Title	**AT02TR WEEELABEX Attestation Eligibility and Guideline for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION**
Status	**Definitive**
Revision / Date	**Rev 1_version 1** – 24th May 2021

Content

1. Context and eligibility of treatment and preparing for re-use operators

The WEEELABEX attestation conformity verification process described in this document (hereinafter also as “Attestation”) is out of scope of the accredited WEEELABEX certification process.

This document is based on the **non-accredited WEEELABEX attestation scheme - AT2101.**

1.1 Eligibility of treatment and preparing for re-use operators

This non-accredited attestation process is available only for “small-scale” treatment and/or preparing for re-use operators treating less than 500 tons of WEEE a year per one WEEE stream as specified in the clause 2 (hereinafter as “Operator”).

1.2 Attestation context

The Attestation indicates that a treatment or preparing for re-use operator complies with the requirements of the WEEELABEX Attestation documents that are based on the selected requirements of the EN 50625 series standards and EN 50614 (hereinafter as “EN standards”). The Attestation covers only selected critical requirements (hereinafter also as “critical WEEELABEX requirements”, or “WEEELABEX requirements”), and that is why it does not indicate any full-scale compliance with the above-mentioned EN standards.

The critical requirements covered by the Attestation have been determined by the WEEELABEX organisation in order to prove compliance with core elements of above-mentioned EN standards.

2. Scope

2.3 WEEELABEX Audits will be performed against eight WEEE streams enabling Operators to become approved for one or more WEEE streams depending on the type of treatment activity they perform (see figure 1).

2.4 The following WEEE streams can be individually or collectively included within the scope of an approved WEEELABEX Operator’s Attestation Audit:

A Large appliance (WEEE Category 4; may contain electric water boilers/heaters and radiators containing oil belonging to Category 1)
B Mixed equipment (WEEE Categories 5, 6; may contain large appliances Category 4 associated with collection and/or treatment of small equipment; may contain radiators containing oil belonging to Category 1)
C Temperature exchange equipment (WEEE Category 1)
D CRT display appliances (WEEE Category 2) and cathode ray tubes
E Flat panel display equipment (WEEE Category 2) and flat panel displays
F Gas discharge lamps (WEEE Category 3)
G Photovoltaic panels (WEEE Category 4)
H Other (other process streams or variations which appear to fall outside of these shall be discussed with the WEEELABEX Office at the time of application. The WEEELABEX Office may refer the matter to the Governing Council for a decision)

Note: The WEEE Categories are based on the DIRECTIVE 2012/19/EU OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 4 July 2012 on waste electrical and electronic equipment (WEEE)

2.4.1 The respective WEEE stream or streams for which a WEEELABEX Attestation has been carried out shall be included in the listing information published, and the “Attestation of Conformity” document issued by the WEEELABEX Office to the attested Operator.

2.5 Each WEEE stream will be determined by the type of process carried out:

Type 0: Manual cannibalisation of appliances (no depollution)
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).
Type 4: End-processing (pure fractions), or incineration / energy from waste facilities.

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).

2.5.1 Eligible process types:

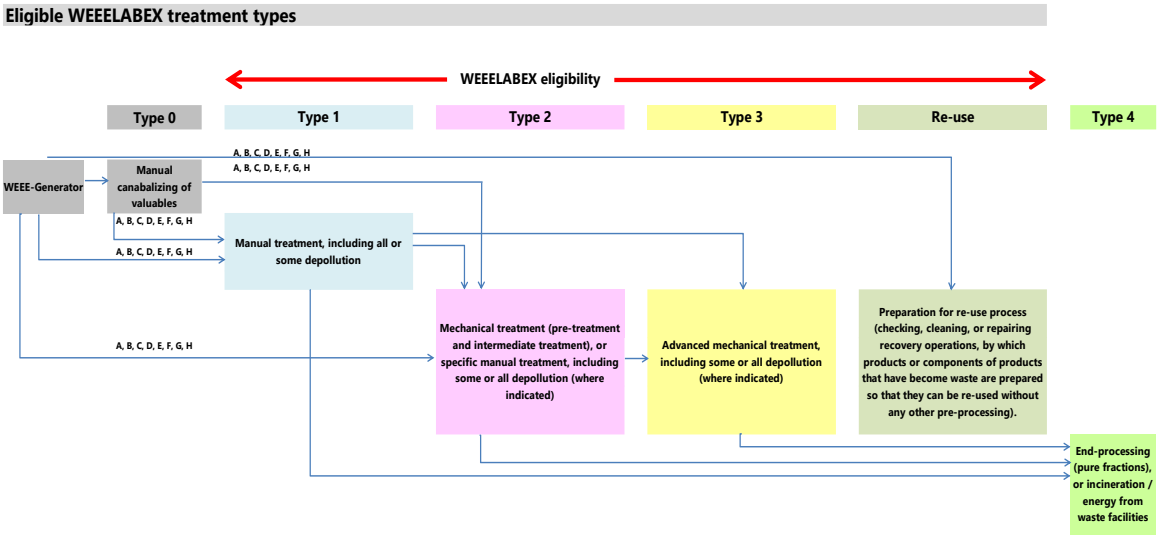

Figure 1

2.3.1 Only operators performing Type 1, Type 2 and Type 3 treatments or preparing for re-use process (either singularly or together at the same site) may apply for WEEELABEX Attestation. Type 0: Manual cannibalisation of appliances (no depollution) operators will not be eligible to apply for WEEELABEX attestation at any time.

2.3.2 A more detailed description of the activities performed by the above treatment types and examples may be found at *Annex 2* and *Annex 3.*

2.3.3 Operators may perform a singular or combination of Type 1, Type 2 and Type 3 treatment or preparing for re-use process activities at their facility for one or several of the WEEE streams noted in clause 2.2. An operator may seek Attestation for all or for only some selected activities performed at his facility for the relevant WEEE stream.

2.6 An operator who performs Type 1 treatment operations alone will only be attested as a WEEELABEX Operator if he is able to record the downstream treatment of WEEE and fractions thereof by a subsequent Type 2 or Type 3 or another Type 1 operator. The documentation shall contain at least:

- copies of legal authorisation and transportation documents;
- results from a batch test(s) for non-pure fraction(s) that is sent from the Type 1 operator to the subsequent Type 2 or Type 3 or another Type 1 operator (where such a fraction contains 2 % or more impurities by mass, and this fraction is greater than 20 % of the mass of the original input material to the treatment process). Batch test shall be performed according to the EN 50625-1, Annex D.
- results from a special performance test on the material that is sent from the Type 1 operator to the subsequent Type 2 or another Type 1 operator (the special performance test shall be performed according to the EN 50625-2-3 and CLC/TS 50625-3-4 for temperature exchange equipment and validated by a WEEELABEX specialist auditor);
- de-pollution monitoring according to the WEEELABEX requirements for treatment process streams C, D, E, F and G (see clause 2.2); and
- documents that record downstream monitoring of each fraction and records describing the determination of recycling and recovery rates (an overview of the downstream documentation required is given in Annex 4).

If the downstream operator(s) is WEEELABEX attested (or certified), above mentioned 2.4 article documentation shall not be necessary.

2.7 Operators who perform Type 2 or Type 3 treatment operations and who receive partially treated appliances from a Type 0 and/or a Type 1 and/or a Type 2 operator (who is not attested or certified as a WEEELABEX Operator) will only be considered for Attestation as an WEEELABEX Operator if he (the Type 2 or Type 3 operator) can provide evidence of the checks and depollution activities he

performs to ensure that the partially treated appliances meet with the WEEELABEX requirements (see Annex 3 for examples of “treat” and “partially treat”).

