CEWASTE

Voluntary certification scheme for waste treatment

DESIGN OF THE ASSURANCE SYSTEM

DELIVERABLE 3.1

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ACRONYMS

CB	Certification Body
CRM	Critical Raw Material
EEE	Electrical and Electronic Equipment
ELV	End-of-life Vehicle
EU	European Union
HRR	High relevance requirement
HRNC	High relevance non-conformity
LA	Lead auditor
NC	Non-conformity
WEEE	Waste Electrical and Electronic Equipment
WP	Work package

SUMMARY

The H2020-project CEWASTE aspires developing and testing a certification scheme with requirements enabling the recycling of Critical Raw Materials (CRMs) and valuable materials. In the third work package, the consortium is developing and defining an assurance system and related verification mechanisms that effectively ensure that take back systems, collection, transport and treatment facilities actually and reliably comply with current certification systems and the normative sustainability and traceability requirements defined in Work Package 2 in their daily operations. With reference to existing certification schemes, auditing standards and good practice guides for assurance and certification systems, Work Package 3 has developed:

- The assurance system including the verification mechanisms,
- Certification procedures, and
- Implementation guidelines, especially for verification mechanisms and auditing procedures

Task 3.1 of this work package has focused on the development of the framework for the assurance system. This includes determining what processes the assurance scheme shall address (auditing, audit assessment and the general scheme rules), how these processes are to be performed and to be supported through various templates and guidance (tools, to be developed under Task 3.2 and Task 3.3).

As a first step, existing assurance systems of E-waste management facilities and raw material certification systems were analysed (e.g., WEEELABEX, SWICO, etc.). Such systems partly inspired the approaches adapted for assuring the CEWASTE requirements, particularly in relation to CENELEC requirements included in the CEWASTE standard. Experience of auditors was also taken into consideration for deciding on specific aspects of the scheme.

Finally, the various principles addressed in the ISEAL Assurance Code of Good Practice and the ISO 17000 series, were consulted to ensure the assurance scheme would be in line with such frameworks, as a minimum in regard to consistency; rigor, competence, impartiality, transparency and accessibility.

The results of this first work package have served as input for the development of verification procedures in Task 3.2 and of the assurance and verification manuals in Task 3.3. The system

developed in Work Package 3 further provided a basis for the validation of the scheme to that was carried out in pilot audits in Work Package 4.

1 INTRODUCTION

1.1 THE CEWASTE PROJECT

The CEWASTE project contributes to an improved recycling of valuable and critical raw materials (CRMs)[1] from key types of waste through the auditing and certification of traceable and sustainable treatment processes in the entire supply chain of secondary raw materials. CEWASTE addresses the specific challenge to secure the sustainable access to CRMs for the EU economy as well as objectives set by the EU action plan for the Circular Economy, the issue of illegal trade of wastes within the EU and to non-EU countries, and the need to support the development of environmentally and socially sound recycling systems globally.

Specifically, the project has developed, validated and launched a voluntary certification scheme for collection, transport and treatment facilities of key types of waste containing significant amounts of valuable and critical raw materials. To ensure a comprehensive approach and a robust result, the project will be developed along the following six specific objectives:

- **Objective 1:** Understand existing recovery practice, standards and verification schemes related to valuable and critical raw materials and how these can be leveraged for CEWASTE.
- **Objective 2:** Leverage existing normative requirements to develop technical, sustainability and traceability requirements for the voluntary certification scheme.
- **Objective 3:** Develop an assurance system and related verification procedures that effectively ensure that facilities and raw material streams are compliant with sustainability and traceability requirements.
- **Objective 4:** Validate the new voluntary scheme through pilots with selected and committed stakeholders of the value chain.
- **Objective 5:** Ensure long term sustainability of the scheme, reflecting on the needs from existing governance mechanisms, and resulting in a roadmap addressing the amendments of new requirements or mechanisms needed.

[1] For the list of CRMs see https://ec.europa.eu/growth/sectors/raw-materials/specific-interest/critical_en - the current version was published in 2017

- **Objective 6:** Ensure a transparent stakeholder process that allows for broad acceptance and dissemination of the essentials of the scheme.

