **	<u>TREATMENT:</u> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <u>PREPARATION FOR RE-USE:</u> - EN 50614:2020 <u>COLLECTION AND LOGISTICS:</u> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)

¹ **Through-out this document and other WEEELABEX documents, the term “operator” means either “treatment operator”, or “preparation for re-use operator”, or collection operator”, or “logistics operator” or a combination of the noted types.**

C	Temperature exchange equipment *	WEEELABEX Certification scheme - Operators EUro B2101 **	<p><u>TREATMENT:</u></p> <ul style="list-style-type: none"> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - EN 50625-2-3:2017 - CLC/TS 50625-3-4:2017 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <p><u>PREPARATION FOR RE-USE:</u></p> <ul style="list-style-type: none"> - EN 50614:2020 <p><u>COLLECTION AND LOGISTICS:</u></p> <ul style="list-style-type: none"> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)
D	CRT display appliances *	WEEELABEX Certification scheme - Operators EUro B2101 **	<p><u>TREATMENT:</u></p> <ul style="list-style-type: none"> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - EN 50625-2-2:2015 - CLC/TS 50625-3-3:2017 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <p><u>PREPARATION FOR RE-USE:</u></p> <ul style="list-style-type: none"> - EN 50614:2020 <p><u>COLLECTION AND LOGISTICS:</u></p> <ul style="list-style-type: none"> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)
E	Flat panel display equipment *	WEEELABEX Certification scheme - Operators EUro B2101 **	<p><u>TREATMENT:</u></p> <ul style="list-style-type: none"> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - EN 50625-2-2:2015 - CLC/TS 50625-3-3:2017 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <p><u>PREPARATION FOR RE-USE:</u></p> <ul style="list-style-type: none"> - EN 50614:2020 <p><u>COLLECTION AND LOGISTICS:</u></p> <ul style="list-style-type: none"> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)

F	Gas discharge lamps *	WEEELABEX Certification scheme - Operators EUro B2101 **	<p><u>TREATMENT:</u></p> <ul style="list-style-type: none"> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - EN 50625-2-1:2014 - CLC/TS 50625-3-2:2016 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <p><u>PREPARATION FOR RE-USE:</u></p> <ul style="list-style-type: none"> - EN 50614:2020 <p><u>COLLECTION AND LOGISTICS:</u></p> <ul style="list-style-type: none"> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)
G	Photovoltaic panels *	WEEELABEX Certification scheme - Operators EUro B2101 **	<p><u>TREATMENT:</u></p> <ul style="list-style-type: none"> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - EN 50625-2-4:2017 - CLC/TS 50625-3-5:2017 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <p><u>PREPARATION FOR RE-USE:</u></p> <ul style="list-style-type: none"> - EN 50614:2020 <p><u>COLLECTION AND LOGISTICS:</u></p> <ul style="list-style-type: none"> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)
H	Others *	WEEELABEX Certification scheme - Operators EUro B2101 **	<p><u>TREATMENT:</u></p> <ul style="list-style-type: none"> - EN 50625-1:2014 - CLC/TS 50625-3-1:2015 - WEEELABEX normative document on Treatment V10.0 (articles: 4.1.1; 4.3.5; 4.7.5; 5.9.1; A.2.1) <p><u>PREPARATION FOR RE-USE:</u></p> <ul style="list-style-type: none"> - EN 50614:2020 <p><u>COLLECTION AND LOGISTICS:</u></p> <ul style="list-style-type: none"> - CLC/TS 50625-4:2017 - WEEELABEX normative document on Collection V9.0 (articles: 4.1.1) - WEEELABEX normative document on Logistics V9.0 (articles: 4.1.1, 4.3.5)

* Definitions and descriptions of the WEEE streams are defined in the document “B 02 *TR* Eligibility of Treatment *and Preparation for Re-use* Operators” *and* “B 02 *CL* Eligibility of Collection and Logistics Operators”

** WEEELABEX Certification scheme - Operators EU Ro *B2101* includes the following documents:

- B 02 *TR* Eligibility of Treatment *and Preparation for Re-use* Operators rev. *11*
- *B 02 CL* Eligibility of Collection and Logistics Operators rev. *02*
- B 03 *TR* Agreement for Treatment *and Preparation for Re-use* Operators rev. *05*
- *B 03 CL* Agreement for Collection and Logistics Operators rev. *02*
- B 04 WEEELABEX Guidance Document rev. *12*

Through-out this document and other WEEELABEX documents, the term “operator” means either “treatment operator”, or “preparation for re-use operator”, or collection operator”, or “logistics operator” or a combination of the noted types.

Through-out this document and other WEEELABEX documents, the abbreviation “TR” means “Treatment and Preparation for Re-use”, the abbreviation “CL” means “Collection and Logistics” and the abbreviation “B” covers all the noted above.

The WEEE streams noted above can be individually or collectively included within the scope of an approved WEEELABEX Operator’s Conformity Verification Audit.

Note 1: Through-out this document, a working day is defined as being the working day of the WEEELABEX Office being Monday to Friday – 08.00 -17.00.

Note 2: References to the WEEELABEX requirements or any other document relate to the latest versions.

1.2 How to use this document

This document is based upon the roles of:
The WEEELABEX Organisation;
WEEELABEX Auditors; and
WEEELABEX Operators.

Figure 1 indicates the key roles and responsibilities which are detailed within this document.

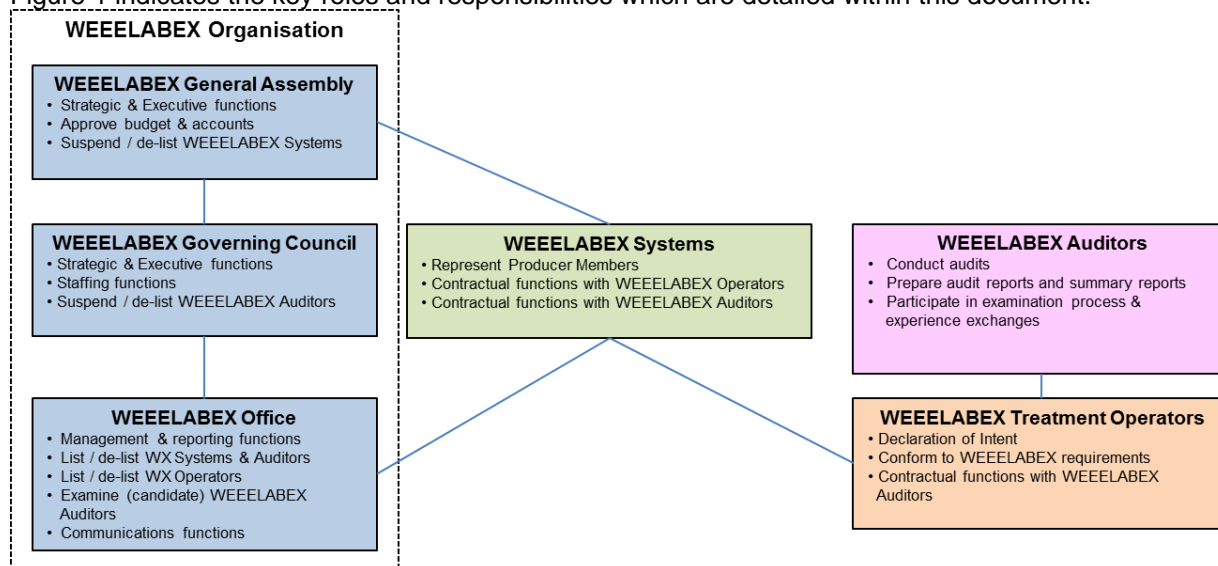


Figure 1 Key roles and responsibilities

This WEEELABEX Guidance document was developed by the WEEELABEX Organisation, who can be contacted at the following address:

U Habrovky 247/11 ,
140 00 Praha 4, Krc,
Czech Republic

2. Approval requirements for WEEELABEX Auditors

2.1 Acceptance Criteria

In order to list suitable candidates as WEEELABEX Auditors, a candidate shall meet the minimum criterion set out in the A02 Auditor Profile document and shall meet all other requirements of this Guidance document.

2.1.1 Level of Auditor

There are three different levels of auditor (as set down in the A02 Auditor Profile document), which reflects the respective auditing experience / skills of the candidate auditor:

- Auditor
- Lead Auditor
- Specialist Auditor

2.1.2 Listing as a certified WEEELABEX Auditor provides WEEELABEX Systems and operators with an acknowledgement that their knowledge, experience and skills have been assessed by the WEEELABEX Office and, that as a consequence, the operators who have undergone a conformity verification process performed by a WEEELABEX Auditor meet with the WEEELABEX requirements.

2.2 Application

A call for expression of interest to become a WEEELABEX auditor will be issued by the WEEELABEX office through:

- A publication on the WEEELABEX website
- WEEELABEX Organization mailing list
- WEEELABEX System's mailing lists

The call will address the type of concerned auditor: general or specialist.

The call has to define:

- The auditor's profile
- Documents which have to be submitted by the candidates, depending on their profile: CV, attestations related to the application (i.e. ISO 9001/14001 auditor), documentation of previous auditing experience...
- the cost, time, duration, and location of the examination workshop
- the time by which the application should be submitted.

The application form will be made available on the WEEELABEX Organisation website in due course.

Candidate auditors are required to complete and submit the A01 Auditor Application Form to the WEEELABEX Office with any supporting documentation. The WEEELABEX Office will evaluate the candidate auditor's ability to meet the criterion set down in the A02 Auditor Profile document, and agree which level of auditor the candidate will be able to apply for, whereupon the candidate will be invited to participate in an examination workshop.

An examination process fee shall be paid by the candidate auditor or their auditing company prior to attendance at the examination centre² and thereafter for any additional examination required proving continuous professional development. Each year the WEEELABEX Office, as directed by the WEEELABEX General Assembly, will produce and publish a fee sheet following a review of the costs of operation.

² Examination workshops will be provided at designated centres within Europe.

2.3 Examination process

The examination workshop will be organized by the WEEELABEX Office and held based on the audit examination workshop concept and curricula and the audit examination workshop documentation developed by the examiners (examination workshop agenda and content are described in document A 06 General qualification examination workshop manual).

2.4 Approval

Approval and listing (hereinafter as “listing” or “certification”) as a WEEELABEX Auditor will be subject to successfully passing the examination and on-going adherence to the requirements set out in the terms and conditions as defined in the document A 03 Auditor Agreement.

Following the examination workshop, and positive outcome of the examination process, the WEEELABEX Office shall send a letter to the candidate provisionally confirming their listing as a WEEELABEX Auditor (and which level), subject to the candidate signing and returning the A03 Auditor Agreement. By signing this Auditor Agreement, the auditor is agreeing to the terms and conditions of the WEEELABEX Organisation, and his status as a WEEELABEX Auditor will be confirmed, allowing use of the WEEELABEX Mark.

The WEEELABEX Organisation will list the candidate auditor as a WEEELABEX Auditor and shall issue an ‘attestation document’ (certificate). Details of the information to be included in the attestation are, at least, the following:

- Date of certification and document number
- Name of the auditor
- Contact details of the auditor
- Scope of certification (lead auditor/auditor/specialist auditor)
- Languages
- Validity period

The attestation document is the property of the WEEELABEX Organisation and shall be returned, upon request to the WEEELABEX Office on cessation of listing for whatever reason.

At the first certification and each subsequent anniversary re-certification, WEEELABEX Auditors are required to pay a registration fee subject to VAT (if applicable) at the prevailing rate in the Czech Republic. The on-going listing of a WEEELABEX Auditor is subject to the receipt of the registration fee each year.

Payment of the registration fee entitles the WEEELABEX Auditor to receive WEEELABEX documentation updates and attend the Experience Day. It also includes the use of the WEEELABEX Mark(s) by the WEEELABEX Auditor during the next 12 months.

2.4.1 Certification period

WEEELABEX Auditor certification continues until the certification expiry date defined on the attestation document (certificate) as long as the terms and conditions in the WEEELABEX A03 Auditor Agreement and the requirements of this document and the A01 Auditor Application document and the A 02 Auditors Profile are met.

2.4.2 Progression of auditor level

The upgrading of a WEEELABEX Auditor’s status to that of Lead Auditor or to that of Specialist Auditor shall require the successful completion of further examination process and / or the additional experience requirements set down in the A02 Auditor Profile document. The process is explained in the A01 Auditor Application Form. The approval shall be confirmed by the WEEELABEX Office as per the terms of Clause 2.4.