3. Procedure

3.1 Primarily the Type 1 operator who receives and treats[1] the WEEE is expected to seek Attestation and be responsible for ensuring that all downstream partners meet with all of the WEEELABEX requirements.

3.2 Type 2 treatment operators receiving partially treated WEEE from a Type 1 (candidate) WEEELABEX Operator will be required to undertake separate Attestation to determine compliance with the requirements of the WEEELABEX requirements.

NOTE: An example of a Type 2 operator in this instance would be a facility where ‘step two’ treatment of temperature exchange equipment is carried out (treatment of cabinets and capture of the blowing agent). Other examples are given in the Annex 2 and Annex 3.

3.3 Type 2 treatment operators receiving partially treated WEEE from a Type 1 operator may choose to seek separate Attestation to determine compliance with the WEEELABEX requirements.

NOTE: An example of a Type 2 operator in this instance would be a facility that receives partially treated WEEE from a Type 1 operator who has signalled they are not able or inclined to seek full Attestation conformity verification in their own right. The WEEE received by a Type 2 operator in this manner may be in addition to other WEEE streams received directly from the WEEE generator. Other examples are given in the Annex 2 and Annex 3.

3.4 Type 3 treatment operators receiving WEEE fractions or components may choose to seek Attestation to determine compliance with the WEEELABEX requirements.

NOTE 1: An example of a Type 3 operator would be a facility where plastics are treated to remove impurities (BFRs) and separate the polymers etc. to end-of-waste status. Other examples are given in the Annex 2 and 3.

NOTE 2: Waste brokers[2] may also be eligible after the auditing service will be announced by WEEELABEX Organization whereby their management systems and their downstream partners would be audited (independently) to verify the routes and compliance with the WEEELABEX requirements whilst maintaining the confidentiality of their commercial downstream chain.

3.5 Preparing for re-use operators receiving whole WEEE or fractions or components may choose to seek Attestation to determine compliance with the WEEELABEX requirements.

NOTE 1: Preparing for re-use process means 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.

4. Definitions

“**Operator”**	Means any treatment facility which accepts WEEE (household / non-household) and which performs Type 1 and / or Type 2 depollution / disassembly treatment activities or Type 3 advanced treatment, or preparation for re-use activities at that facility. In general, through-out this document and other WEEELABEX documents, the term “operator” means either “treatment operator”, or “preparation for re-use operator” or a combination of the noted types.
“Treat”	Excludes those facilities which only undertake a basic process such as cutting off of the cable / plug. Depollution and / or some further disassembly needs to be carried out as a minimum.
“Preparing for re-use”	Preparing for re-use process covers 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.
“Waste broker”	A person or organisation who makes arrangements on behalf of others to handle, transport, dispose or recover controlled waste, but do not handle, transport or dispose or recover the waste themselves. A waste broker shares responsibility for the proper transfer of the waste with the holders before and after its transfer.

[1] See Annex 2 and 3

[2] See 4. Definitions

As they control what happens to the waste, waste brokers are legally responsible for the arrangement and so must ensure it is taken to a facility licensed to accept and treat / dispose of the waste being transferred.
They will be expected to use treatment operators who conform to the WEEELABEX requirements.
Waste brokers include waste dealers who acquire waste and sell it on.

5. Approved Auditors for Attestation audits

Only certified WEEELABEX Auditors are approved to perform WEEELABEX Attestation audits. The list of certified WEEELABEX Auditors is available on the WEEELABEX website: https://www.weeelabex.org/list-of-certified-weeelabex-auditors/.

5.1 Level of Auditor

There are three different levels (qualifications) of auditor which reflects the respective auditing experience / skills of the auditor:

- Auditor
- Lead Auditor
- Specialist Auditor

5.2 The following Auditors qualifications are requested for the Attestation audits:

WEEE STREAM		REQUIRED AUDITOR QUALIFICATION
A	Large appliance	WEEELABEX Lead Auditor
B	Mixed equipment	WEEELABEX Lead Auditor
C	Temperature exchange equipment	WEEELABEX Lead Auditor who is qualified as WEEELABEX CFA Specialist auditor as well
D	CRT display appliances and cathode ray tubes	WEEELABEX Lead Auditor
E	Flat panel display equipment and flat panel displays	WEEELABEX Lead Auditor
F	Gas discharge lamps	WEEELABEX Lead Auditor who is qualified as WEEELABEX Lamps Specialist auditor as well
G	Photovoltaic panels	WEEELABEX Lead Auditor
H	Other	WEEELABEX Lead Auditor

6. Approval requirements for WEEELABEX Operators

6.1 Acceptance criteria

A candidate WEEELABEX Operator shall meet the requirements of this document and in the terms and conditions set down in the AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION.

Listing as an attested WEEELABEX Operator provides interested parties (mainly WEEELABEX Systems[3]) with an acknowledgement that their treatment processes and operations have been undergone an Attestation process by an approved WEEELABEX Lead auditor and, that as a consequence, they meet with the selected critical WEEELABEX requirements.

[3] WEEELABEX systems are WEEE systems that are members of the WEEELABEX organisation. Eligibility is reserved, inter alia, to (individual or collective) WEEE systems that are contracted by producers to undertake producer obligations related to WEEE legislation.

6.2 Application

Candidate WEEELABEX Operators are required to complete and submit the AT01TR Declaration of Intent Form for Treatment and Preparing for Re-use Operators – Attestation to the WEEELABEX Office. The Declaration of Intent shall be submitted for each new Attestation process cycle (it means including each consecutive attestation conformity verification process).

Approval and listing as an attested WEEELABEX Operator will be subject to meeting with the critical WEEELABEX requirements, and on-going adherence to the requirements set out in the terms and conditions in this document and in the AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION.

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 attestation process. This fee may be varied from time to time according to the requirements of the WEEELABEX Organization. The Application Fee is non-refundable once the Declaration of Intent is submitted to the WEEELABEX organisation. The application fee is not charged in case of a consecutive attestation conformity verification process.

6.3 Approval

The WEEELABEX Office shall send a letter to the candidate WEEELABEX Operator provisionally confirming their listing as an attested WEEELABEX Operator, subject to the operator signing and returning the AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION and attestation fee. By signing this document, the operator is agreeing to all the terms and conditions of the WEEELABEX Organisation and his status as an attested WEEELABEX Operator will be confirmed, allowing use of the Attestation of Conformity document (which shall be sent with the final confirmation) and the special attestation WEEELABEX Mark.

6.3.1 Approval period

The validity of the attestation is 24 months from the date of attestation. WEEELABEX Operator attestation 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 AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION and the requirements of this document are met.

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

6.3.2 Attestation fees

An attestation fee shall be paid by the operator for each of the WEEE streams (being the subject of the attestation 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.

6.4 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 6.4.1. This is essential as changes might affect the validity of the attestation conformity verification process .

6.4.1 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 7.4.2)	Audit of alterations and any affected processes.
Dissolution of WEEELABEX Operator company.	Listing withdrawn. Re-attestation 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 Lead auditor aware of undeclared changes in a WEEELABEX Operator's business status	WEEELABEX Lead 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 Lead auditor.
Different WEEE streams handled	Re-audit of new processes for different WEEE streams.

Table 1 Change of details consequences

6.4.2 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.

