

Title	A01 Auditor Application Process
Status	Definitive
Revision / Date	Rev06_version 1 – 1st September 2025

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1 Context

This document describes the steps which are required in order to create a pool of WEEELABEX auditors. It describes the basic process rules for the *Auditor certification in accordance with the WEEELABEX Conformity Verification documents based on WEEELABEX Certification scheme - Auditors EUro A2501 as defined in the document B 04 WEEELABEX Guidance Document (hereinafter “WEEELABEX requirements”)*, including auditor application, selection, examination process and follow up of the listing.

2 Application

2.1 Call for expression of interest

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

- A publication on the WEEELABEX website
- WEEELABEX Organization mailing list
- WEEELABEX System’s mailing lists
- A press release

2.2 Application of candidate WEEELABEX auditor

Candidates are required to submit a completed application form (see Annex 1) to the WEEELABEX Organisation.

2.3 Assessment of candidate WEEELABEX auditor application

The WEEELABEX Office will evaluate the candidate auditor’s ability to meet the criterion set down in the A02 Auditor Profile document, and agree which level of auditor the candidate will be able to apply for, whereupon the candidate will be invited to participate in the next available examination workshop and sit an examination.

The examination fee shall be paid in full by the candidate auditor or their auditing company with the application. The application will not be processed until such fee is paid.

A receipted invoice will be sent to the candidate by the WEEELABEX Office.

The written English in the application has to be of a good level, to be clear and understandable by the WEEELABEX Office.

When the number of suitable applications received exceeds the number of participants allowed for a examination workshop, candidates will be selected in order of receipt of the application (i.e. candidate applications received first will be selected first). Unselected candidates approved for the examination workshop will be guaranteed a place at the next available examination workshop.

2.4 Decision on the candidate WEEELABEX auditor application

The WEEELABEX Managing Director will disclose the decision taken to the candidate related to the different auditor types and stages.

If the decision is a positive one, the WEEELABEX Managing Director will specify to the candidate the precise information about the examination workshop in which he will be entitled to participate.

3 Auditors qualification process

3.1 WEEELABEX examination workshop

The candidate WEEELABEX auditor will be entitled to participate in the examination workshop(s) indicated by the WEEELABEX Office according to the expressed interest: general or specialist auditor.

The examination workshops will be organized by the WEEELABEX Office and based on the audit examination concept and curricula and the audit examination documentation developed by the examiners (document A06 Auditor examination process concept and curriculum).

3.2 Examination process

In order to become an approved WEEELABEX Auditor, each candidate has to successfully pass an evaluation of their knowledge of the WEEELABEX standards and organisation, and their behaviour “as an auditor”.

To become an approved WEEELABEX auditor, the candidate has to successfully pass the examination(s) before, during and at the end of the WEEELABEX examination workshop they attend.

Participants will be evaluated according to the following points:

- ***Participation in the independent / open-book “distance exam”.***

A set of written exercises will be provided to all candidates selected for the examination process. The responses must be submitted to the WEEELABEX Office within the indicated term and way. The WEEELABEX Office will communicate the score obtained by the candidate before the physical examination workshop.

A minimum score of 80% has to be obtained to successfully pass this part of the exercise and to be entitled to attend the face to face examination workshop.

Candidates failing to reach the minimum score will be given one additional attempt, within the indicated term. If the candidate fail both attempts he will be required to submit a new application, pay a reduced fee, and re-start the examination process.

- ***On continuous assessment during the face to face examination workshop***

Candidates will be required to fully participate in workshops and activities during the face to face examination workshop. Examiner(s) will evaluate punctuality, participation and professionalism (which will be defined as ‘not sufficient’ or ‘sufficient’ in the evaluation process of every candidate).

- ***At the end of the face to face examination workshop, sit a final exam.***

Candidates will be required to sit an open-book exam at the end of the examination workshop. They must obtain a minimum score of **80%** to successfully pass this part of the evaluation process.

If the candidate fail to obtain the minimum score, he will be required to pay a reduced fee that will allow him to one more attempt. This exam will take place under the supervision of a competent examiner. Upon failure of both attempts, he will be required to submit a new application and re-start the examination process.

Participants that have successfully passed the evaluation process will be informed by the WEEELABEX Office within 30 days of the examination workshop. The information provided will at least include: details of listing, the auditor agreement for signing and state when the JPG of the WEEELABEX Mark will be sent (e.g. when signed agreement is received).