2.5 Reporting

WEEELABEX Auditors are required to make reports of their activity to the WEEELABEX Office in accordance with the requirements set down in Section 7.

2.6 Corrective action, suspension, and withdrawal

WEEELABEX Auditors (being Lead Auditors or Auditors) may withdraw or be withdrawn from operating the WEEELABEX conformity verification process for various reasons:

2.6.1 Voluntary withdrawal

WEEELABEX Auditors may withdraw their listing to perform WEEELABEX audits at any time. The WEEELABEX Office shall be notified of this by the WEEELABEX Auditor or their auditing company in writing at least one month prior to the voluntary withdrawal from the listing.

2.6.2 Involuntary withdrawal

The WEEELABEX Governing Council may in certain circumstances withdraw a WEEELABEX Auditor's listing. In such cases, the following procedures (shown in order) will be undertaken:

- requirement for the WEEELABEX Auditor to undertake and prove corrective action;
- suspension of the WEEELABEX Auditor; and
- involuntary withdrawal (de-listing) of the WEEELABEX Auditor.

These actions may be due to factors such as, but not limited to:

- a serious complaint that cannot be resolved;
- a negative result following an appeal;
- a failure to pay fees due;
- a failure to comply with reporting requirements;
- a change in employment that might introduce a conflict of interest not capable of being satisfactorily managed; and
- any case of gross misconduct being proven against the WEEELABEX Auditor.

2.6.3 Suspension

Failure to undertake the required corrective action can result in the WEEELABEX Auditor being suspended from offering his services until a corrective action has been implemented and proved.

A failure to implement corrective action during the suspension period and within 20 working days (or any longer agreed timescale) will result in involuntary de-listing.

2.6.4 Involuntary de-listing

A WEEELABEX Auditor who fails to implement corrective action during suspension will be involuntarily withdrawn from offering his services and will be de-listed by the WEEELABEX Office. He must cease all activity relating to the WEEELABEX conformity verification process, including any audits planned or in the process of being planned.

2.6.5 Corrective action

Corrective action shall be considered as actions which are undertaken to correct any failure in the operation of the conformity verification process.

WEEELABEX Auditors are under a duty to implement corrective actions and to prove the successful closure to the WEEELABEX Office.

A failure to implement corrective action within 20 working days (or any longer agreed timescale) will result in suspension.

Additional details related to the suspension, cancellation and withdrawing of the certification are set down in the document A 03 Auditor Agreement.

2.7 WEEELABEX Operators of suspended or de-listed WEEELABEX Auditors

2.7.1 Suspension

Where a WEEELABEX Lead Auditor is suspended, any audits that have been carried out shall be concluded by the WEEELABEX Lead Auditor. If this is not possible the audit shall be completed by another WEEELABEX Lead Auditor appointed by the client (being the organisation who initiated the audit).

Any new requests for audits or audits in the process of being planned for existing or new clients must be halted until the suspension is lifted.

Where a WEEELABEX Auditor is suspended he shall not be eligible for selection as part of an Audit Team for any new or planned audits until the suspension is lifted.

2.7.2 De-listing

Where a WEEELABEX Lead Auditor is de-listed, either voluntarily or involuntarily, all WEEELABEX Operators who have been audited by this auditor must be informed by him (or his company) within a week of the initial notification of voluntary or involuntary de-listing.

A list of the existing and planned audits and contact details must be sent to the WEEELABEX Office at the same time by this auditor (or his company).

All clients with audits in the process of being planned will need to consult the listing of WEEELABEX Lead Auditors (available on the WEEELABEX website) to make arrangements for the existing and planned audits with an alternative WEEELABEX Lead Auditor.

2.8 Change of Details

WEEELABEX Auditors (being Lead Auditors or Auditors) shall inform the WEEELABEX Office in writing (i.e. letter, fax, or email) within 30 days should any of the following changes or events occur:

- Name;
- Address;
- Auditor's company ownership;
- Employment status; and
- Any other significant change that may affect the operation of the conformity verification process;

2.9 Conditions of continued listing (certification)

Certification as a WEEELABEX Auditor shall subsist until the certification expiry date defined on the attestation document (certificate), subject to:

- a) satisfactory outcome of any on-going professional competency examination requirements; and
- b) payment of the annual Registration Fee, with payment to be received within normal payment terms of an issued invoice; and
- c) application being made and the requirements met for changes to the WEEELABEX Auditor's scope of certification as a result of further examination or participation in the number of WEEELABEX Audits set down in the A02 Auditor Profile document; and
- d) compliance with the terms and conditions set down in the A03 Auditor Agreement, as may be amended from time to time.

In addition, a WEEELABEX Auditor (being a Lead Auditor or Auditor) must perform at least one WEEELABEX Audit in two consecutive years to remain listed.

3. Approval requirements for WEEELABEX Operators

3.1 Acceptance Criteria

A candidate WEEELABEX Operator shall meet the minimum criterion set out in the B02TR Eligibility of Treatment *and Preparation for Re-use* Operators *and/or B02CL Eligibility of Collection and Logistics Operators* documents and shall meet all other requirements of this document and in the terms and conditions set down in the B03TR Agreement for Treatment *and Preparation for Re-use* Operators and/or *B03CL Agreement for Collection and Logistics Operators*.

Listing as an approved WEEELABEX Operator provides WEEELABEX Systems with an acknowledgement that their treatment processes and operations have been undergone a conformity verification process by an approved WEEELABEX Auditor and, that as a consequence, they meet with the WEEELABEX requirements.

3.2 Application

Candidate WEEELABEX Operators are required to complete and submit the B01TR Declaration of Intent Form for Treatment *and Preparation for Re-use* Operators or the *B01CL Declaration of Intent Form for Collection and Logistics Operators* to the WEEELABEX Office. The Conformity Verification process is set out in section 4.

Approval and listing as a WEEELABEX Operator will be subject to meeting with the requirements of the WEEELABEX requirements, and on-going adherence to the requirements set out in the terms and conditions in this Guidance Document and in the B03TR Agreement for Treatment *and Preparation for Re-use* Operators and/or *B03CL Agreement for Collection and Logistics Operators*.

An application fee shall be paid by the operator to the WEEELABEX Office, within 15 working days from the submission date. The fee will be paid *one-time in the single amount as per the price list available on the www.weeelabex.org disregards quantity of the WEEE* streams being the subject of the conformity verification process. The application fee is not charged in case of a consecutive conformity verification process.

3.3 Approval

The WEEELABEX Office shall send a letter to the candidate WEEELABEX Operator provisionally confirming their listing as a WEEELABEX Operator, subject to the operator signing and returning the B03TR Agreement for Treatment *and Preparation for Re-use* Operators and/or *B03CL Agreement for Collection and Logistics Operators* and license fee. By signing this document, the operator is agreeing to all the terms and conditions of the WEEELABEX Organisation and his status as a WEEELABEX Operator will be confirmed, allowing use of the Attestation of Conformity document (which shall be sent with the final confirmation) and the WEEELABEX Mark.

3.3.1 Approval period

For Treatment and Preparation for Re-use operators

The validity of the certification is 24 months from the date of certification. WEEELABEX Operator certification continues for as long as the Operator achieves a positive audit report (after a General or Surveillance Audit) and the terms and conditions set down in the B03TR Agreement for Treatment *and Preparation for Re-use* and the requirements of this Guidance document are met.

For Collection and Logistics Operators

○ For Collection points and Collection facilities:

The validity of the certification is 48 months (four years) from the date of certification. WEEELABEX Operator certification continues for as long as the Operator achieves a positive audit report (after a General or Surveillance Audit) and the terms and conditions set down in the B03CL Agreement for

Collection and Logistics Operators and the requirements of this Guidance document are met.

○ **For Logistics facilities:**

The validity of the certification is 24 months (two years) from the date of certification. WEEELABEX Operator certification continues for as long as the Operator achieves a positive audit report (after a General or Surveillance Audit) and the terms and conditions set down in the B03CL Agreement for Collection and Logistics Operators and the requirements of this Guidance document are met.

3.3.1.1 If a WEEELABEX Operator elects to not seek conformity verification at the end of the two-year audit cycle, then the certification shall expire on certification expiry date defined on the attestation document (certificate); unless de-listed prior to this date.

3.3.2 Registration fees

A registration fee shall be paid by the operator for each of the **WEEE** streams (being the subject of the conformity verification process) prior to listing as a WEEELABEX Operator and annually thereafter. The registration fee will entitle the WEEELABEX Operator to use the WEEELABEX Mark. Each year the WEEELABEX Office, as directed by the WEEELABEX General Assembly, will produce and publish a fee sheet following a review of the costs of operation. The valid fee sheet may be found on the WEEELABEX website or from the WEEELABEX office.

3.4 Change of details – process and consequences of details change

WEEELABEX Operators must declare any changes to its details to the WEEELABEX Lead Auditor who performed the audit during the two years audit cycle and to the WEEELABEX Office, in particular those changes listed in Table 1 in 3.4.1. This is essential as changes might affect the validity of the conformity verification process.

3.4.1 The following consequences shall occur upon the notification of the change of details:

Type of Change	Consequences
Additional location.	Audit of new location.
Relocation.	Audit of new location.
Major change to production plant or process (see 4.4.2.3)	Audit of alterations and any affected processes.
Dissolution of WEEELABEX Operator company.	Listing withdrawn. Re-certification via application and full audit necessary.
Change of company name.	Re-issue of the Attestation of Conformity document (with reference to former name if within that audit cycle).
WEEELABEX System or Auditor aware of undeclared changes in a WEEELABEX Operator's business status	WEEELABEX Auditor to review, potential to recommend suspense or withdraw listing and request a full or partial re-audit.
Removal of permits / licenses to operate	Suspension / withdrawal of listing until such time that the necessary permits / licences are in place and can be verified by the WEEELABEX Auditor.
Different WEEE streams handled	Re-audit of new processes for different WEEE streams.

Table 1 Change of details consequences

3.4.2 Other changes

Alterations that do not fall within these definitions shall be referred to the WEEELABEX Office. If necessary, the WEEELABEX Office shall refer the alteration to the WEEELABEX Governing Council, e.g. if there is a technical issue involved. The WEEELABEX Office shall make a

decision within a calendar month and where appropriate shall amend this document to reflect such alterations to the list of items requiring notification.

3.5 Corrective action, suspension, and withdrawal

WEEELABEX Operators may voluntarily withdraw or be de-listed as a WEEELABEX Operator for various reasons:

3.5.1 Voluntary withdrawal

WEEELABEX Operators may voluntarily withdraw their listing any time. The WEEELABEX Office shall be notified of this by the WEEELABEX Operator in writing at least one month prior to the voluntary withdrawal of listing.

3.5.2 Involuntary de-listing

The WEEELABEX Office in consultation with the WEEELABEX Governing Council (WGC) may in certain circumstances withdraw a WEEELABEX Operator's listing. In such cases the following procedures (in order) will be undertaken:

- requirement for the WEEELABEX Operator to undertake and prove corrective action;
- suspension of the WEEELABEX Operator; and
- involuntary withdrawal (de-listing) of the WEEELABEX Operator.

These actions may be due to factors including, but not limited to:

- non-conformity to the WEEELABEX requirements
- a negative result following an appeal;
- removal or suspension of permits or licenses to operate
- a serious complaint that cannot be resolved; and
- a failure to pay fees due.

3.5.3 Suspension

Failure to undertake corrective action can result in the WEEELABEX Operator being suspended until such time as corrective action has been implemented and proved.

A failure to undertake corrective action during suspension within one calendar month (or any longer agreed timescale) will result in involuntary withdrawal.

A WEEELABEX Operator who fails to undertake corrective action during suspension will be involuntarily withdrawn from being listed as a WEEELABEX Operator, whereby he must return all attestation documents and cease to use the WEEELABEX Mark.

3.5.5 Corrective action

Corrective action may be considered as actions which are undertaken to correct any non-conformity identified during the audit process.

A failure to undertake corrective actions within the deadline set by the WEEELABEX Lead Auditor will result in suspension or in the negative decision to list a new WEEELABEX Operator.