6.5 Corrective action, suspension, and withdrawal

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

6.5.1 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.

6.5.2 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.

6.5.3 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.

6.5.4 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 attestation are set down in the document AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION.

7. Attestation conformity verification system

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

- Self-assessment by the operator - to ensure they are ready for the attestation conformity verification process ;
- Proposal of the WEEELABEX Lead auditor; and if required; additional members of the Audit Team;
- Completion and submission of the AT01TR Declaration of Intent Form for Treatment and Preparing for Re-use Operators – Attestation by the operator to the WEEELABEX Office with the supporting documentation specified;
- Attestation Audit for treatment and preparing 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 AT04TR Auditor Manual for treatment and preparing for re-use – Attestation (including Batch tests and Specialist performance tests if applicable);
- Completion of the Audit Report and Summary Report by the WEEELABEX Lead auditor 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.

7.1 De-centralisation of the attestation process

The WEEELABEX attestation approach is de-centralised in nature. Audits are conducted by certified WEEELABEX Lead auditors (being Lead Auditors, Auditors and/or Specialist Auditors). The WEEELABEX Office records the outcome of the conformity verification audit and decides to attest 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) an operator unilaterally seeks to have its' treatment WEEE streams independently audited.

7.1.1 WEEELABEX Audits will be performed against WEEE streams as defined in the clause 2.2 of this document enabling operators to become attested for one or more WEEE streams depending on the type of activity they perform.

7.1.2 Each WEEE stream will be determined by the type of activity carried out as defined in the clause 2.3 of this document:

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: Preparing 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).

7.1.3 Currently, operators performing type 1 and/or type 2 and/or type 3 treatments, and/or preparing for re-use (either singularly or together at the same site) may apply for WEEELABEX Attestation.

7.2 Selection of the WEEELABEX Lead auditor

The WEEELABEX System or the (candidate) WEEELABEX Operator initiating the attestation process may suggest a selection of a listed WEEELABEX Lead auditor to WEEELABEX Office, however, the final nomination of the WEEELABEX Lead auditor is the responsibility of the WEEELABEX Organisation. The WEEELABEX System or the (candidate) WEEELABEX Operator initiating the attestation process contracts directly with the WEEELABEX Lead auditor or his/her company to perform the audit having ascertained with the WEEELABEX Organisation that the audit team consists of certified WEEELABEX Lead auditors and that the members of the audit team conform with the requirements defined below.

7.2.1 Audit team

For all General and Specialist audits, there shall be at least one WEEELABEX Lead auditor (or Specialist auditor) with the competencies required (see the clause 5 for details).

7.2.2 Appointment length

A WEEELABEX Lead auditor shall be appointed for the WEEELABEX Audit. It is recommended that the same Lead auditor should be retained (as a minimum) to perform the General Audit and subsequent Surveillance Audit.
In case when a WEEELABEX Lead auditor is not appointed to perform the Surveillance Audit (in the year after the General Audit was performed), then the outgoing WEEELABEX Lead auditor is required to provide the succeeding WEEELABEX Lead 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 for the General audit and a different Lead auditor for Surveillance audit, both lead auditors shall be stated on the 'Attestation of Conformity' document of the audited operator.
In case there is a different Lead 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.

7.2.3 Audit Service Fee

The service fees of the WEEELABEX Lead auditor(s) and the Audit team are paid by the WEEELABEX Member System ordering a given WEEELABEX attestation process or by the operator if he is initiating the WEEELABEX attestation process.
The service fees of WEEELABEX Lead auditor(s) and the Audit team for conducting the general and surveillance audits 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 Lead auditor or his/her auditing company and shall be subject of free market competition.

7.2.4 Language of the audit

The WEEELABEX Lead auditor must have sufficient knowledge of the local language, besides English.
When neither Lead 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.

7.2.5 Conflict of interest

Where a WEEELABEX Lead 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.

7.2.6 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 Lead 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.

7.3 Responsibilities of the members of the Audit Team

7.3.1 Nominated 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 attestation 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 attestation process (batches, performance test) among the different actors involved (auditees, WEEELABEX Office);
- supervise the planning of the activities included in the attestation 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 (the batch test may be carried out by the audited Operator including completion of the batch test report and including laboratory or hand-picking analysis if applicable);
- validation of the batch test report carried out by the Operator;
- completion of the final audit report and summary report.

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

- compiling and issuing a comprehensive audit plan;
- considering any previous audit, TEE performance test, Lamps audit and batch test findings (opened or closed);
- reviewing any audit, TEE performance test, Lamps audit and batch test reports issued previously (the reports shall be made available by the (candidate) WEEELABEX Operator;
- initiate and plan the TEE performance test and batch test, or Lamps 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 TEE performance test / batch test are in place (the TEE performance test and batch test and Lamps batch test may be carried out by the Operator including completion of the batch test report and including laboratory or hand-picking analysis if applicable);
- validation of the TEE performance test and batch test and Lamps batch test reports carried out by the Operator;
- completion of the final audit report and summary report.

7.4 Audit categories

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

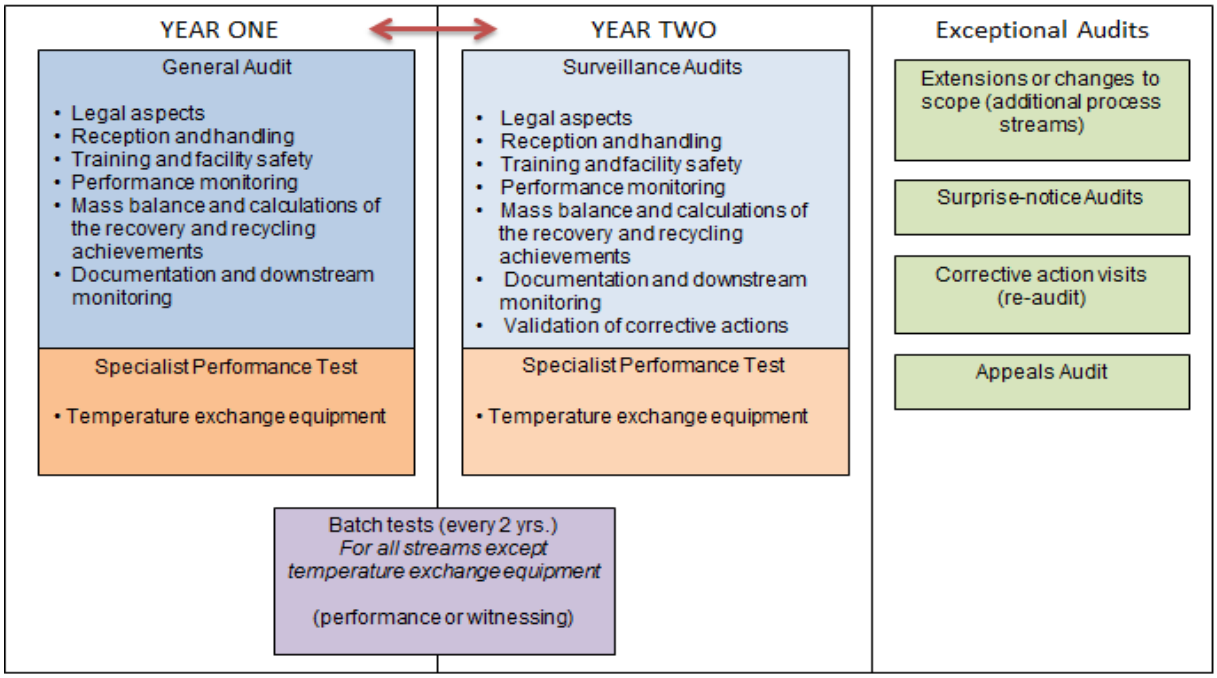

Figure 2 – Audit Categories and timing for Treatment and Preparing for Re-use operators

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

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 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 will review any corrective action the (candidate) WEEELABEX Operator has taken to conclude any non-conformities identified during previous audits.