4 Approval and listing of WEEELABEX auditor

4.1 Listing

Listing will be subject to the candidate signing and returning the A03 Auditor Agreement. By signing this document, the candidate is agreeing to the terms and conditions of the WEEELABEX Office; at which time his application to be an Approved WEEELABEX Auditor will be complete, allowing use of the WEEELABEX Mark.

The WEEELABEX Organisation will list the candidate auditor as a WEEELABEX Auditor and shall issue an 'attestation document'. The listing operated by the WEEELABEX Office will indicate the type and status of an auditor (general, specialist and / or lead auditor); language skills and the name of the auditor's company and their contact details.

The listing will be published on the WEEELABEX website.

4.2 Appeal

If a candidate is not listed he can appeal to the WEEELABEX Office within a timeframe of fifteen days after the reception of the negative decision. Details of the appeal process will be available in due course.

5 Continuous professional improvement within the WEEELABEX Conformity Verification

After being listed, a WEEELABEX Auditor is required to maintain the on-going professional competency requirements set down by the WEEELABEX Office from time to time, for as long as the listing is continued.

Approved WEEELABEX Auditors shall assist at / perform at least one WEEELABEX audit in the first twelve months following confirmation of their approval to remain listed.

All WEEELABEX Auditors are required to participate in at least one WEEELABEX examination day per year, organized by the WEEELABEX Office. Additional examination days may be provided by the WEEELABEX Office which may be subject to a further examination fee.

All WEEELABEX Auditors must also attend at least one "experience day" a year to share audit experiences in order to develop the WEEELABEX audit process and audits tools.

6 Upgrading of WEEELABEX auditor status

The upgrading of a WEEELABEX Auditor's status to that of Lead Auditor or to that of Specialist Auditor shall require the successful completion of further examination and / or the additional experience requirements set down in the A02 Auditor Profile document.

6.1 Application

Approved WEEELABEX auditors may apply to the WEEELABEX Office to be upgraded to the status of Lead Auditor (general audits) when they have assisted at six or more general WEEELABEX Audits, including one closed audit performed as a trainee lead auditor under the supervision of WEEELABEX Lead Auditor in three consecutive years.

Application should be made in a letter addressed to the WEEELABEX Managing Director, providing supporting evidence of the WEEELABEX Audits concerned; a letter of attestation from the Lead Auditor(s) in charge of the Audit Team on those occasions.

For upgrading to status of Specialist Auditor, see clause 3.1.

6.2 Evaluation

The evaluation of the application for upgrading of the WEEELABEX auditor stage will be under the responsibility of the WEEELABEX General Manager. He will evaluate the application and

the auditing activities based on predefined key performance indicators. The number of performed audits has to be justified by corresponding summary reports. The decision upon upgrading will be disclosed by the WEEELABEX GM to the candidate by email.

7 De-listing of a WEEELABEX auditor

Each WEEELABEX auditor (general, specialist, lead auditor) can be de-listed by the WEEELABEX Office upon the instruction of the WEEELABEX Governing Council. Such a decision has to be motivated, objective and non-discriminatory.

Auditors should refer to included in the “terms and conditions of listing” in A03 Auditors Agreement Form.

Notes:

Annex 1-Auditor application form follows -

Auditor Application Form

A .doc and signed scanned pdf copy of this document has to be returned to the WEEELABEX Office: office@weeelabex.org) with the supporting documentation required (it is recommended to send everything by e-mail and request a read-receipt).

Deadline for submission: No later than 30 working days prior to commencing of the intended examination workshop.

This document has to be completed in English.

1. Identification of the applicant :	
Name of the applicant :	
Correspondence Address :	
Telephone Number :	
Email address :	
Passport or ID Card number	
2. Identification of the auditor's company	
Company Name :	
Registered & correspondence address :	
VAT number:	
Main business of the company (E.g. auditing; consultancy, WEEE Compliance System etc.)	
Accreditation Details (if any - to ISO 17024 / ISO 17065 e.g. name of accreditation body; certificate number etc.)	

If the auditing company is not accredited to ISO 17020 or ISO 17065 at this time, please include below the procedures in place to ensure and prove Impartiality and Confidentiality in their daily business.