Additional details related to the suspension, cancellation and withdrawing of the certification are set down in the document B03 *TR Agreement for Treatment and Preparation for Re-use Operators* and/or *B03CL Agreement for Collection and Logistics Operators*.

4. Conformity Verification System

In general, the conformity verification system is a set of steps to determine the compliance of a operator with the WEEELABEX requirements:

- Self-assessment by the operator - to ensure they are ready for the conformity verification process;
- Proposal of the WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)*, by the WEEELABEX System or the operator initiating the conformity verification process, and if required; additional members of the Audit Team;
- Completion and submission of the B01 *TR* Declaration of Intent Form for Treatment *and Preparation for Re-use* Operators *or the B01CL Declaration of Intent Form for Collection and Logistics Operators* by the operator to the WEEELABEX Office with the supporting documentation specified;
- Conformity Verification Audit for treatment *and preparation for re-use* operators performed by the WEEELABEX Lead Auditor working to the audit process requirements (and using the audit tools) set out in the A04*TR* Auditor Manual *for treatment and preparation for re-use* (including Batch tests and Specialist performance tests if applicable);
- Conformity Verification Audit for *collection and logistics* operators performed by the WEEELABEX Auditor working to the audit process requirements (and using the audit tools) set out in the A04*CL* Auditor Manual *for collection and logistics*;
- Completion of the Audit Report and Summary Report by the WEEELABEX Lead Auditor (for treatment *and preparation for re-use*) *or by the WEEELABEX Auditor (for collection and logistics)* and submission to the client and / or operator and to the WEEELABEX Office; and
- Listing (or not or de-listing) of the operator as a WEEELABEX Operator.

4.1 De-centralisation of the conformity verification process

The WEEELABEX conformity verification approach is de-centralised in nature. Audits and tests are conducted by certified WEEELABEX Auditors (being Lead Auditors, Auditors and/or Specialist Auditors). The WEEELABEX Office records the outcome of the conformity verification audit and decides to certify or not the *WEEE* streams concerned of the (candidate) WEEELABEX Operator.

There are two cases which may initiate conformity verification:

- (a) a WEEELABEX System seeks to have *WEEE* streams at a (potential / existing) supplier audited; or
- (b) a operator unilaterally seeks to have its' treatment *WEEE* streams independently audited.

4.1.1 WEEELABEX Audits will be performed against *WEEE streams* as defined in the clause 1.1 of this document enabling operators to become certified for one or more *WEEE* streams depending on the type of activity they perform.

4.1.2 Each *WEEE* stream will be determined by the type of *activity* carried out:

- Type 1: Manual treatment, 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).
Re-use: *Preparation for re-use process (checking, cleaning, or repairing recovery operations, by which products or components of products that have become waste are prepared so that they can be re-used without any other pre-processing).*
Collection: *Gathering of WEEE, including the preliminary sorting and preliminary storage of WEEE for the purposes of transport to a logistics facility or a treatment facility.*

Logistics: *Planning, implementing, and controlling of the transportation, handling, preliminary storage and/or sorting of WEEE from the point of origin to point of delivery.*

See the WEEELABEX document B02TR Eligibility of Treatment *and Preparation for Re-use* Operators and *B02CL Eligibility of Collection and Logistics Operators* for details.

4.1.3 Currently, operators performing type 1 and/or type 2 and/or type 3 treatments, *and/or preparation for re-use, and/or collection and/or logistics* (either singularly or together at the same site) may apply for WEEELABEX Conformity Verification.

4.1.3.1 Type 0: Manual cannibalisation of appliances (no depollution) operators will not be eligible to apply for WEEELABEX Operator status at any time.

4.1.4 A more detailed description of the activities performed by the above treatment types and exceptions may be found in the B02TR Eligibility of Treatment *and Preparation for Re-use* Operators and *B02CL Eligibility of Collection and Logistics Operator*.

4.2 Selection of the WEEELABEX Lead Auditor and Audit Team

The WEEELABEX System or the (candidate) WEEELABEX Operator initiating the conformity verification may suggest a selection of a listed WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)*, to WEEELABEX Office, however, the final nomination of the WEEELABEX Lead Auditor / *Auditor* is the responsibility of the WEEELABEX Organisation in accordance with ISO 17065 and with documents of the WEEELABEX certification scheme - Operators. The WEEELABEX System or the (candidate) WEEELABEX Operator initiating the conformity verification contracts directly with the WEEELABEX Lead Auditor / *Auditor* or his/her company to perform the audit having ascertained with the WEEELABEX Organisation that the audit team consists of certified WEEELABEX Auditors including at least one certified WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)*, and that the members of the audit team conform with the requirements defined below.

4.2.1 The audit team

For all General and Specialist audits, there shall be at least one WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or at least one Auditor (for collection and logistics operators)* with the competencies required. All WEEELABEX Auditors (being Lead Auditors or Auditors) may perform or verify batch tests.

The WEEELABEX Lead Auditor / *Auditor* shall determine the need for any other WEEELABEX Auditor(s) to become member(s) of the audit team with the correct competencies (as set out in Section 4.3, 4.4 and determined by the size of the operation and number of *WEEE* streams of the facility being audited as set out in Annex 1) and propose these to the client (the WEEELABEX System or the (candidate) WEEELABEX Operator if he is initiating the conformity verification).

4.2.2 Technical experts and other personnel

The WEEELABEX Lead Auditor / *Auditor* may determine the need for a technical advisor. A technical advisor is an individual who is expert in a particular field of knowledge, engaged to carry out a particular task and / or to provide detailed information and advice to the WEEELABEX Lead Auditor / *Auditor*. For example:

- Specialist technical engineers
- Sampling specialists
- Laboratory technicians

4.2.2.1 Trainee auditors may also form part of the audit team. These “*auditors*” have to meet the basic criteria set down in part three of the A02 Auditor Profile document but who

have not yet attended a general examination workshop (but have submitted their A01 Auditor Application document to the WEEELABEX Office to indicate their interest to do so and so their ability to meet the basic criterion can be confirmed) and so are not listed yet as a WEEELABEX Auditor at the time of the audit.

4.2.2.2 Translators/Interpreters may also be appointed to assist with the audit tasks.

4.2.2.3 The WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)* shall be responsible for ensuring that all technical experts and other personnel have the necessary proficiencies required to undertake the task designated to them. He will also be responsible for safeguarding that the necessary steps to ensure impartiality and confidentiality are in place. All technical experts and other personnel shall be required to sign a confidentiality agreement on request of the (candidate) WEEELABEX Operator and / or WEEELABEX System.

4.2.3 Appointment length

A WEEELABEX Lead Auditor / *Auditor* shall be appointed for the WEEELABEX Audit. It is recommended that the same Lead Auditor / *Auditor* should be retained (as a minimum) to perform the General Audit and subsequent Surveillance Audit.

Other members of the audit team may change from year to year, but a consistent approach is recommended where possible.

In case when a WEEELABEX Auditor is not appointed to perform the Surveillance Audit (in the year after the General Audit was performed), then the outgoing WEEELABEX Auditor is required to provide the succeeding WEEELABEX Auditor with copies of the reports he has generated, within 15 working days of the request being made.

In case there is a different Lead Auditor / *Auditor* for the General audit and a different Lead Auditor / *Auditor* for Surveillance audit, both lead auditors shall be stated on the 'Attestation of Conformity' document (4.9.4) of the audited operator.

In case there is a different Lead Auditor / *Auditor* proposed for the Surveillance audit than for the General audit, the newly proposed Lead Auditor shall inform the WEEELABEX Office about this change via e-mail at least one month prior to the Surveillance audit date.

4.2.4 Audit Service Fee

The service fees of the WEEELABEX Auditor(s) and the Audit team are paid by the WEEELABEX Member System ordering a given WEEELABEX conformity verification or by the operator if he is initiating the WEEELABEX conformity verification.

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 cost 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 shall be subject of free market competition.

4.2.5 Language of the audit

Either the WEEELABEX Lead Auditor or Auditor (if part of the audit team) must have sufficient knowledge of the local language, besides English.

When neither auditor is proficient in the local language, the Lead Auditor shall first ascertain if there is another Auditor available, or may be permitted to nominate a trainee auditor to the client with sufficient knowledge of the local language, or if none are available, a translator (non-auditor) may be engaged.

4.2.6 Conflict of interest

Where a WEEELABEX Auditor (being a Lead Auditor or Auditor) identifies a potential or actual conflict of interest he/she shall notify the client and the WEEELABEX Office immediately and shall withdraw from the audit process.

4.2.7 Objections to members of the audit team

Where a (candidate) WEEELABEX Operator considers there is to be a conflict of interest with any or all of the nominated audit team members, they are entitled to request a change of auditor / audit team to the WEEELABEX Office, stating clear reasons for the objection. WEEELABEX Office shall review and adjudicate the objection. The audit will not proceed until any outstanding conflict of interest issues have been resolved.

4.3 Responsibilities of the members of the Audit Team

For Treatment and Preparation for Re-use operators audits

4.3.1 Lead auditor - The WEEELABEX Lead Auditor shall be responsible for:

- compiling and issuing an audit plan;
- considering any previous audit findings (opened or closed)
- considering any existing surveillance findings (e.g. issues raised by other quality and/or environmental management certified systems);
- reviewing any audit reports issued previously (e.g. issued by quality and/or environmental management certified systems);
- briefing the audit team (if other auditors or technical team members are appointed);
- supervising the audit team carrying out the audit in accordance with the WEEELABEX conformity verification process, ensuring that all stages of the audit are planned, carried out, and formally reported to the client; the treatment operator and the WEEELABEX Office;
- performing any technical aspects or verification of an audit process or delegate this task to a member of the audit team with recognised skills;
- coordinate the activities included in the CV process (batches, performance test) among the different actors involved (specialist/auditors, auditees, WEEELABEX Office);
- supervise the planning of the activities included in the CV process (check scope, audit team, facilities, reporting and deadlines);
- initiate and plan the batch test with the operator, as a first step assessment at the start of the performance to ensure that all the elements required to perform a batch are in place;
- completion of the final audit report and summary report.

4.3.2 WEEELABEX Auditor(s); technical experts and other personnel - If required as part of the audit team, assistant WEEELABEX Auditors and technical experts shall be responsible for:

- working as per the audit plan provided by the WEEELABEX Lead Auditor;
- assisting in carrying out the audit and/or batch test in accordance with the WEEELABEX conformity verification process; and
- contributing to the final audit report and summary report as required by the WEEELABEX Lead Auditor;
- completion of the batch test validation report.

4.3.2.1 Trainee auditors will not be permitted to perform the audit/batch test on their own and shall be supervised at all times.

4.3.3 Specialist Auditor (WEEELABEX CFA auditor and WEEELABEX Lamps auditor) - The WEEELABEX Specialist Auditor shall be responsible for:

- compiling and issuing a comprehensive plan for CFA performance test or Lamps audit;
- considering any previous CFA test / Lamps audit findings (opened or closed);
- reviewing any CFA test / Lamps audit reports issued previously (the reports shall be made available by the (candidate) WEEELABEX Operator);
- briefing the CFA test / Lamps audit team (if other auditors or technical team members are appointed);
- supervising the CFA test / Lamps audit team carrying out the audit in accordance with the WEEELABEX conformity verification process, ensuring that all stages of the CFA test / Lamps audit are planned, carried out, and formally reported to the client; the treatment operator, to the nominated Lead auditor and to the WEEELABEX Office;
- performing any technical aspects or verification of the CFA test in compliance with the standard *EN 50625-2-3* and *CLC/TS 50625-3-4*, or delegate this task to a member of the audit team with recognised skills;

- performing any technical aspects or verification of the Lamps audit process or delegate this task to a member of the audit team with recognised skills;
- coordinate the activities included in the CFA test / Lamps audit (e.g. manual on-site analysis and laboratory analysis);
- supervise the planning of the activities included in the CFA test / Lamps audit (check scope, team, facilities, reporting and deadlines);
- completion of the special performance CFA report / specialist Lamps report.