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

The General Audit is the formal and primary evaluation of the implementation and effectiveness of the operator's system to achieve and maintain conformity of the process in compliance with the critical 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, 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.

7.4.2 Surveillance Audit

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 critical 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 7.8 for details).

7.4.2.1 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.

7.4.2.2 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 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

7.4.2.3 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 streams or 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

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

Specialist performance tests shall be performed annually. It shall be performed and validated by the WEEELABEX CFA Specialist auditor including completion of related reports at sites where the temperature exchange equipment process stream is to be included in the attestation of the WEEELABEX Operator.

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

7.4.3.1 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.

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

7.4.4 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 2 of this document (the subject of the WEEELABEX attestation conformity verification process) at least every two years.

Batch tests may be performed by the audited Operator including completion related batch test report. A batch test report is to be reviewed and validated by a WEEELABEX Lead auditor. A batch test for gas discharge lamps is to be reviewed and validated by a WEEELABEX Specialist Lamps Auditor. A batch test for temperature exchange equipment is to be reviewed and validated by a WEEELABEX Specialist CFA Auditor.

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

Batch test(s) 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; or by the (candidate) WEEELABEX Operator, when the batch test report shall be reviewed and validated by a WEEELABEX Lead auditor. Validation shall comprise a verification of the documentation, and assessment of compliance with the critical WEEELABEX requirements.

The minimal volume of input material, which must be treated during a Batch Test is described in the critical WEEELABEX requirements. The minimum volume may be reduced for operators treating less than 100 t of one treatment stream per year (for detailes see the WEEELABEX Official Statement_2016_005 Batch test minimum amounts of input material for small-scale).

Where only one treatment stream (and no other material) is processed by a treatment operator, then the operator may use annual mass balance data to calculate the recycling and recovery rates (for detailes see the WEEELABEX Official Statement_2015_001 Use of annual data instead of a Batch test results).

When required by the critical 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 critical WEEELABEX requirements. These documents contain also target and limit values and methods for sampling and for manual and chemical analysis.

7.4.5 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.

7.4.5.1 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 is required to provide a plan of the audit to the WEEELABEX Operator in line with the requirements of 7.8.1.
- The audit service fees are paid by whichever party is initiating the extension or change to scope process.

7.4.5.2 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 is required to provide a plan of the audit to the WEEELABEX Operator in line with the requirements of 7.8.1.
- The audit service fees are paid by whichever party is initiating the General Audit.

7.4.5.3 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.
- Surprise-notice audits are planned such that they are targeted to specific areas of the WEEELABEX Operator's activity.
- The WEEELABEX Lead auditor is not required to give any notice of a surprise-notice audit or to provide a plan of the surprise audit to the WEEELABEX Operator. The WEEELABEX Operator is required to admit the WEEELABEX Lead 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.

7.4.5.4 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 7.8.1.
- The procedure is set out in the clause 8 Surprise-notice audits are planned such that they are targeted to specific areas of the WEEELABEX Operator's activity.

7.5 Audit Duration

Audit duration is the effective time measured in the number of WEEELABEX 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 Operator and / or facility personnel and report writing.

7.5.1 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.

7.5.1.1 The WEEELABEX Lead 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.

7.5.1.2 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.

7.5.1.3 The minimum on-site audit duration as defined in the Annex 1 can be split between a personal on-site presence and a web meeting/webcam distance audit and distance documents/records review in the ratio up-to 50%.

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

7.6 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.

7.7 Declaration of Intent

AT01TR Declaration of Intent Form for Treatment and Preparing for Re-use Operators – Attestation – the form is the start of the application process and a pre-condition for the first General Audit (the first attestation conformity verification process respectively), and then for each consecutive General Audit (consecutive attestation 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 Attestation conformity verification process cycle (it means including each consecutive attestation 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.

7.7.1 The Declaration of Intent form requires the proposal of the WEEELABEX Lead auditor - 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).

7.7.2 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 this document and that the proposed WEEELABEX Lead auditor is nominated (or not) by the WEEELABEX Office.

7.7.2.1 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.

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

7.7.3 The WEEELABEX Office shall set up any necessary records required to monitor the attestation 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 or Specialist Auditor at the operator´s site unless “Acknowledgement” e-mail from the WEEELABEX Office verifies readiness for Attestation 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.

7.8 Audit documents

7.8.1 Audit Plan

The WEEELABEX Lead auditor shall submit an AT05.5TR 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 confirm and return a copy to the Lead auditor within two days of receipt to confirm the date is accepted. The confirmed copy of the Audit Plan shall be submitted to the WEEELABEX Office by the Lead Auditor without undue delay.

7.8.2 Audit Statement

Before the WEEELABEX Lead auditor leaves the audited facility, he/she and the (candidate) WEEELABEX Operator signs the AT05.1TR 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.

7.8.3 Batch validation Report / Specialist Performance Test Reports

The WEEELABEX Operator performing the batch test and/or WEEELABEX CFA Specialist auditor performing specialist test will complete the relevant audit reports. These will include the results of all external laboratory tests performed, if applicable. These reports will be submitted to the WEEELABEX Lead auditor for review and validation and for inclusion in the Summary Audit report.

7.8.4 Audit Report

The AT05.2TR 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 audited WEEE streams treated 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 audited WEEE streams;
- specific questions: one question, and one answer, specific for every (or some) specific audited WEEE streams.

All questions have been given a specific priority - Priority 1: all questions are important and relates to specific objectives set down in the critical WEEELABEX requirements. 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 will conclude the AT05.2TR 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 will consider any such response but his decision whether or not to include them will be final.

When all the reports listed in 7.8.6 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 Lead 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 is then responsible to send the definitive Audit report to the WEEELABEX Office as a PDF file (together with the definitive Summary report).

7.8.5 Audit Summary report

The WEEELABEX Lead auditor will complete Part 1 of the AT05.4TR Audit Summary report with the outcome of conformity verification audit processes (the General / Surveillance audits). 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.

7.8.5.1 Non-conformances:

- All non-conformances 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.

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

7.8.5.3 If the corrective actions are not concluded, then the recommendation to list the (Candidate) WEEELABEX Operator shall not be given by the WEEELABEX Lead auditor (or a recommendation made to de-list).

7.8.5.4 If the same 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. If the same 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.

7.8.5.5 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 AT05.4TR 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 AT05.4TR Audit Summary report with a recommendation (or not) for the (candidate) WEEELABEX Operator to be listed attested (or a recommendation made to de-list). Lead 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.

7.8.5.6 The Lead Auditor is then responsible to send the definitive AT05.4TR Audit Summary report (Part 1 and Part 2) to the WEEELABEX Office as a PDF file (together with the definitive Audit report).