NOTE: Auditors shall be committed to impartiality and confidentiality¹ according to ISO 17020 /ISO 17065 and be independent to the extent that is required with regard to:

- i. *An auditor working for a WEEELABEX System may not perform an audit at a facility where the auditor has the responsibility for the contractual / service relationship within the last twelve calendar months. (Until 31st December 2015 when an auditor working for a WEEELABEX System may not perform any audit).*
- ii. *An auditor working for an auditing company² may not perform an audit at a facility where they have a direct consultancy / business relationship within the last twelve calendar months. Auditors shall not provide a consultancy service or form a business relationship with any treatment facility where he has performed a WEEELABEX Audit for one year after the said WEEELABEX Audit has taken place.*

Details:

For WEEELABEX Systems employees, please indicate yes or no to the following statements:

I hereby state that:

- **my position as an employee in a WEEELABEX System does not involve the responsibility for the contractual/service relationship with operators in the last 12 calendar months (i.e. I am not involved in the negotiation or approval of the operator's contracts)**

☐ Yes ☐ No ☐ N/A

- **I'm 3rd Party Independent Auditor, neither my position nor my company are directly related to a WEEE recycling activity (such as a Compliance Scheme being a financial partner, or partner of any other type of a WEEE recycling activity).**

☐ Yes ☐ No ☐ N/A

For all applicants:

Please, explain below the procedures in place to ensure and prove Impartiality and Confidentiality in your daily business.

¹ **Independence:** The audit shall be conducted with due impartiality of the audit and objectivity of the audit conclusions. The auditors will be expected to be free from any commercial, financial and other interest which might affect their judgement. Procedures will be implemented to ensure that persons or organisations external to the inspection body cannot influence the results of inspections carried out.

² The term "auditing company" during the transitional period (to 31/12/15) is defined as any company approved by the WEEELABEX Office, who provides auditing services which examines, evaluates and verifies an organisation's records, documents and performance and whose auditors are WEEELABEX Auditors. After the transitional period, an 'auditing company' shall be required to be an "accredited auditing company" which shall mean those auditing companies approved by the WEEELABEX Office, who are independently accredited to EN 17020 (inspection bodies) or EN 17065 (certification bodies) and whose auditors are WEEELABEX Auditors.

If the auditor (or his/her company) is not accredited to ISO **17024** or ISO 17065 at this time, please include below the procedures in place to ensure and prove Impartiality and Confidentiality in their daily business.

*NOTE: Auditors shall be committed to impartiality and confidentiality³ according to ISO **17024** / ISO 17065 and be independent to the extent that is required with regard to:*

- iii. *An auditor employed by a WEEELABEX System may therefore perform a WEEELABEX audit only as a member of an audit team comprising of at least one third party auditor (auditor that is not employed by any WEEELABEX System)..*
- iv. *An auditor may not perform an audit at a facility where he/she has a direct consultancy / business relationship within the last twelve calendar months. Auditors shall not provide a consultancy service or form a business relationship with any treatment facility where he has performed a WEEELABEX Audit for one year after the said WEEELABEX Audit has taken place.*

Details:

Please, explain below the procedures in place to ensure and prove Impartiality and Confidentiality in your daily business.

3. Type and stage of auditor aimed by the applicant (please, select the checkbox)

- ☐ Auditor
- ☐ Specialist CFA auditor
- ☐ Specialist Lamps auditor

For applications for specialist auditor status,, has the candidate already attended and successfully passed the exam of the general examination process?

O Yes O No

4. Curriculum Vitae of the applicant

Educational background

Professional experience

In this part, the applicant is asked to describe in detail his working experience(s) related to the EEE/ WEEE field, auditing experience (according to which reference standard and / or type of

³ **Independence:** The audit shall be conducted with due impartiality of the audit and objectivity of the audit conclusions. The auditors will be expected to be free from any commercial, financial and other interest which might affect their judgement. Procedures will be implemented to ensure that persons or organisations external to the inspection body cannot influence the results of inspections carried out.

customers), and if applicable, his experience in training others in the area of his work. Please do not just attach or refer to a CV.

Evidence from independent sources such as a signed statement from audited WEEE facilities or other non-confidential document / proof (e.g. statement from the take back system or other organisation mandating the audits) should be submitted with the application.

NOTE: Professional background:

- i WEEELABEX auditors should either have a EEE / WEEE related technical / practical background and / or proven auditing experience in the context of ISO 9001/14001 or specialist WEEE facility audits in order to perform conformity verification activities in the context of WEEELABEX.
- ii They should be familiar with general waste and WEEE treatment technologies and with EU and particular national legislation in the areas of WEEE, waste, environment, hazardous substances and occupational health and safety.

Working experience related to the WEEE field

...

Auditing experience (ISO or other standards), please, describe type of audits performed (reference to the standard), year, number and type of facilities audited:

...