For Collection and Logistics Operators audits

4.3.4 Auditor - The WEEELABEX Auditor shall be responsible for:

- *compiling and issuing an audit plan;*
- *considering any previous audit findings (opened or closed)*
- *considering any existing surveillance findings (e.g. issues raised by other quality and/or environmental management certified systems);*
- *reviewing any audit reports issued previously (e.g. issued by quality and/or environmental management certified systems);*
- *briefing the audit team (if other auditors or technical team members are appointed);*
- *supervising the audit team carrying out the audit in accordance with the WEEELABEX conformity verification process, ensuring that all stages of the audit are planned, carried out, and formally reported to the client; the operator and the WEEELABEX Office;*
- *performing any technical aspects or verification of an audit process or delegate this task to a member of the audit team with recognised skills;*
- *coordinate the activities included in the CV process among the different actors involved (auditors, auditees, WEEELABEX Office);*
- *supervise the planning of the activities included in the CV process (check scope, audit team, facilities, reporting and deadlines);*
- *completion of the final audit report and summary report.*

4.3.5 WEEELABEX Auditor(s); technical experts and other personnel - If required as part of the audit team, assistant WEEELABEX Auditors and technical experts shall be responsible for:

- *working as per the audit plan provided by the leading WEEELABEX Auditor;*
- *assisting in carrying out the audit in accordance with the WEEELABEX conformity verification process; and*
- *contributing to the final audit report and summary report as required by the leading WEEELABEX Auditor;*

4.3.5.1 Trainee auditors will not be permitted to perform the audit on their own and shall be supervised at all times.

A detailed summary of required competencies (ability to apply knowledge and skills to achieve intended results) for all the auditors' levels is defined in the WEEELABEX document A 02 Auditors Profile.

4.4 Audit categories

For Treatment and Preparation for Re-use operators:

There are several categories of audit (in the year one and year two audit cycle) which are described below and in *Figure 2a*. Normal audits occur at set times, exceptional audits occur when required.

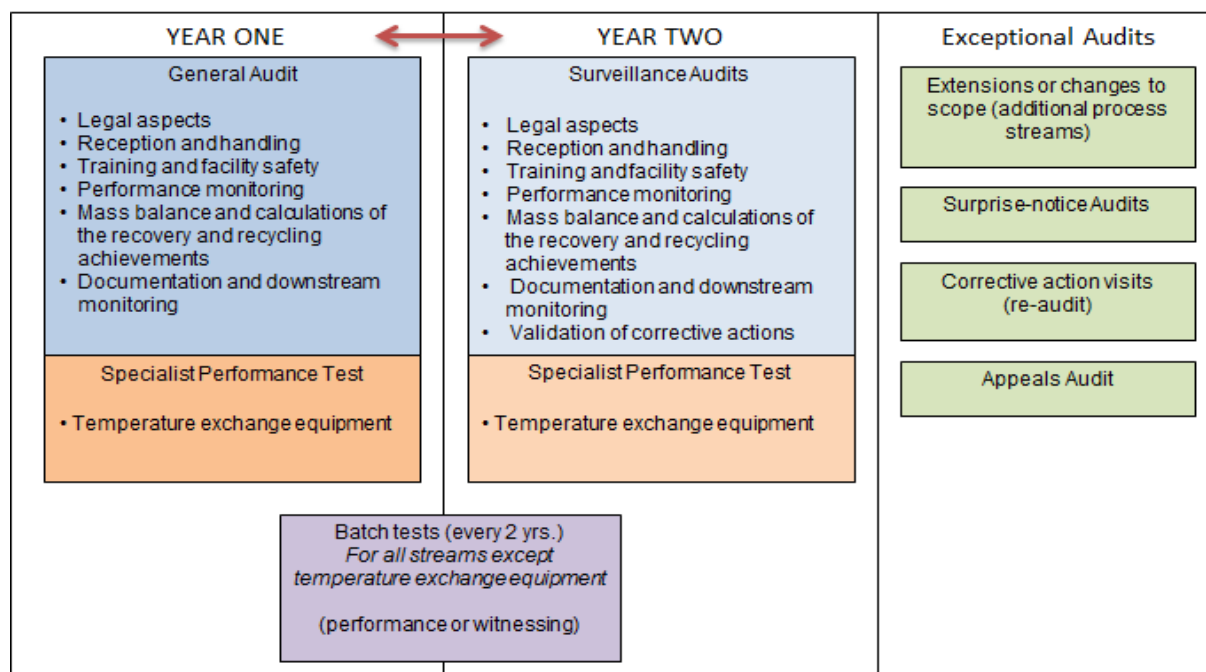


Figure 2a – Audit Categories and timing for Treatment and Preparation for Re-use operators

Following the Surveillance Audit the audit cycle will revert to the year one General Audit (*without limit*).

For Collection and Logistics Operators:

There are several categories of audit (in the year one and other years of the audit cycle) which are described below and in Figure 2b and 2c.

For Collection points and Collection facilities:

YEAR ONE	YEAR THREE	Exceptional audits
General and legal compliance and document management Material acceptance, handling, storage and sorting Training, facility safety and emergency planning Transport WEEE suitable for preparing for re-use Documentation	General and legal compliance and document management Material acceptance, handling, storage and sorting Training, facility safety and emergency planning Transport WEEE suitable for preparing for re-use Documentation Review of corrective actions implemented	Extensions or changes to scope
		Surprise notices audits
		Corrective action visits (re-audits)
		Appeals audits

Figure 2b – Audit Categories and timing for Collection points and Collection facilities

For Logistics facilities:

YEAR ONE	YEAR TWO	Exceptional audits
<p><i>General and legal compliance and document management</i> <i>Material acceptance, handling, storage and sorting</i> <i>Training, facility safety and emergency planning</i> <i>Transport</i> <i>WEEE suitable for preparing for re-use</i> <i>Documentation</i></p>	<p><i>Mainly focused on the Priority 1 issues and previous non-conformances.</i></p>	<p><i>Extensions or changes to scope</i></p>
		<p><i>Surprise notices audits</i></p>
		<p><i>Corrective action visits (re-audits)</i></p>
		<p><i>Appeals audits</i></p>

Figure 2c – Audit Categories and timing for Collection points and Collection facilities

Following the Surveillance Audit the audit cycle will revert to the year one General Audit (*without limit*).

All WEEELABEX Auditors will undergo the examination process to ensure that they are skilled at performing the WEEELABEX conformity verification audits and the audit process shall also be set down in the A04TR Auditor Manual *for treatment and preparation for re-use*, and A04CLAuditor Manual *for collection and logistics*.

Where there are significant shortfalls in the preparedness of the (candidate) WEEELABEX Operator, such that the main audit activity cannot proceed without changes to their legal permit or there are identifiable health and safety risks to the members of the audit team, or inducements are offered the WEEELABEX Lead Auditor / Auditor will terminate the audit process and inform the (candidate) WEEELABEX Operator of the decision, giving the (candidate) WEEELABEX Operator the opportunity to address shortfalls prior to a full audit at another convenient date.

At the discretion of the WEEELABEX System, the cost of the abortive audit may be re-charged to the candidate WEEELABEX Operator (if the audit has been initiated by a WEEELABEX System(s)).

At all audits, the WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)* will review any corrective action the (candidate) WEEELABEX Operator has taken to conclude any non-conformities identified during previous audits.

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

General Audit for Treatment and Preparation for Re-use operators:

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 in compliance with the WEEELABEX requirements. This is achieved by a full and thorough on-site audit of the **WEEE** processes of the (candidate) WEEELABEX Operator

A General Audit will include but is not limited to:

- all **WEEE** streams that will be in the scope of approval - i.e. those that will be listed on the Attestation of Conformity document;
- all necessary permits and / or licenses in compliance with National laws and European Community legislation (as may be amended from time to time);
- the office, administration, training and safety and technical functions associated with and managing and operating the facility;
- the documentation and downstream monitoring processes;
- the depollution process (including those carried out by downstream partners); and
- the performance monitoring activities of the treatment operator.

General Audit for Collection and Logistics Operators:

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 in compliance with the WEEELABEX requirements. This is achieved by a full and thorough on-site audit of the WEEE processes of the (candidate) WEEELABEX Operator

A General Audit will include but is not limited to:

- **all WEEE streams that will be in the scope of approval - i.e. those that will be listed on the Attestation of Conformity document;**
- **all necessary permits and / or licenses in compliance with National laws and European Community legislation (as may be amended from time to time);**
- **the office, administration, training and safety and technical functions associated with and managing and operating the facility;**
- **the documentation and downstream monitoring processes;**
- **the performance monitoring activities of the operator;**
- **transport;**
- **WEEE suitable for preparing for re-use.**

4.4.2 Surveillance Audit

Surveillance audit for Treatment and Preparation for Re-use operators (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 the legal requirements of the permit are being met and to determine whether the WEEELABEX Operator continues to meet the WEEELABEX requirements.

Any irregular timing or schedule of the Surveillance audit, which is not in correspondence with the clause above, is the subject of prior written approval of the WEEELABEX Office. Request for any irregular timing of the Surveillance Audit has to be submitted to the WEEELABEX Office no later than 30 days before the surveillance audit planned date.

During the Surveillance Audit, a WEEELABEX Lead Auditor shall follow the same reporting procedure as for the General Audit (see clause 4.8 for details).

4.4.2.1 Surveillance Audits may be planned such that they are targeted to specific areas of the WEEELABEX Operator's activity covered by the scope of the conformity verification and to detect changes in the processes performed at the facility.

4.4.2.2 Major changes found during the surveillance audit of the treatment process stream under conformity verification to the WEEELABEX Operator's documented system; plant; operations or treatment process, that were not previously declared by the WEEELABEX Operator the Surveillance Audit may be stopped and the incident will be reported to the WEEELABEX Office by the Lead Auditor, when the WEEELABEX Operator's listing will be suspended (according to clause 3.5.3) until any corrective action is implemented. If the Surveillance Audit is stopped, an Exceptional Audit shall then be performed. Under such circumstance, the additional service fees are payable by the WEEELABEX Operator

4.4.2.3 The following are classed as major changes (this list is not exhaustive):

- changes in the Operator name
- changes in the legal permit
- movement from a type 1 to a type 2/3 operator
- management of different WEEE categories (for example the excluded appliances on the Attestation of Conformity document) through the processing line that need different treatment requirements
- a change in the treatment process that directly impacts the performance of the Operator

Surveillance audit for Collection and Logistics Operators:

- Collection points and Collection facilities (performed in year three of the audit cycle)
- Logistics facilities (performed in year two of the audit cycle)

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

For Collection points and Collection facilities, the Surveillance audit will be a surprise notice audit carried out in the year three of the attestation cycle (the operator shall submit the Declaration of Intent to the WEEELABEX office every two years and indicate the time period of at least 6 months suitable for the surprise notice audit so the auditor can decide when the surprise notice audit will take place).

For Logistics facilities, the Surveillance audit will be regularly planned and carried out in the year two of the attestation cycle and will be focused on the Priority 1 issues and previous non-conformances.

Any irregular timing or schedule of the Surveillance audit, which is not in correspondence with the clause above, is the subject of prior written approval of the WEEELABEX Office. Request for any irregular timing of the Surveillance Audit has to be submitted to the WEEELABEX Office no later than 30 days before the surveillance audit planned date.

During the Surveillance Audit, a WEEELABEX Lead Auditor shall follow the same reporting procedure as for the General Audit (see clause 4.8 for details).

4.4.2.1 Surveillance Audits may be planned such that they are targeted to specific areas of the WEEELABEX Operator's activity covered by the scope of the conformity verification and to detect changes in the processes performed at the facility.

4.4.2.2 Major changes found during the surveillance audit of the WEEE stream under conformity verification to the WEEELABEX Operator's documented system; plant; operations or WEEE process, that were not previously declared by the WEEELABEX Operator the Surveillance Audit may be stopped and the incident will be reported to the WEEELABEX Office by the Auditor, when the WEEELABEX Operator's listing will be suspended (according to clause 3.5.3) until any corrective action is implemented. If the Surveillance Audit is stopped, an Exceptional Audit shall then be performed. Under such circumstance, the additional service fees are payable by the WEEELABEX Operator

4.4.2.3 The following are classed as major changes (this list is not exhaustive):

- changes in the Operator name
- changes in the legal permit
- movement from a collection to logistics operator or vice-versa
- management of different WEEE categories (for example the excluded appliances on the Attestation of Conformity document)
- a change in the process that directly impacts the performance of the Operator

4.4.3 Specialist Performance Tests (*applicable only for temperature exchange equipment treatment operators*)

Specialist performance tests shall be performed annually by a specialist WEEELABEX CFA Lead Auditor³ (with other members of an audit team if appropriate) at sites where the temperature exchange equipment process stream is to be included in the certification of the WEEELABEX Operator

The Specialist Performance Test will follow the requirements of 'EN 50625-2-3 and CLC/TS 50625-3-4'.