7.8.6 Summary of audit process documents

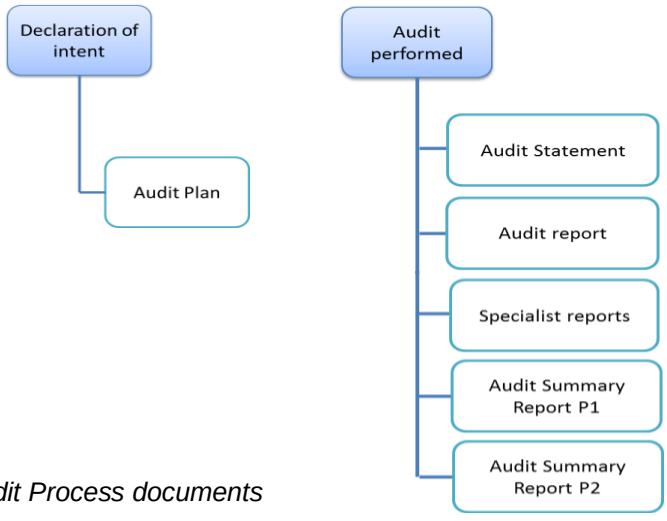

Figure 3 Audit Process documents

7.8.7 Circulation of documents

The WEEELABEX Lead auditor shall provide a copy of 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 attestation conformity verification process).
The WEEELABEX Operator shall own the batch and specialist test reports; the definitive audit report and is therefore the sole party that decides to share these documents with other WEEELABEX Systems. The WEEELABEX Operator may not share the WEEELABEX audit reports with other third-parties.

7.9 Attestation

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

- the recommendation is made in the Audit Summary report by the nominated Lead auditor (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 are met, and
- review of the submitted report(s) is performed by the WEEELABEX Office, and the attestation decision is made by the WEEELABEX Organisation Manging 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 Attestation conformity verification process are met within 30 working days from the date of receipt of the Audit Summary report.

7.9.2 Listing the attested WEEELABEX Operator on the WEEELABEX Organisation's website is conditional upon the completion of the AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION and payment of the registration fee, as set out in clause 6.3 and 6.4 of this document.

7.9.3 The attestation listing will, amongst other things, mention:

- the WEEE streams attested (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 that conducted the General audit and the Surveillance audit.

7.9.4 An 'Attestation of Conformity' document confirming the details of the listing will be issued to the WEEELABEX Operator, which shall mention those items noted in 7.9.3 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 attestation;
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 attestation scheme";
e) the WEEE streams attested (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

7.9.5 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.

7.10 Review (Quality Management)

The WEEELABEX Organisation has implemented a quality management system to ensure the quality of the attestation process.

A quality review of the audits performed by WEEELABEX Lead 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 Lead auditor within the WEEELABEX attestation 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 confidentially agreement to keep the confidentiality of the information.

The WEEELABEX Lead 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 Lead 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.

8. Complaints and appeals

8.1 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.

8.2 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.

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

8.2.2 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.

8.2.3 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.

8.2.4 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.

8.2.5 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.

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

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

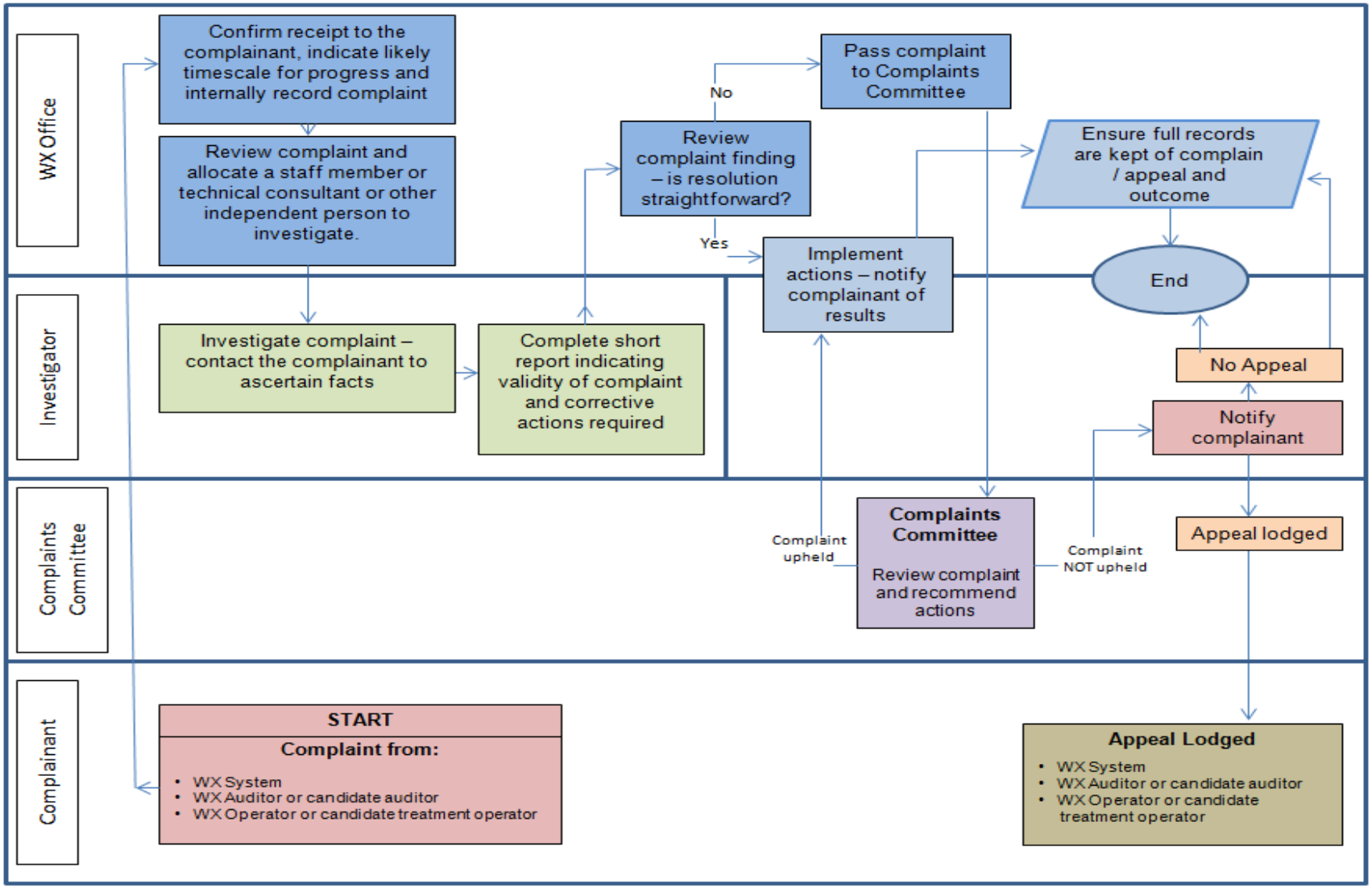

Figure 4 complaints process

8.3 Appeal Procedure

8.3.1 All (candidate) WEEELABEX operators, (candidate) WEEELABEX Systems or (candidate) WEEELABEX Lead 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.

8.3.2 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.

8.3.3 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.

8.3.4 Conformity Verification

A WEEELABEX Operator or a WEEELABEX System may appeal against the outcome of an audit process.

8.3.5 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.

9. 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 Lead auditors and WEEELABEX Operators.

9.1 Conditions of use

9.1.1 WEEELABEX Operators

WEEELABEX Operators attested by the WEEELABEX Office as meeting the critical WEEELABEX requirements 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 AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION document.

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

9.2 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.