WEEE related Audits performed in the last 3 years

NOTE: WEEE auditing is defined as a specific auditing service that examines, evaluates and verifies an organisation's management system; legal permits; records and other relevant documents; and the physical WEEE reception; handling; storage; depollution; disassembly and recovery, recycling or disposal operations. ISO 9001 and ISO 14001 audits are not sufficient in their own right in this instance to qualify as a 'WEEE audit'

Type of audit (select: WEEE Audits/ CENELEC EN 50625 series audits/, WEEELABEX audits)	Treatment Streams audited (<i>Large appliances, Mixed equipment, Temperature exchange equipment, CRT display, Flat panel display equipment, Gas discharge lamps, Photovoltaic panels</i>)	Year of audit	Number of audits	Task (main auditor, assistance, observer)

Total audits performed				

Language skills

The applicant is asked to describe his level for each applicable language (read, spoken, written) Please, add the languages spoken and indicate the level with an "x" (insert as many rows as needed).

Language	Read			Spoken			Written		
Level	Advanced	Intermediate	Basic	Advanced	Intermediate	Basic	Advanced	Intermediate	Basic
English									

5. Specific knowledge

Knowledge of the WEEELABEX Treatment Standard

*In this part, the applicant is asked to describe his understanding and the knowledge level of the WEEELABEX Treatment Standard **and/or EN 50625 series standards** to-date. Please include reference to how this understanding and knowledge was attained (professional experience; pilot audits, self-made knowledge etc.), also indicate whether you have participated in the pilot training in Romania in March 2012 and/or in the development of the WEEELABEX Standard and your related role.*

Knowledge of waste treatment and WEEE treatment technologies <i>The applicant is asked to provide details of his experience of waste treatment technologies, to explicit the type of waste involved, and the continuous personal training on this subject to be up to date on new technologies</i>
Knowledge of legislation <i>The applicant is asked to provide his experience and knowledge in the field of European and national legislation, to detail in which areas (health and safety, waste, environment,</i>
Please provide any additional information or skills that the applicant wants the WLX Office to be aware of

6. Commitment and signature of the candidate

Insert name of candidate auditor confirms that **he/she** will sign the A03 Auditor Agreement on request, and will be committed to abide by the principles set down in this document and by the terms and conditions set down in the A03 Auditor Agreement.

Insert name of candidate auditor declares that **he/she** will abide by the Code of Ethics as set out in the terms and conditions set down in the A03 Auditor Agreement, and will ensure that **he/she** is committed to providing due professional care and impartiality and confidentiality according to the principles set down in ISO **17024** / 17065 whilst a listed WEEELABEX Auditor.

For and on behalf of: Insert **name of candidate AUDITOR**

Signature (not electronic): (Candidate Auditor)

Date:

Auditor's Company / WEEELABEX Member System:

Name:

Position:

Signature (not electronic):(For the Organisation)

Date:

Attendance at the examination workshop

Please indicate the dates of the examination workshop and type of course that you would like to attend.. If more than one option (and If able to attend either of the two events), please state your order of preference.

Depending on demand and availability of spaces, your first choice will be confirmed in due course following the assessment process.

The events will commence at 09:00 hrs and continue until approx.. 17:00 hrs every day. Final day finished at 16:30.

First choice:

Dates:.....

Name of the course:

Second

choice.....**Dates:**.....

.....

Name of the course:

Documents requested with the application form

As a minimum, the following documents have to be sent together with the application form:

- Proof of the applicant's accreditation (if applicable).
- Proven evidence⁴ of the previous auditing experience of the applicant:-

For general examination workshop applicants:

- Evidence of the previous auditing experience of the applicant
- Any evidence of the applicant skills described in the application form above

For cooling and freezing appliances (CFA) specialist auditor applicants :

- Evidence of at least 6 WEEELABEX CFA Audits performed over the 3 years before the application⁵

For Lamps specialist auditor applicants:

- Evidence of at least 3 WEEELABEX Lamps Audits performed over the 3 years before the application⁶

⁴ NOTE: "**Proven**" in this context shall mean independent evidence such as signed statements from WEEE Facility Operators; or a signed statement from a WEEE System, stating the number of audits, the type of activities audited, the year and the name of the audit team or other similar non-confidential document / proof. Statements shall be signed by a competent person, different than the applicant (if not possible, only signed statements from audited facilities will be accepted as valid proof).

⁵ During the transition period, the number of CFA audit evidences to give is 6 over the same time period.

⁶ During the transition, a WEEELABEX Lamps auditor may be a person who has proven experience in three Lamp audits in three years (from 2009)