The Specialist Performance Test will satisfy the requirement for a Batch Test for this treatment process stream.

4.4.3.1 A General Audit has to be performed in addition to a Specialist Performance Test before the listing of a (candidate) WEEELABEX Operator can be confirmed. A General Audit may be carried out at the same time, by the same audit team but may also be performed as a separate audit before or after the Specialist Performance Test.

4.4.3.2 The Specialist Performance Test shall be performed within six months following the General or Surveillance Audit, but may be six months prior to the General or Surveillance Audit. This pattern shall repeat each year that WEEELABEX Operator listing is active.

4.4.4 Batch Test (*applicable only for WEEE "treatment" operators*)

Batch tests have to be performed for each of the process streams as defined in the clause 1.1 of this document (the subject of the WEEELABEX conformity verification process) at least every two years.

A Batch Test for gas discharge lamps shall be performed / verified by a WEEELABEX Lamps Auditor⁴. An additional audit report shall be completed by a WEEELABEX Lamps Auditor during the General Audit.

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

A Batch Test shall be performed before the General Audit can be closed and the subsequent listing of a (candidate) WEEELABEX Operator confirmed. This shall be within six months following the General Audit, but may be done within the one year 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 WEEELABEX requirements. These documents contain also target and limit values and methods for sampling and for manual and chemical analysis.

³ Refer to the Auditor Profile document (A02) for qualifications of a WEEELABEX CFA Auditor.

⁴ Refer to the Auditor Profile document (A02) for qualifications of a WEEELABEX Lamps Auditor.

4.4.5 Exceptional Audits

Exceptional Audits are audits which fall outside of the General or Surveillance Audit cycle, or Batch or Specialist Performance Tests - such as those required when there are changes in the process or scope or for the review of corrective actions. Exceptional Audits may result in the suspension or de-listing of a WEEELABEX Operator.

4.4.5.1 Extensions or changes to scope - When the WEEELABEX Operator wishes to extend the **WEEE** stream scope of their listing to include new **WEEE** streams or has or plans to have a change in plant or operations, an additional audit may be required. In some cases, a desk-top review may be used and followed up at the next available General or Surveillance Audit. In other cases, a specific extension to scope audit may be the most appropriate option.

- The WEEELABEX Lead Auditor / **Auditor** is required to provide a plan of the audit to the WEEELABEX Operator in line with the requirements of 4.8.1.
- The audit service fees are paid by whichever party is initiating the extension or change to scope process.

4.4.5.2 Corrective actions audits – Where there are (non-conformance) corrective actions to be taken by a WEEELABEX Operator an additional audit may be required. In some cases, a desk-top review may be used and followed up at the next available General or Surveillance Audit or during a short-notice audit. In other cases, a specific corrective action audit may be the most appropriate option, and particularly following a period of temporary suspension of listing - in such cases any relevant corrective actions shall be completed by the operator prior to re-instatement of the listing.

- The WEEELABEX Lead Auditor / **Audits** is required to provide a plan of the audit to the WEEELABEX Operator in line with the requirements of 4.8.1.
- The audit service fees are paid by whichever party is initiating the General Audit.

4.4.5.3 Surprise-notice audits – The WEEELABEX Office or a WEEELABEX System may exercise its right to request access for additional audits to assess the WEEELABEX Operator's processes:

- from six months from the date of a General or Surveillance Audit where the WEEELABEX Operator is in the opinion of the WEEELABEX System or WEEELABEX Lead Auditor either:
 - immature in terms of processing experience; and / or
 - had multiple non-conformities following a General or Surveillance Audit; and / or
 - is of a Class I size of operator (see Annex 1); and / or
 - when the WEEELABEX Office needs to investigate the situation relevant to a formal complaint or to verify the evidence of the WEEELABEX Operator's response to a complaint; and / or
 - if the WEEELABEX Operator announces major changes (see 4.4.2.3).
- Surprise-notice audits are planned such that they are targeted to specific areas of the WEEELABEX Operator's activity.
- The WEEELABEX Lead Auditor / **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.
- The audit service fees are paid by whichever party is initiating the surprise-notice audit.

4.4.5.4 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 a (candidate) WEEELABEX Operator, against the outcome of an audit process.

- The WEEELABEX Appeals Auditor is required to provide a plan of the audit to the WEEELABEX Operator in line with the requirements of 4.8.1.
- The procedure is set out in the B06 Appeals process Surprise-notice audits are planned such that they are targeted to specific areas of the WEEELABEX Operator's activity.
- The WEEELABEX Lead Auditor / **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 for WEEELABEX Systems and Operators document including who has the responsibility for the audit service fees.

4.5 Audit Duration

Audit duration is the effective time measured in the number of WEEELABEX Auditors (being the Lead Auditor and other Auditors) and the number of auditor days required to carry out auditing activity.

The total audit duration includes on-site time at a treatment facility and time spent off-site carrying out planning, document review, interacting with the Client and / or facility personnel and report writing.

4.5.1 Auditor day - Annex 1 presents the minimum on-site audit durations required by the WEEELABEX Organisation, calculated in auditor days on the basis of 8 hours per day. National adjustments on the number of days may be needed to comply with local legislation for travel, lunch breaks and working hours, to achieve the same total number of hours of auditing of Annex 1.

4.5.1.1 The WEEELABEX Lead Auditor / **Auditor** and the (candidate) WEEELABEX Operator shall agree a mutually convenient date and time which will best demonstrate the full scope of the Operators' activities.

4.5.1.2 Audit times to allow for the best demonstration of the full scope may include the need to audit outside normal working hours or to fit into the shift pattern deployed by the (candidate) WEEELABEX Operator.

4.5.2 The justification for the audit duration may be the subject of an Appeal so the WEEELABEX Lead Auditor/ **Auditor** must keep records for each audit performed to explain how the evaluation was made.

4.6 Audit Groups and Audit Coordinators

WEEELABEX Systems may jointly or severally set up a national or supra-national audit groups to mandate, co-ordinate and finance audits.

4.6.1 Co-ordinators

WEEELABEX Systems can appoint a co-ordinator to co-ordinate the audits in a national or supra-national area. In that respect, the co-ordinator can assist a WEEELABEX System with the composition of audit teams to conduct audits within a given time frame, and to mediate possible issues.

In accordance with the functional specification stated in the Governance Document, neither employees of a WEEELABEX System that are involved in handling, trading or treatment of WEEE streams, or persons acting on that WEEELABEX System's behalf, unless those persons are independent parties, can be a WEEELABEX co-ordinator.

4.6.2 Request for co-ordination of WEEELABEX audits

A WEEELABEX System can request the WEEELABEX Office to co-ordinate audits of candidate WEEELABEX Operators across Europe.

4.6.3 The service fees of audit groups and / or co-ordinators are paid by the WEEELABEX Systems concerned.

4.7 Declaration of Intent

B01 *TR* Declaration of Intent Form for Treatment *and Preparation for Re-use* Operators *or the B01CL Declaration of Intent Form for Collection and Logistics Operators* – The form is the start of the application process and a pre-condition for the first General Audit (the first conformity verification process respectively), and then for each consecutive General Audit (consecutive conformity verification process respectively). A candidate WEEELABEX Operator shall use this form to unilaterally declare that he is ready to have one or several *WEEE* streams undergo the WEEELABEX conformity verification. The Declaration of Intent shall be submitted to the WEEELABEX Office via a web portal available on <http://www.weeelabex.org/> for each new Conformity Verification process cycle (it means including each consecutive conformity verification process).

Any candidate WEEELABEX Operator with whom a WEEELABEX System has a contractual relationship, or who expresses an interest in participating in a tender issued by a WEEELABEX System, can undergo a conformity verification audit for one or several of its *WEEE* streams.

4.7.1 The Declaration of Intent form requires the proposal of the WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)* - a pre-selection process must therefore be carried out prior to the completion and submission of the form to the WEEELABEX Office (either by the WEEELABEX System or the candidate WEEELABEX Operator, who-so-ever is initiating and paying for the audit).

4.7.2 Within fifteen working days, the WEEELABEX Office shall acknowledge the Declaration of Intent and shall confirm that the information required is complete and meets the eligibility criteria set down in the B02 *TR* Eligibility of Treatment *and Preparation for Re-use* Operators *and B02CL Eligibility of Collection and Logistics Operators* document and that the proposed WEEELABEX Lead Auditor / *Auditor* is nominated (or not) by the WEEELABEX Office.

4.7.2.1 If the WEEELABEX Office finds that the Declaration of Intent form is incomplete or does not have the necessary supporting documents it shall be returned to the candidate WEEELABEX Operator who will be required to re-submit the application.

4.7.2.2 If the application is accepted, the Declaration of Intent form (and supporting documents) will be forwarded to the nominated WEEELABEX Lead Auditor / *Auditor*.

4.7.3 The WEEELABEX Office shall set up any necessary records required to monitor the conformity verification process and audit cycle; including recording the names of any other members of the audit team once this is determined and the dates of the General and all subsequent Audits.

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 nominated Lead Auditor. 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.

4.8 Audit documents

4.8.1 Audit Plan

The WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators) shall submit an A05.5 *TR* Audit Plan, *or an Auditor (for collection and logistics operators) shall submit an A05.5CL Audit Plan* for General and Surveillance audits and certain Exceptional Audits to the auditee and to the WEEELABEX Office at least one month prior to the audit date (unless a different agreement is made with the Operator for an exceptional case). The (candidate) WEEELABEX Operator is required to sign and return a copy to the Lead Auditor / *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 / *Auditor* without undue delay.

4.8.2 Audit Statement / Batch Statement

Before the WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators), *or an Auditor (for collection and logistics operators)* leaves the audited facility, he/she and the (candidate) WEEELABEX Operator signs the A05.1 *TR* Audit Statement or *A05.1CL Audit Statement*, succinctly outlining when, where and what type of audit was conducted. A copy shall be given to the (candidate) WEEELABEX Operator on request.

Auditors must fill in the A05.7 Batch statement, and release a signed copy to the auditee after the batch performance and before leaving the operator's premises. The auditor shall keep as well a copy signed by the operator, thus showing acceptance of the data gathered during the performance of the batch.

4.8.3 Batch validation Report / Specialist Performance Test Reports

The WEEELABEX Auditor verifying the Batch Test and the WEEELABEX CFA Auditor or WEEELABEX Lamps Auditor performing the specialist tests will complete the relevant audit reports. These will include the results of all external laboratory tests performed. These will be submitted to the WEEELABEX Lead Auditor for inclusion in the Summary Audit report. The Lead Auditor is then responsible to send the Batch validation Report / Specialist Performance Test Reports to the WEEELABEX Office as a PDF file (together with the definitive Summary report).

4.8.4 Audit Report

The A05.2 *TR* Audit Report or *A05.2CL Audit Report* (checklist) is designed to allow the verification of the (candidate) WEEELABEX Operator based on the *WEEE* streams forming the scope of the audit. There are some general requirements that, independently of the specific streams that a (candidate) WEEELABEX Operator manages, are applicable to all of the activities performed at the facility, 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.

Each question has been given a specific priority - Priority 1: the question is important and relates to specific objectives set down in the WEEELABEX requirements and Priority 2: the question is considered not as significant but is still an essential part of the conformity verification where improvements can be made. The weighting of all questions is assessed against the priority allotted to it. The results of the Audit Report are structured so as to assure all WEEELABEX stakeholders of an equal and fair evaluation.

The WEEELABEX Lead Auditor (for treatment *and preparation for re-use* operators) will conclude the A05.2 *TR* Audit Report, *or an Auditor (for collection and logistics operators) will conclude the A05.2CL Audit Report* within ten working days after the General or Surveillance Audit and provide a draft PDF copy to the (candidate) WEEELABEX Operator who can offer his comments and propose amendments such as corrections of permit numbers;

misspelling of names or miss-understandings within two working days of receipt. The WEEELABEX Lead Auditor / **Auditor** will consider any such response but his decision whether or not to include them will be final.