9.2.1 The use of a WEEELABEX Mark indicates that a WEEELABEX Operator has undergone a process to the requirements set down in this document. The WEEELABEX Mark shall not be used unless the WEEELABEX Operator has been attested in accordance with this document.

9.2.2 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.

9.2.3 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 WEEE streams must make it clear that they are not covered by the approval.

9.2.4 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 document; and
- the AT03TR Agreement for Treatment and Preparing for Re-use Operators – NON-ACCREDITED ATTESTATION terms and conditions set by the WEEELABEX Office are complied with at all times.

9.2.5 In the event of de-listing of a WEEELABEX 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.

9.2.6 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.
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 non-attested WEEE streams.

9.2.7 Copyright

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

9.2.8 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 Lead auditor to investigate and report the case;
- participating in the investigation; or
- investigating the case itself.

9.2.8.1 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.

9.2.8.2 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.

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

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

10. Records and reporting

10.1 Data collection

Data will be collected to monitor the WEEELABEX attestation 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 Attestation conformity verification process . Data collected will be aggregated and/or anonymised for further analysis and publications.

10.2 Responsibilities of the WEEELABEX General Assembly

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

10.3 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 attestation conformity verification process for consideration of possible future improvements.

10.4 Type of data

The reported data required may include the numbers of applications for the attestation 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.

10.5 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.

10.5.1 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.

10.5.2 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.

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

10.5.4 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.

10.5.5 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.

10.6 Sharing of information for reporting purposes

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

10.6.1 This information is used to determine the effectiveness of the WEEELABEX attestation 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 attestation conformity verification process);
- any discovered misuse or misrepresentation of WEEELABEX Marks.

10.7 Sharing of information for promotional or other purposes

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

10.7.2 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 attestation conformity verification process .

10.7.3 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 this document clause 2.

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: Preparing 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).

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 "preparing for re-use" processes. The minimum on-site audit duration can be split between a personal on-site presence and a web meeting/webcam distance audit and distance documents/records review in the ratio up-to 50%.

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 AT01TR Declaration of Intent Form for Treatment and Preparing for Re-use Operators – Attestation document submitted by the (candidate) WEEELABEX Operator.

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 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 attestation scheme).

Table A.1

	Class III	Class IV
Number of WEEELABEX Lead auditors	1	1
General Audit: duration (on-site)	1 days (1 audit-man-day in total)	1 day (1 audit-man-day in total)
Surveillance Audit: duration (on-site)	1 day (1 audit-man-day in total)	0,5 day (0,5 audit-man-day in total)

The WEEELABEX Lead auditor is expected to be present throughout the General Audit and the Surveillance Audit at all time (the minimum on-site audit duration can be split between a personal on-site presence and a web meeting/webcam distance audit and distance documents/records review in the ratio up-to 50%).

Table A.2

Operator Type	Treatment Process Stream	Description	**< 500 t** The weights are **per** treatment process stream a year
Type 1	A, B	Manual dismantling, including all or some depollution.	Class IV
Type 1	C, D, E, G, H	Manual dismantling, including all or some depollution.	Class III
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). Preparing 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
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). Preparing 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

Annex 2

Eligible WEEELABEX treatment processes

		Type 1		Type 2		Type 3		Type 4
		Manual treatment	Manual De-pollution	Mecha-nical treatment	De-pollution	Advanced mechanical treatment	De-pollution	End-processing
A	Large Appliances 	Removal of cables	Removal of PCB and electrolyte capacitors	Removal of motors	Removal of PCB and electrolyte capacitors	Additional treatment of fractions and components such as:	Additional removal of hazardous component/substances such as:	Refining
		Removal of casing (metal, plastics)	Removal of batteries	Removal of cables	Removal of batteries	Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics (if applicable)	Material recovery
		Removal of motors	Removal of mercury containing components	Separation of ferrous fractions	Removal of circuit boards			Incineration / Energy recovery
		Removal of electric components	Removal of circuit boards	Separation of non-ferrous fractions	Removal of plastics containing BFR (if applicable)	Printed circuit boards: manual sorting of printed circuit boards based on various qualities; shredding; sorting of Fe and non-Fe metals; preparation for the final refinery/smelting	Printed circuit boards: removal of capacitors and/or batteries	Landfilling
				Separation of plastics fractions	Removal or destroy of blowing agent (VFC/VHC) from PU insulation removed from electric water boilers/heaters – see the WEEELABEX statement no. 2016_003 for details			
			Removal of asbestos and components with asbestos	Separation of other fractions		Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous/non-hazardous); shredding and removal of hazardous substances	
			Removal of plastics containing BFR (if applicable)	Downsizing				
			Removal of LCD					
			Removal of lamps					
			Removal of fluids (including oil form oil containing radiators)					
			Removal of components containing refractory ceramic fibres			Mixed fractions and components: additional dismantling/shredding and subsequent sorting/segregation of metals, plastics and other materials	Mixed fractions and components: removal of capacitors and/or batteries and/or circuit boards and/or BFRs plastics (if applicable)	
			Removal of PU insulation containing VFC/VHC from electric water boilers/heaters			Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics (if applicable)	

		Type 1		Type 2		Type 3		Type 4
		Manual treatment	Manual De-pollution	Mecha-nical treatment	De-pollution	Advanced mechanical treatment	De-pollution	End-processing
B	**Mixed equipment** 	Removal of cables	Removal of PCB and electrolyte capacitors	Removal of motors	Removal of PCB and electrolyte capacitors	Additional treatment of fractions and components such as:	Additional removal of hazardous component/substances such as:	Refining
		Removal of casing (metal, plastics)	Removal of batteries	Removal of cables	Removal of batteries	Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics	Material recovery
		Removal of motors	Removal of mercury containing components	Separation of ferrous fractions	Removal of circuit boards			Incineration / Energy recovery
		Removal of electric components	Removal of circuit boards	Separation of non-ferrous fractions	Removal of plastics containing BFR	Printed circuit boards: manual sorting of printed circuit boards based on various qualities; shredding; sorting of Fe and non-Fe metals; preparation for the final refinery/smelting	Printed circuit boards: removal of capacitors and/or batteries	Landfilling
			Removal of toner cartridges	Separation of plastics fractions				
			Removal of asbestos and components with asbestos	Separation of other fractions				
			Removal of plastics containing BFR	Downsizing				
			Removal of LCD			Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous/non-hazardous); shredding and removal of hazardous substances	
			Removal of lamps					
			Removal of radioactive substances					
			Removal of fluids (including oil form oil containing radiators)					
			Removal of components containing refractory ceramic fibres			Mixed fractions and components: additional dismantling/shredding and subsequent sorting/segregation of metals, plastics and other materials	Mixed fractions and components: removal of capacitors and/or batteries and/or circuit boards and/or BFRs plastics	
						Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics	
						Toner cartridges: preparation for re-use or shredding and separation of fractions	Toner cartridges: removal of hazardous substances	