When all the reports listed in 4.8.3 are available the WEEELABEX Lead Auditor will then finalise the Audit Report. A PDF copy will be provided to the (candidate) WEEELABEX Operator who can give its comments and propose amendments within two working days of receipt. It will be the auditor's decision to modify the audit report based in such comments. The audit report will be then concluded.

The auditor will then complete a Summary Report. Both documents (Audit report and Audit summary report) will have to be completed within one month of the final information / results being available.

The Lead Auditor / **Auditor** is then responsible to send the definitive Audit report to the WEEELABEX Office as a PDF file (together with the definitive Summary report).

4.8.5 Audit Summary report

The WEEELABEX Lead Auditor (for treatment **and preparation for re-use** operators) will complete Part 1 of the A05.4**TR** Audit Summary report, **or an Auditor (for collection and logistics operators) will complete Part 1 of the A05.4CL Audit Summary report** with the outcome of conformity verification audit processes (the General / Surveillance audits and Batch Tests and Specialist Performance Tests **if applicable**).

This document will be sent to the (candidate) WEEELABEX Operator as a PDF file, and will include a report of non-conformances that may be required to be actioned before the audit can be closed.

4.8.5.1 Non-conformances:

- All non-conformances (identified as priority 1 or priority 2 questions) identified during the General or Surveillance Audit or any Exceptional Audit shall have a maximum of three months period where a (Candidate) WEEELABEX Operator can take corrective action.

4.8.5.2 An Exceptional Audit (or a further Exceptional Audit if one has already been performed) may be required to verify the correction action is concluded.

4.8.5.3 If the corrective actions for Priority1 questions (if any) are not concluded, then the recommendation to list the (Candidate) WEEELABEX Operator shall not be given by the WEEELABEX Lead Auditor / **Auditor** (or a recommendation made to de-list).

4.8.5.4 A minimum amount of corrective actions for Priority2 questions (if any) shall be concluded so that the final score for Priority 2 questions meets a minimum 75%, then the recommendation to list the (Candidate) WEEELABEX Operator shall be given by the WEEELABEX Lead Auditor / **Auditor**.

4.8.5.5 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. 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 / **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 / **Auditor**.

4.8.5.6 On completion of the corrective actions (if any) the final audit conclusions will be drawn in the Audit report and in the Part 1 of the A05.4TR Audit Summary report **or A05.4CL Audit Summary report** (the report shall contain a description of the implemented corrective actions), and the WEEELABEX Lead Auditor will complete Part 2 of the A05.4TR Audit Summary report, or the **WEEELABEX Auditor will complete Part 2 of the A05.4CL Audit Summary report** with a recommendation (or not) for the (candidate) WEEELABEX Operator to be listed (or a recommendation made to de-list). Auditors will have to release Part 1 and Part 2 of the Audit Summary report not later than one month after having all the information ready for it.

4.8.5.7 The Lead Auditor is then responsible to send the definitive A05.4TR Audit Summary report (Part 1 and Part 2), **or the Auditor is then responsible to send the definitive A05.4CL Audit Summary report (Part 1 and Part 2)** to the WEEELABEX Office as a PDF file (together with the definitive Audit report, Batch validation report and Specialist Performance Test Reports, **if applicable**).

4.8.5.8 The WEEELABEX **Organisation** may implement continuous improvement policies by gradually increasing the minimum score to be reached by the WEEELABEX Operator in Priority 2 questions, or changing the status of Priority 2 questions to Priority 1.

4.8.6 Summary of audit process documents

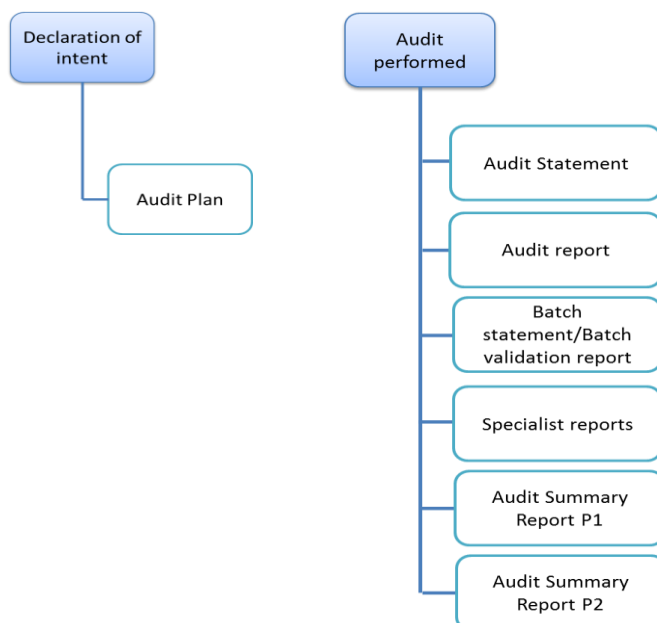


Figure 3 Audit Process documents

4.8.7 Circulation of documents

The WEEELABEX Lead auditor (for treatment **and preparation for re-use operators**) **or the Auditor (for collection and logistics operators)** shall provide a copy of the Batch and Specialist Performance Test reports (**if applicable**); the Audit Statement; the definitive Audit Report; and the definitive 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 Office. The Audit Summary report (parts 1 & 2) shall be completed in English language. The audit Summary report (parts 1 & 2) shall be made available to WEEELABEX Systems on request to the WEEELABEX Organisation (**only applicable in the case when the WEEELABEX Member System commissioned and paid for the WEEELABEX conformity verification process**).

The WEEELABEX Operator shall own the batch and specialist test reports (4.8.3); the definitive audit report (4.8.4) and is therefore the sole party that decides to share these documents with other WEEELABEX Systems. The WEEELABEX Operator may not share the report with other third-parties.

4.9 Certification of Conformity

4.9.1 The WEEELABEX Office records the outcome of each WEEELABEX conformity verification audit. The final step (certification) will be performed by the WEEELABEX Organisation when:

- the recommendation is made in the Audit Summary report by the nominated Lead Auditor (for treatment *and preparation for re-use* operators) *or the Auditor (for collection and logistics operators)* (when the General or Surveillance Audit was completed);
- specialist test and batch test (*if applicable*) have all been concluded and the requirements for all components set out in clause 4.8 are met, and
- review of the submitted report(s) is performed by the WEEELABEX Office, and the certification decision is made by the WEEELABEX Organisation Managing Director (or another person nominated in writing by the WEEELABEX Organisation Managing Director).

The WEEELABEX Office 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.

4.9.2 Listing the WEEELABEX Operator on the WEEELABEX Organisation's website is conditional upon the completion of the B03*TR* Agreement for Treatment and Preparation for Re-use Operators *or B03CL Agreement for Collection and Logistics Operators* and payment of the registration fee, as set out in Section 3 of this Guidance document.

4.9.3 The listing will, amongst other things, mention:

- the *WEEE* streams certified (and the exclusions *and details*) that met the WEEELABEX requirements;
- The type of Operator;
- whether the audit was commissioned by the WEEELABEX Operator or by a WEEELABEX System; and
- the name of the WEEELABEX Lead Auditor / *Auditor* that conducted the General audit and the Surveillance audit.

4.9.4 An 'Certification of Conformity' document confirming the details of the listing will be issued to the WEEELABEX Operator, which shall mention those items noted in 4.9.3 above and:

- a) the name and full address and VAT number of the WEEELABEX Operator;
- b) the registration date and date of expiry of the certification;
- c) a unique identification number;
- d) the conformity verification criteria (WEEELABEX requirements), against which the attestation of conformity document is issued, including the identification of the "WEEELABEX Certification scheme";
- e) the *WEEE* streams certified (and the exclusions *and details*) that met the WEEELABEX requirements;
- f) the name, address and Mark of the WEEELABEX Organisation;
- g) the Mark of the WEEELABEX Organisation awarded to the WEEELABEX Operator, as relevant to the process(es) included in the attestation of conformity;
- h) the WEEELABEX website address where the validation of the listing shall be confirmed;
- i) signature or other indication of approval, by authorised personnel of the WEEELABEX Organisation; and
- j) any other information required by the conformity verification criteria

4.9.5 The basic consequence of a negative evaluation (de-listing), and after exhaustion of appeal rights, is that the WEEELABEX trademark agreement terminates for a given facility/process and that all WEEELABEX Systems cancel that facility / process from their supplier's list within an appropriate timescale. A final legal scrutiny of the consequences of de-listing and of commercial liability will be performed by the WEEELABEX Organisation.

4.10 Review (Quality Management)

The WEEELABEX Organisation has implemented a quality management system to ensure the quality of the entire certification process (certification of the WEEELABEX Auditors and certification of the WEEELABEX Operators).

A quality review of the audits performed by WEEELABEX Auditors will be undertaken by the WEEELABEX Office, or by persons nominated by the WEEELABEX Office.

All the reports and documents completed by the WEEELABEX Auditor within the WEEELABEX conformity verification process will be made available to the WEEELABEX Office, or to persons nominated by the WEEELABEX Office in order to perform an internal quality review of those reports.

All on-site audits or tests may be witnessed by persons nominated by the WEEELABEX Office in order to perform an internal assessment of the quality of the audit.

All persons nominated by the WEEELABEX Office to be involved in the internal quality assurance process shall be requested to sign a confidentiality agreement to keep the confidentiality of the information.

The WEEELABEX Auditor will be informed in advance about who is nominated to perform the internal quality review of his/her WEEELABEX reports and who is nominated to perform the on-site internal quality audit of his/her WEEELABEX audit or test. The WEEELABEX Auditor may reject the nominated person(s) in case a conflict of interest can be proven, and there is a legitimate concern that the impartiality of the internal quality review and/or audit will not be met. Such rejection shall be notified to the WEEELABEX office in writing with an explanation, so it will be taken into consideration by the WEEELABEX office. In such case, another suitable person(s) will be nominated to perform the internal quality review and/or internal quality audit.

The (candidate) WEEELABEX Operator will be informed in advance about who is nominated to perform the on-site internal quality audit of the respective WEEELABEX audit or test. The (candidate) WEEELABEX Operator may reject the nominated person(s) in case conflict of interest is proven and there is a legitimate concern that the impartiality of the internal quality audit will not be met. Such rejection shall be notified to WEEELABEX office in writing with an explanation, so it will be taken into consideration by the WEEELABEX office. In such case, another suitable person(s) will be nominated to perform the internal quality audit.

All the reports and documents completed by the WEEELABEX Auditor within the WEEELABEX conformity verification process will be made available to the respective representatives of the Czech Accreditation Institute in order to perform the accreditation assessment of the WEEELABEX certification process. In addition, the respective representatives of the Czech Accreditation Institute may be present during any WEEELABEX audit or test in order to perform the accreditation assessment of the WEEELABEX certification process.

5. Complaints and appeals

5.1 Purpose and Scope

The purpose of this section is to detail the process and actions of each party when a complaint or an appeal is made to the WEEELABEX Office.

5.2 Complaints Procedure

As a general rule, all complaints shall be redacted to make it impossible to identify individuals or companies. In a very few cases this may not be possible and so all information regarding complaints must be held confidentially by the WEEELABEX Office. The WEEELABEX Office shall not divulge information regarding specific individuals or companies to a WEEELABEX System.

5.2.1 No information regarding complaints other than the number of complaints, the average resolution time and the number of upheld complaints may be made public.

5.2.2 Investigator - Following the receipt of a complaint, an independent member of staff; a technical consultant or another independent person shall be appointed by the WEEELABEX General Manager to investigate the complaint. The investigator may be the WEEELABEX General Manager.

Where an investigator could have a potential or actual conflict of interest the WEEELABEX Office shall not divulge information regarding specific individuals or companies to that person and an alternative investigator appointed. Investigators shall notify the WEEELABEX Office if they identify an actual or potential conflict of interest and shall securely destroy all such data received.

5.2.3 Complaints Committee - The Complaint Committee shall be made up of the General Manager of the WEEELABEX Office (unless the complaint relates to the General Manager) and two independent members of the WEEELABEX Governing Council. If the complaint involves the General Manager, then the Chair of the WEEELABEX General Assembly shall be appointed instead.

The Complaint Committee members shall notify the WEEELABEX Office if they identify an actual or potential conflict of interest and shall withdraw from the process and shall securely destroy all such data received.

5.2.4 The flowchart below in *figure 4* indicates the various roles and procedure.

5.2.5 The complainant may lodge a formal appeal at the end of the Complaints Committee process.

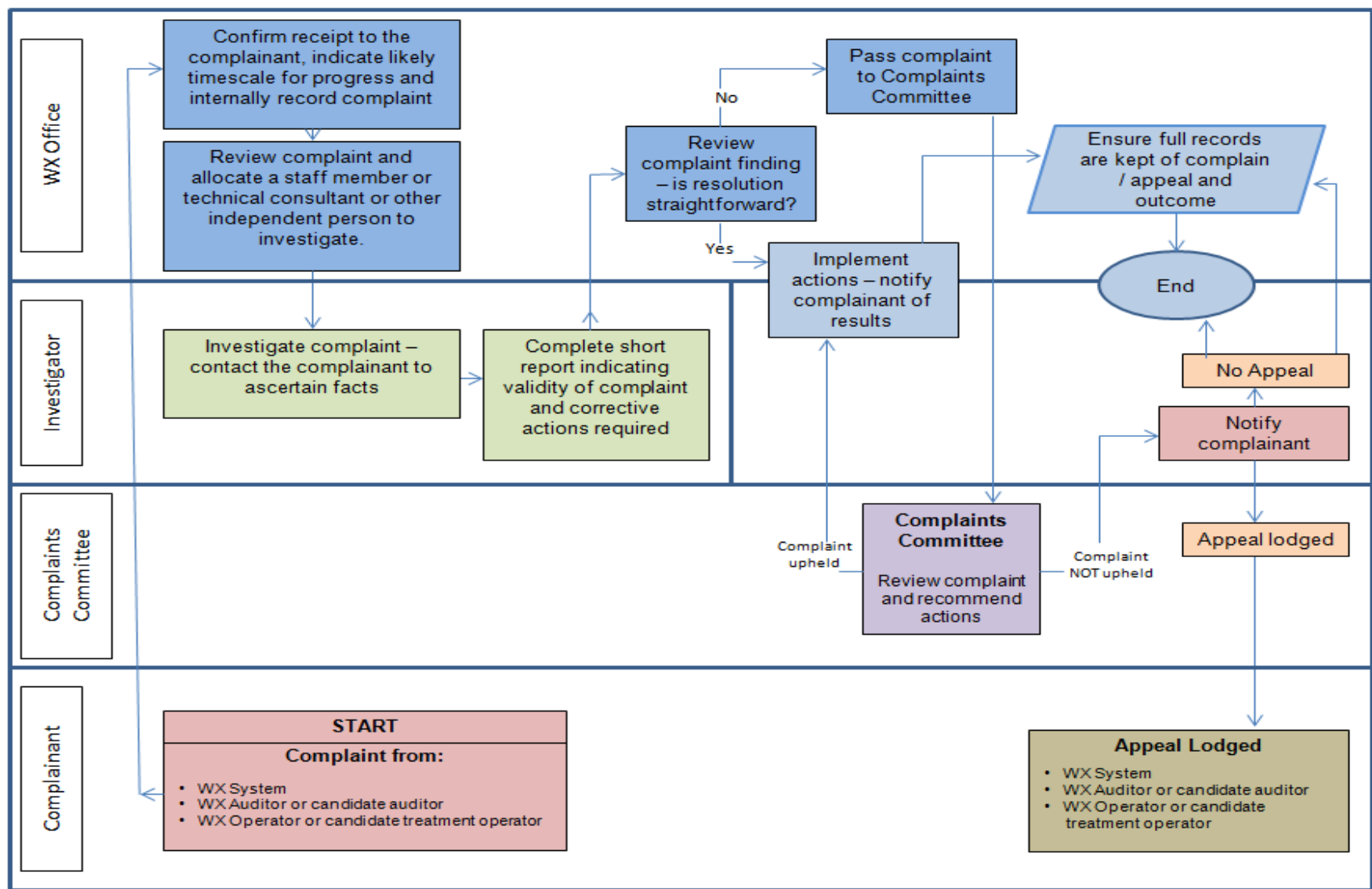


Figure 4 complaints process

5.3 Appeal Procedure

5.3.1 All (candidate) WEEELABEX operators, (candidate) WEEELABEX Systems or (candidate) WEEELABEX Auditors – are entitled to lodge an appeal against a decision which negatively affects that candidate or party. The appeal suspends the decision against which the appeal is introduced.

5.3.2 As a general rule, all appeals shall be redacted to make it impossible to identify individuals or companies. In a very few cases this may not be possible and so all information regarding complaints must be held confidentially by the WEEELABEX Office until such time were all conflict of interests have been evaluated.

5.3.3 No information regarding appeals other than the number of appeals, the average resolution time and the number of upheld appeals and any subsequent action (listing or de-listing of the complainant) may be made public.

5.3.4 Conformity Verification

A WEEELABEX Operator or a WEEELABEX System may appeal against the outcome of an audit process. The procedure is set out in the B06 Appeals process for WEEELABEX Systems and Operators document.

5.3.5 WEEELABEX Operators (or candidate WEEELABEX Operators)

A candidate WEEELABEX Operator can appeal against a WEEELABEX Organisation's decision not to list him; an existing WEEELABEX Operator can appeal against a WEEELABEX Organisation's decision to de-list him. The procedure is set out in the B06 Appeals process for WEEELABEX Systems and Operators document.

5.3.5 WEEELABEX Auditors (or candidate WEEELABEX Auditors)

A candidate WEEELABEX Auditor can appeal against a WEEELABEX Organisation's decision not to list him; an existing WEEELABEX Auditor can appeal against a WEEELABEX Organisation's decision to de-list him. A WEEELABEX Auditor may appeal against a decision made in respect of breaches of the auditor rules of engagement and process requirements. The procedure is set out in the A08 Appeals Process for WEEELABEX Auditors document.

5.3.6 WEEELABEX System (or candidate WEEELABEX System)

A WEEELABEX System can appeal against a WEEELABEX Organisation's decision to refuse its membership; an existing WEEELABEX System can appeal against a WEEELABEX Organisation's decision to terminate its membership. A WEEELABEX System may appeal against a decision made in respect of breaches of the membership requirements as laid down in the articles of association and the internal rules. The procedure is set out in Governance Document (V7.)

6. Control of WEEELABEX Marks

The purpose of this section is to define the rules for the WEEELABEX Organisation's control of the use of the WEEELABEX marks.

The WEEELABEX Marks remain the copyright of the WEEELABEX Organisation and arrangements for its use under agreement, its format and security features will form part of the contract arrangements with WEEELABEX Systems, WEEELABEX Auditors and WEEELABEX Operators.

6.1 Conditions of use

6.1.1 WEEELABEX Systems

WEEELABEX Systems shall be permitted to use the WEEELABEX Mark and wording in communications and other media in a manner that complies with the requirements set out in the Articles of Association that each WEEELABEX System signs on joining the Organisation.

6.1.2 WEEELABEX Auditors

WEEELABEX Auditors listed by the WEEELABEX Office to perform WEEELABEX conformity verification audits (see section 2) shall be permitted to use the WEEELABEX mark and wording in communications with clients and prospective clients and other media in a manner that complies with the requirements set out in the A03 Auditor Agreement.

6.1.3 WEEELABEX Operators

WEEELABEX Operators listed by the WEEELABEX Office as meeting the WEEELABEX requirements (see section 3) shall be permitted to use the WEEELABEX Mark and wording in communications with clients and prospective clients and other media in a manner that complies with the requirements set out in the B03TR Agreement for Treatment and Preparation for Re-use Operators *or B03CL Agreement for Collection and Logistics Operators* document.

This Mark shall contain reference to the type of Operator and the **WEEE** streams (and exclusions *and details*) being the scope of the conformity verification.

6.2 Use of marks

The purpose of this section is to set out how the WEEELABEX Mark may be used, and includes information regarding how other associated marks (such as the auditor's company's own marks) shall be arranged with it. The scope relates to any Mark or wording used by a party.

- 6.2.1 The use of a WEEELABEX Mark indicates that a WEEELABEX Auditor or Operator has undergone a process to the requirements set down in sections 2 and 3. The WEEELABEX Mark shall not be used unless the WEEELABEX Auditor or Operator has been listed in accordance with this Guidance document.
- 6.2.2 A WEEELABEX System may use the WEEELABEX Mark for promotional materials to indicate that they are members, and that their suppliers are WEEELABEX Operators, and thus meet with the requirements of the WEEELABEX Organisation.
- 6.2.3 The WEEELABEX System(s)' or the auditor's company's own marks may be incorporated on the front cover of the audit plan; audit statement; audit report and/or summary report, but may not appear on the Attestation of Conformity document confirming compliance to the requirements of the WEEELABEX Auditor or Operator assessment process. The WEEELABEX System(s)' or the auditor's company's own marks may be their company logo or other logo that they choose to use.
- 6.2.4 For all documents the WEEELABEX Mark shall not be placed within the same line box as the WEEELABEX System(s)' or auditor's company's own marks.
- 6.2.5 The WEEELABEX Mark and associated wording may only be used on literature and websites relating to the specific purpose for which approval has been granted and that are stated on the Attestation of Conformity document. Such literature can include, but is not limited to:
 - websites;
 - sales brochures, videos, banners; and
 - published articles.

- 6.2.6 Use of the WEEELABEX Marks or wording in relation to a **WEEE** stream which is not covered by the scope of a relevant approval is specifically forbidden. Sales literature containing information about other auditing services or **WEEE** streams must make it clear that they are not covered by the approval.
- 6.2.7 The WEEELABEX Operator shall ensure that:
- The requirements of the WEEELABEX Organisation are followed at all times;
 - the WEEE processed by it under a valid current listing, and using the WEEELABEX Mark, shall conform at all times with the requirements of this Guidance document; and
 - the B03TR Agreement for Treatment and Preparation for Re-use Operators *or* B03CL Agreement for Collection and Logistics Operators terms and conditions set by the WEEELABEX Office are complied with at all times.
- 6.2.8 In the event of de-listing of a WEEELABEX System, Auditor or Operator, howsoever arising, they shall immediately and without undue delay:
- cease using the WEEELABEX Marks by removing or obliterating them; and
 - cease making any claims of approval and remove WEEELABEX Mark from all literature and documentation; and
 - return the Attestation of Conformity document to the WEEELABEX Office.
- 6.2.9 Misuse and misrepresentation of WEEELABEX Marks

Misuse of WEEELABEX Marks is defined as, but not limited to, abuse, wrongful exploitation, or mishandling. For example, this might include use of the WEEELABEX Mark by a party entitled to use it, but using it in an incorrect manner.

6.2.9.1 Misrepresentation of WEEELABEX Marks is defined as, but not limited to, distortion, or falsification. For example, this might include use of the Mark by a party not entitled to use it at all or in relation to achievement of a different auditor level or non-certified **WEEE** streams.

6.2.10 Copyright

The WEEELABEX Marks described within this document are owned and are copyright of: the WEEELABEX Organisation.

6.2.11 Reporting

The WEEELABEX Office can accept reports of misuse or misrepresentation from any person; party or organisation but will verify the veracity of such comments before taking any action which may include:

- requiring the WEEELABEX System and/or Auditor to investigate and report the case;
- participating in the investigation; or
- investigating the case itself.

6.2.11.1 WEEELABEX Auditors shall report any suspected misuse of the WEEELABEX Mark to the WEEELABEX Office and the environmental regulatory body where they believe there is a suspicion of clear criminal or fraudulent use. In such cases the WEEELABEX Office shall be informed immediately. WEEELABEX Auditors will, where applicable, assist the WEEELABEX Office in the investigation of cases of suspected misuse without charge.

6.2.11.2 In less serious cases of suspected misuse (such as genuinely misinterpreted use of the mark) the WEEELABEX Office shall take appropriate action to remedy the misuse.

6.2.11.3 Where misrepresentation is found to be wilful, the WEEELABEX Office shall suspend, and where appropriate de-list that WEEELABEX System, Auditor or Operator.

6.2.11.4 If a remedy is not found, or in more serious cases, the WEEELABEX Office may take steps to initiate legal action.

7. Records and reporting

7.1 Data collection

Data will be collected to monitor the WEEELABEX conformity verification process. Information is collated annually by the WEEELABEX Office through its own records and from information reported by WEEELABEX Auditors during the course of their work, and presented to the WEEELABEX General Assembly for review.