C

Temperature exchange equipment

Type 1		Type 2		Type 3		Type 4
Manual treatment	**Manual De-pollution**	**Mecha-nical treatment**	**De-pollution**	**Advanced mechanical treatment**	**De-pollution**	**End-processing**
Removal of cables	Removal of oil from the cooling circuit	Removal of cables	Removal of blowing agent (VFC/VHC) from PU insulation	Additional treatment of fractions and components such as:	Additional removal of hazardous component/substances such as:	Refining
Removal of interior parts (containers etc.)	Removal of VFC/VHC from the cooling circuit	Separation of ferrous fractions	Removal of PU foam from output fractions	VFC/VHC liquified gasses: preparation steps before incineration or chemical de-composition (e.g. sorting/segregation; mixing; spill from one container to another one, etc.)	VFC/VHC liquified gasses: avoid leakage and emissions of VFC/VHC gasses	Material recovery
Removal of casing (metal, plastics, glass)	Removal of PCB and electrolyte capacitors	Separation of non-ferrous fractions	Removal of plastics containing BFR (if applicable)			Incineration / Energy recovery
Removal of compressors	Removal of mercury containing components	Separation of plastics fractions		Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics (if applicable)	Landfilling
	Removal of circuit boards	Separation of PU fractions				
	Removal of LCD	Separation of other fractions				
	Removal of lamps	Downsizing				
	Removal of lamps			Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous/non-hazardous); shredding and removal of hazardous substances	
	Removal of oil from the oil containing radiators					
	Removal of PU insulation containing VFC/VHC from electric water boilers/heaters			Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics (if applicable)	
	Removal of NH3 from ammonia appliances					

		Type 1		Type 2		Type 3		Type 4
		Manual treatment	Manual De-pollution	Mecha-nical treatment	De-pollution	Advanced mechanical treatment	De-pollution	End-processing
D	**CRT display appliances**	Removal of cables	Removal of PCB and electrolyte capacitors	Removal of cables	Removal of PCB and electrolyte capacitors	Additional treatment of fractions and components such as:	Additional removal of hazardous component/substances such as:	Refining
		Removal of casing (metal, plastics)	Removal of plastics containing BFR	Separation of ferrous fractions	Removal of plastics containing BFR	CRT glass: advanced mechanical treatment of CRT glass (e.g. preparation of the glass for final use (e.g. mixing, advanced cleaning, size reduction, etc.)	CRT glass: advanced mechanical removal of fluorescent coating from fractions (WEEELABEX Statement 2014_002)	Material recovery
		Removal of electron gun	Removal of circuit boards	Separation of non-ferrous fractions	Removal of circuit boards			Incineration / Energy recovery
		Removal of shadow mask		Separation of plastics fractions	Manual or mechanical separation of funnel and panel glass		CRT glass: advanced sorting of panel and funnel glass	Landfilling
				Separation of other fractions	Manual or mechanical removal of fluorescent coating	Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics (if applicable)	
				Downsizing		Printed circuit boards: manual sorting of printed circuit boards based on various qualities; shredding; sorting of Fe and non-Fe metals; preparation for the final refinery/smelting	Printed circuit boards: removal of capacitors and/or batteries	
						Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous/non-hazardous); shredding and removal of hazardous substances	
						Mixed fractions and components: additional dismantling/shredding and subsequent sorting/segregation of metals, plastics and other materials	Mixed fractions and components: removal of capacitors and/or batteries and/or circuit boards and/or BFRs plastics	
						Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics	

		Type 1		Type 2		Type 3		Type 4
		Manual treatment	Manual De-pollution	Mecha-nical treatment	De-pollution	Advanced mechanical treatment	De-pollution	End-processing
E	Flat panel display equipment	Removal of cables	Removal of circuit boards	Removal of cables	Removal of circuit boards	Additional treatment of fractions and components such as:	Additional removal of hazardous component /substances such as:	Refining
		Removal of casing (metal, plastics)	Removal of LCD	Separation of ferrous fractions	Removal of plastics containing BFR	Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics	Material recovery
			Removal of CCFL	Separation of non-ferrous fractions	Separation of mercury			Incineration / Energy recovery
			Removal of plastics containing BFR	Separation of plastics fractions		Printed circuit boards: manual sorting of printed circuit boards based on various qualities; shredding; sorting of Fe and non-Fe metals; preparation for the final refinery/smelting	Printed circuit boards: removal of capacitors and/or batteries	Landfilling
				Separation of other fractions				
				Downsizing				
						Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous /non-hazardous); shredding and removal of hazardous substances	
						Mixed fractions and components: additional dismantling /shredding and subsequent sorting/segregation of metals, plastics and other materials	Mixed fractions and components: removal of capacitors and/or batteries and/or circuit boards and/or BFRs plastics	
						Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics	

		Type 1		Type 2		Type 3		Type 4
		Manual treatment	Manual De-pollution	Mecha-nical treatment	De-pollution	Advanced mechanical treatment	De-pollution	End-processing
F	Gas discharge lamps			Separation of ferrous fractions	Removal of fluorescent coating	Additional treatment of fractions and components such as:	Additional removal of hazardous component /substances such as:	Refining
				Separation of non-ferrous fractions	Separation of mercury	Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics	Material recovery
				Separation of plastics fractions				Incineration / Energy recovery
				Separation of other fractions		Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous /non-hazardous); shredding and removal of hazardous substances	Landfilling
				Downsizing		Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics	

		Type 1		Type 2		Type 3		Type 4
		Manual treatment	Manual De-pollution	Mecha-nical treatment	De-pollution	Advanced mechanical treatment	De-pollution	End-processing
G	**Photovoltaic panels**	Removal of cables	Removal of PCB and electrolyte capacitors	Removal of metallic lead or lead solder	Removal of hazardous substances in the semiconductor layer, including contacts	Additional treatment of fractions and components such as:	Additional removal of hazardous component/substances such as:	Refining
		Removal of casing	Removal of batteries	Removal of circuit boards	Removal of plastics containing BFR	Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation	Plastics: sorting/segregation of BFRs plastics	Material recovery
		Removal of electric components	Removal of circuit boards		Downsizing			Incineration / Energy recovery
		Separation of ferrous fractions	Removal of plastics containing BFR			Printed circuit boards: manual sorting of printed circuit boards based on various qualities; shredding; sorting of Fe and non-Fe metals; preparation for the final refinery/smelting	Printed circuit boards: removal of capacitors and/or batteries	Landfilling
		Separation of non-ferrous fractions	Removal of fluids			Capacitors: shredding and segregation of metals	Capacitors: sorting of various types of capacitors (hazardous/non-hazardous); shredding and removal of hazardous substances	
		Separation of other fractions	Separation of plastics fractions			Mixed fractions and components: additional dismantling/shredding and subsequent sorting/segregation of metals, plastics and other materials	Mixed fractions and components: removal of capacitors and/or batteries and/or circuit boards and/or BFRs plastics	
						Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials	Mixed shredded fractions: removal of circuit boards and/or BFRs plastics	

ANNEX 3

Examples of operators:

Type 0	Type 1	Type 2	Type 3	Type 4
An operator who only manually removes the ferrous metal and motor and cables – no depollution is performed. They do not work within the framework of the WEEE Directive.	A facility that performs the step 1 degassing of cooling and freezing equipment and who then passes the degassed unit to a Type 2 operator who performs the step 2 treatment. A facility that collects large household appliances and manually removes the cables and plugs; the motor and the capacitors – he then sends the remaining carcass and it is sent to a further WEEE facility for the mechanical treatment (type 2). A facility that collects large household appliances and manual strips and depollutes the whole appliance, sending the resulting materials to a type 2 or a type 3 operator for downsizing of fractions or further treatment etc. They may also send some fractions (pure ferrous) to a type 4 operator (or via brokers / intermediaries). A facility that collects / receives televisions and monitors and who manually removes the CRT tube and plastics and other components, but who does not dismantle the CRT tube itself A facility that collects / receives televisions and monitors and who manually removes the CRT tube and plastics and other	A facility that receives partially or fully depolluted large household appliances, which he processes through his mechanical system, separating the metals and plastics and aggregate fractions – he sends these fractions to either a type 3 operator (the plastics) or a type 4 end-processor. A facility that receives mixed non-ferrous fractions derived from WEEE pre-treatment sites and processes these in his mechanical plant to depollute and separate all of the fractions, remove the capacitors etc. , sending the resulting materials to a type 3 operator for downsizing of fractions or further treatment etc. They may also send some fractions (pure ferrous) to a type 4 operator (or via brokers / intermediaries). A facility that receives the whole CRT tubes from a type 1 operator and who processes them in his plant to manually split the panel and funnel glass and then clean the glass (manually or mechanically) A facility that receives the whole or broken CRT tubes from a type 1 operator and who processes them in his plant to mechanically	A facility that receives fractions or components that require further advanced treatment and/or de-pollution such as: Plastics: sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation. De-pollution: sorting/segregation of BFRs plastics. Printed circuit boards: manual sorting of printed circuit boards based on various qualities; shredding; sorting of Fe and non-Fe metals; preparation for the final refinery/smelting. De-pollution: removal of capacitors and/or batteries. Capacitors: shredding and segregation of metals. De-pollution: sorting of various types of capacitors (hazardous/non-hazardous); shredding and removal of hazardous substances. Mixed fractions and components: additional dismantling/shredding and subsequent sorting/segregation of metals, plastics and other materials. De-pollution: removal of capacitors and/or batteries and/or circuit boards and/or BFRs plastics. Mixed shredded fractions: additional sorting/segregation of metals, plastics and other materials. De-pollution: removal of circuit boards and/or BFRs plastics.	A recycling facility that receives fractions that require no further treatment. e.g. a smelter who processes pure ferrous metals (less than 2% impurities); e.g. a facility that processes one-polymer type plastic into an end-of waste product. e.g. a facility that processes cleaned CRT glass into an end-of waste product.

	components, and who then breaks the CRT tube (but does not remove the fluorescent coating). A facility that collects / receives flat panel displays (televisions and monitors and laptop screens) and who manually removes the backlight lamps and plastics and other components but does not treat these components A facility that collects / receives flat panel displays (televisions and monitors and laptop screens) and who manually removes circuit boards and capacitors but who does not extract the backlight lamps A facility that manually disassembles ICT equipment to remove the value materials and cables – no depollution is performed – they then send the remaining materials to a type 3 operator.	clean the glass before using as an aggregate product. A facility that performs the step 2 treatment of cooling and freezing equipment to capture the blowing agent from the PUR foam. A facility that collects / receives flat panel displays (televisions and monitors) and who mechanically processes them to remove the fluorescent and mercury. A facility that receives flat panel displays without plastics and other components but with backlight lamps and which process them manually to remove the backlight lamps (to send to another type 2 operator) or who mechanically processes the backlight lamps to remove the fluorescent and mercury	Toner cartridges: preparation for re-use or shredding and separation of fractions. De-pollution: removal of hazardous substances. CRT glass: advanced mechanical treatment of CRT glass (e.g. preparation of the glass for final use (e.g. mixing, advanced cleaning, size reduction, etc.) De-pollution: advanced mechanical removal of fluorescent coating from fractions (WEEELABEX Statement 2014_002); advanced sorting of panel and funnel glass. VFC/VHC liquified gasses: preparation steps before incineration or chemical de-composition (e.g. sorting/segregation; mixing; spill from one container to another one, etc.) De-pollution: avoid leakage and emissions of VFC/VHC gasses during this process.	

Preparing for re-use	Preparing for re-use process covers 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.

Note: An operator may be a **combination of the above types** - For example:

1) A facility that collects / receives waste cooling and freezing appliances, and who performs the step 1 (degassing) and step 2 (removal of the PU foam and capture of the blowing agent) processes all at the same site would be considered to be a Type 1 and Type 2 combined operator; or
2) A facility that collects / receives small appliances, and performs Type 1 manual de-pollution, then Type 2 mechanical treatment of de-polluted appliances, and then Type 3 advanced mechanical treatment of shredded fraction (e.g. separation of fractions) and/or Type 3 treatment of plastics (e.g. sorting/segregation of metal impurities; sorting of different types of plastics like ABS, PS; granulation and sorting/segregation of BFRs plastics) processes all at the same site would be considered to be a Type 1 and Type 2 and Type 3 combined operator.
3) A facility that collects / receives WEEE and performs re-use activities and also performs the Type1/Type2/Type3 treatment processes would be considered to be a Type 1 and Type 2 and Type 3 and Re-use combined operator.

ANNEX 4

An overview of the downstream documentation required according to the Clause 2.4:

The table below summarises all the information required on fractions for the purpose of downstream monitoring and establishment of recycling and recovery rates. The information recorded shall give a just account of day-to-day business and all outlets used. It will therefore be applicable to both batch and annual data.

Table - Summary of information requirements:

Information Required for Downstream Monitoring and Establishment of Recycling & Recovery rates:	Mass	Composition	Classification of final use of fractions	Final Treatment Technology(ies)	Information on First Acceptor	Information on Downstream Acceptor(s), including Final Acceptor
Fractions that have reached end-of-waste status	(ii)	(iii)		(ii)		
Metal fractions which contain less than 2 % of non-metal fractions	(iii)	(ii)	(ii)	(ii)		
Non-metal fractions containing less than 2 % of other materials	(iii)	(ii)	(ii)	(iii)	(i)	
Fractions which are classified as hazardous according to the European list of wastes and/or fractions containing materials and components covered by Annex F of EN 50625-1	(iii)	(ii)	(ii)	(iii)	(iii)	(i)
Final fractions being forwarded for energy recovery or disposal	(ii)		(ii)	(i)		(iii)
All other fractions	(iii)	(iii)	(ii)	(iii)	(iii)	

Key

(i) Requirement specified in 4.4 of the standard EN 50625-1

(ii) Requirement specified in Annex C of the standard EN 50625-1

(iii) Requirement specified in both 4.4 and Annex C of the standard EN 50625-1

Specifically, the documents/records shall contain following information for specific fractions:

Fractions which are classified as hazardous and/or capacitors, accumulators, batteries:

- data on the mass of the whole WEEE or output fraction,
- information on the first acceptor,
- information on the downstream acceptor(s) of the fraction,
- the final treatment technology,
- authorisation of the final acceptor(s).

Final fractions being forwarded for energy recovery or disposal:

- the final treatment technology,
- information on the downstream acceptor(s) of the fraction,
- composition of the fractions.

Fractions that have reached end-of-waste status:

- data on the mass of the output fraction,
- data on the composition of the fraction,
- intended technology.

Metal fractions which contain less than 2 % of non-metal fractions:

- data on the mass of the output fraction,
- the type of treatment technology (it may be estimated).

Non-metal fractions containing less than 2 % of other materials:

- data on the mass of the output fraction,
- information on the first acceptor,
- the final treatment technology (it may be declared by the first acceptor),
- classification of final use (recycling and recovery rate) of the fraction in the treatment technology (it may be estimated based on the final treatment technology).

All other fractions:

- the mass of the output fraction,
- information on the first acceptor,
- composition of the fractions (it may be declared by the first acceptor),
- final treatment technology (it may be declared by the first acceptor),
- classification of final use (recycling and recovery rate) of the fraction in the treatment technology (it may be estimated based on the final treatment technology).