Data from batch test(s) and special performance test(s) can be used for research purposes within the framework of the Conformity verification process. Data collected will be aggregated and/or anonymised for further analysis and publications.

7.2 Responsibilities of the WEEELABEX General Assembly

The responsibilities of the WEEELABEX General Assembly may be found in the Governance document.

7.3 Responsibilities of the WEEELABEX Office

The WEEELABEX Office will:

- collate, and analyse the data and report this to the WEEELABEX General Assembly;
- in conjunction with the WEEELABEX General Assembly, agree amendments to data requirements;
- inform the WEEELABEX Auditors of any changes in reporting or audit process requirements; and
- receive and assess feedback on the WEEELABEX conformity verification process for consideration of possible future improvements.

7.4 Type of data

The reported data required may include the numbers of applications for the conformity verification process; the number of WEEELABEX Systems; Auditors and Operators and any other such non-confidential data as required by the WEEELABEX General Assembly.

7.5 Records

The WEEELABEX Office, will in the course of its' work, generate and receive a number of application forms (with supporting information); agreements and audit and test reports as well as written complaints or appeals.

7.5.1 All records will be kept securely and under the control of the WEEELABEX Organisation's documented system kept by the WEEELABEX Office for a minimum period as defined by the WEEELABEX Office internal documents or as required by Czech Republic law.

7.5.2 All information acquired by the WEEELABEX Office about a (candidate) WEEELABEX System; Auditor or Operator, shall be confidential and shall not be disclosed to a third party without the prior written agreement of the party concerned, except where mandated by law or required by the WEEELABEX documents and rules.

7.5.3 The WEEELABEX Office shall use equipment and software that ensure the secure handling of confidential information (e.g. records retention rules, storage and handling).

7.5.4 No information shall be made public or used in advertising or publicity material without the permission of the WEEELABEX Governing Council except such information contained on an Attestation of Conformity document issued in accordance with the requirement set down in this Guidance document.

7.5.5 No information regarding complaints or appeals other than the number of complaints, the average resolution time and the number of upheld complaints may be made public or used in any way.

7.6 Sharing of information for reporting purposes

The purpose of this section is to detail what information is to be collected by the WEEELABEX Office.

7.6.1 This information is used to determine the effectiveness of the WEEELABEX conformity verification process and to help make continual improvements. The information that is deemed necessary includes:

- the names and addresses of WEEELABEX Auditors performing audits;
- the numbers and types of audits performed each year;
- the numbers of WEEELABEX Systems initiating audits;
- the numbers of (candidate) WEEELABEX Operators initiating audits;
- the names and facility addresses of the WEEELABEX Operators and the **WEEE** streams (and exclusions **and details**) applicable to their conformity verification;
- the definitive versions of Audit Summary reports (in English) of each General and Surveillance Audit (and Exceptional Audits where applicable) that has been closed (and shall be made available to WEEELABEX Member Systems only - **only applicable in the case when the WEEELABEX Member System commissioned and paid for the WEEELABEX conformity verification process**);
- the definitive versions of Audit reports, Batch test reports and Specialist audit reports;
- any discovered misuse or misrepresentation of WEEELABEX Marks.

7.7 Sharing of information for promotional or other purposes

7.7.1 Press releases may contain any non-confidential information contained within this Guidance document and any new information relating to the purpose, scope and operation of the WEEELABEX conformity verification process.

7.7.2 Presentations and articles for trade journals may contain any non-confidential information contained within this document and any new information relating to the purpose, scope and operation of the WEEELABEX conformity verification process.

7.7.3 The WEEELABEX Office will make public the names and address of WEEELABEX Systems; Auditors and Operators listed on the website. Additions, suspensions or removal of a WEEELABEX Auditor's or Operator's details from a listing will also be published.

Annex 1: Audit Duration Tables

As stated in 4.1.1 - WEEELABEX Audits will be performed against criteria enabling Operators to become approved for one or more **WEEE** streams depending on the type of activity they perform:

- A. Large appliances*
- B. Mixed equipment*
- C. Temperature exchange equipment*
- D. CRT display appliances*
- E. Flat panel display equipment*
- F. Gas discharge lamps*
- G. Photovoltaic panels*
- H. Others*

* Definitions and descriptions of the WEEE streams are defined in the document “B02TR Eligibility of Treatment *and Preparation for Re-use* Operators” *and* “B02CL Eligibility of Collection and Logistics Operators”

Each **WEEE** stream is determined by the type of **activity** out to the following types:

- Type 1:** Manual treatment, 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).
- Re-use:** *Preparation for re-use process (checking, cleaning, or repairing recovery operations, by which products or components of products that have become waste are prepared so that they can be re-used without any other pre-processing).*
- Collection:** *Gathering of WEEE, including the preliminary sorting and preliminary storage of WEEE for the purposes of transport to a logistics facility or a treatment facility.*
- Logistics:** *Planning, implementing, and controlling of the transportation, handling, preliminary storage and/or sorting of WEEE from the point of origin to point of delivery.*

The audit duration will therefore depend on the **WEEE** stream(s) being **managed** at the audit site; and the type of **activity** that is performed by the (candidate) WEEELABEX Operator.

Table A.1 defines the **minimum on-site audit duration** for “*treatment*” and “*preparation for re-use*” **processes** as described in the clause 4.5.

Tables A.1 and A.2 on the following page are designed to represent the normal operations of WEEE treatment facilities. The WEEELABEX Lead Auditor will be required to interpret the tables given the knowledge and / or information available regarding the (candidate) WEEELABEX Operator and the number and types of **WEEE** streams requiring conformity verification. This information will be found in the completed B01TR Declaration of Intent Form for Treatment *and Preparation for Re-use* Operators *or the B01CL Declaration of Intent Form for Collection and Logistics Operators* document submitted by the (candidate) WEEELABEX Operator.

Table A.3 defines the minimum on-site audit duration for “collection” and “logistics” processes as described in the clause 4.5.

FACTORS FOR ADJUSTMENTS OF AUDIT DURATION

When several **WEEE** streams are treated at the facility, and the minimum duration of the audit calculated upon tables A.1 and A.2 *or A.3* may have different values depending on the stream selected, the duration of the audit will be the **highest value of the different possibilities**. The additional factors that need to be considered include but are not limited to:

Increase in audit duration:

- Complicated **WEEE** streams involving more than one building;
- High degree of regulation at site (e.g. other hazardous processes, etc.);

- System covers highly complex processes or relatively high number of unique activities;
- Indirect aspects necessitating increase of auditor time (e.g. immaturity of the management system and / or WEEE operations)
- Additional or unusual environmental aspects or regulated conditions for the locality.

Decrease in audit duration:

- The on-site audit duration time may be reduced by maximum of 25% in total in the following cases:
 - in case of a Surveillance audit or a consecutive General audit, if there are not any significant changes of the process, and, if there are not any changes of the audit requirements (defined in the valid WEEELABEX certification scheme).

Table A.1 (Applicable for Treatment and Preparation for Re-use operators)

	Class I	Class II	Class III	Class IV
Number of WEEELABEX Auditors	2	2	1	1
General Audit: duration (on-site)	2 days (4 audit-man-days in total)	1-2 days (2-4 audit-man-days in total)	1 days (1 audit-man-day in total)	1 day (1 audit-man-day in total)
Surveillance Audit: duration (on-site)	2 days (4 audit-man-days in total)	1 day (2 audit-man-days in total)	1 day (1 audit-man-day in total)	0,5 day (0,5 audit-man-day in total)
Specialist performance test: number of audit team members and duration (on-site)	(depending on the capacity and complexity of the treatment process)	(depending on the capacity and complexity of the treatment process)	(depending on the capacity and complexity of the treatment process)	(depending on the capacity and complexity of the treatment process)
Batch Test: number of audit team members and duration (on-site)	(depending on the capacity and complexity of the treatment process)	(depending on the capacity and complexity of the treatment process)	(depending on the capacity and complexity of the treatment process)	(depending on the capacity and complexity of the treatment process)

The WEEELABEX Lead Auditor is expected to be present throughout the General Audit and the Surveillance Audit at all time. The defined number of WEEELABEX Auditors and defined on-site audit duration is applicable to a General audit and a Surveillance audit only. The number of audit team members for a Batch test and a Specialist performance test depends on the tasks to be performed, the treatment capacity and the complexity of the treatment process.

For a General audit and Surveillance audit different combinations of number of WEEELABEX Auditors and on-site audit duration may be applied if the following requirements are met:

- The total number of audit-man-days is equivalent to the Table A.1
- The combination is accepted by the Lead Auditor
- The combination is accepted by the party that initiated the Conformity Verification process

Table A.2 (Applicable for Treatment and Preparation for Re-use operators)

Operator Type	Treatment Process Stream	Description	< 500 t	500 t - 2 500 t	2 500 t - 10 000 t	> 10 000 t
			The weights are per treatment process stream			
Type 1	A, B	Manual dismantling, including all or some depollution.	Class IV	Class IV	Class III	Class III
Type 1	C, D, E, G, H	Manual dismantling, including all or some depollution.	Class III	Class III	Class II	Class II
Type 2 or 3 or Re-use (or Type 1 & 2 and/or 3 and/or re-use combined operator)	A, B	Mechanical treatment (pre-treatment and intermediate treatment), including some or all depollution (where indicated). Advanced mechanical treatment, including some or all depollution (where indicated). Preparation for re-use process (checking, cleaning, or repairing recovery operations, by which products or components of products that have become waste are prepared so that they can be re-used without any other pre-processing).	Class III	Class II	Class II	Class I
Type 2 or 3 or Re-use (or Type 1 & 2 and/or 3 and/or re-use combined operator)	C, D, E, F, G, H	Mechanical treatment (pre-treatment and intermediate treatment), including some or all depollution (where indicated). Preparation for re-use process (checking, cleaning, or repairing recovery operations, by which products or components of products that have become waste are prepared so that they can be re-used without any other pre-processing).	Class III	Class II	Class I	Class I

Table A.3 (Applicable for Collection and Logistics Operators)

	Collection point*	Collection facility*	Logistics facility* < 2 500 t the weights are the sum of all managed streams	Logistics facility* > 2 500 t the weights are the sum of all managed streams	combined Collection and Logistics facility*
Number of WEEELABEX Auditors	1	1	1	1	1
General Audit: duration (on-site)	2 hours (0,25 audit-man-days in total)	0,5 days (0,5 audit-man-days in total)	0,5 days (0,5 audit-man-days in total)	1 day (1 audit-man-days in total)	1 day (1 audit-man-days in total)
Surveillance Audit: duration (on-site)	2 hours (0,25 audit-man-days in total)	0,5 days (0,5 audit-man-days in total)	0,5 days (0,5 audit-man-days in total)	0,5 days (0,5 audit-man-days in total)	1 day (1 audit-man-days in total)

* Operator type definitions as per the EN CLC/TS 50625-4 are as follows:

- **Collection point** = location where consumers and, or businesses may deposit WEEE prior to sorting, storage and preparing for re-use or treatment (A collection point can be temporary or permanent. The collection of WEEE is, in general, not the core activity at the location. It can be, for example, a collection bin or other collection mechanism provided at a retail or not-for-profit outlet, public building, community space.)
- **Collection facility** = location designated for the gathering of WEEE to facilitate separate collection (In general, collection means gathering of WEEE, including the preliminary sorting and preliminary storage of WEEE for the purposes of transport to a logistics facility or a treatment facility. The collection facility has as its core activity waste and/or WEEE collection, e.g. a municipal or non-municipal collection centre, unlike a collection point.)
- **Logistics facility** = facility for receiving and preparing for transportation to WEEE treatment facilities (In general, logistics means planning, implementing and controlling of the transportation, handling, preliminary storage and/or sorting of WEEE from point of origin to point of delivery. Transport can also be carried out to preparing for re-use facilities. Sorting can also take place at logistics facilities.)

The WEEELABEX Auditor is expected to be present throughout the General Audit and the Surveillance Audit at all time. The defined number of WEEELABEX Auditors and defined on-site audit duration is applicable to a General audit and a Surveillance audit.

For a General audit and Surveillance audit different combinations of number of WEEELABEX Auditors and on-site audit duration may be applied if the following requirements are met:

- The total number of audit-man-days is equivalent to the Table A.1
- The combination is accepted by the Lead Auditor
- The combination is accepted by the party that initiated the Conformity Verification process