CEWASTE has delivered tangible results in the form of analysis of reports, a set of rules (normative requirements), related administrative and procedural mechanisms to ensure compliance with the rules, practical guidelines, and an implementation plan as outlined in detail in the work plan of the project's Grant Agreement. In addition, the project produced a series of recommendations for long-term sustainability of the scheme as part of these results.

CEWASTE did not develop the new voluntary scheme from scratch nor formally amend existing standards. In view of the two years implementation condition set by the call, the project has focused on developing the scheme based on the current developments in recovery technologies and on the existing normative landscape in the field of waste treatment and responsible sourcing of raw materials, while presenting a clear roadmap for necessary amendments of existing mechanisms and a large-scale roll-out of the scheme.

The CEWASTE consortium[2] developed the scheme until 15 April 2020.

1.2 Purpose of this Deliverable and Overview of Work Package 3

Deliverable 3.1 describes an assurance system developed in this task and the framework that it sets for following tasks and for the conformity assessment of the CEWASTE standard in general.

The deliverable specifies the general structure of the scheme and provides the rules as to how various processes are to be carried out. It also specifies rules as to the eligibility of individuals and/or organisations acting under certain roles in the scheme. For example individuals acting on behalf of the scheme as auditors, organisations assuming the ownership or part of the management board, etc.). How such rules are to be updated from time to time and maintained is also addressed.

[2] The owner of the scheme shall be determined at a later stage.

Deliverable 3.2 provides templates and documents to be applied as part of the verification procedures described in the scheme rules. These include templates for performing certain procedures, such as an audit plan template to be used by auditors when planning the assessment of the facility of an operator that has applied for certification or an audit template to be used by the auditors when verifying the compliance of the facility of an operator with the normative requirements of the scheme. A check-list tool is also included (together with the verification manual developed in Task 3.3) and provides the first level of support for auditors as to the basis for concluding on the compliance of an operators' facility with a specific requirement.

Deliverable 3.3 was developed subsequently to deliverables 3.1 and 3.2 and includes two manuals to further support the scheme. The assurance manual provides clear guidance on what protocols, procedures, documents, etc. would be considered as acceptable for the verification procedures established in the certification scheme. It assists operators in complying with the CEWASTE standard and preparing for the certification (audit). The verification manual (merged with the checklist tool) assists the auditors (second-level) by providing more detail for the verification procedures and thus also helps to ensure a more harmonised application of the CEWASTE scheme and of the results of the various activities.

2 THE GENERAL FRAMEWORK OF CERTIFICATION SCHEMES

2.1 ISEAL ASSURANCE CODE OF GOOD PRACTICE

The ISEAL Assurance Code (ISEAL, 2018) specifies normative requirements for implementing an assurance system. The code applies specifically to assurance systems for assessing conformity with sustainability standards and related chain of custody standards.

ISEAL's Credibility Principles represent the core values on which effective sustainability standards are built. The principles provide a guide for any standard that assesses sustainability.

The ISEAL Credibility Principles provide the foundation for the normative sections of the Standard-Setting Code. Since the Standard-Setting Code does not include detailed requirements for all situations that can occur, the following principles should be used as guidance for making decisions in unanticipated situations where there is need to interpret the Code's requirements.

- **Sustainability**: Standard scheme owners clearly define and communicate their sustainability objectives and approach to achieving them. They make decisions that best advance these objectives. In this respect, an objective of the standard is to increase the sustainability of waste management that affects CRM Recycling. Requirements addressing sustainability directly have been included in the standard.
- **Improvement**: Standards scheme owners seek to understand their impacts and measure and demonstrate progress towards their intended outcomes. They regularly integrate learning and encourage innovation to increase benefits to people and the environment. The assurance system has various mechanisms for generating continuous improvement. On a first level, this is addressed in various parts of the CEWASTE Standard, for example in the management requirements that require certain processes to be monitored and targets to be set periodically to allow continuous improvement in certain areas. The scheme also addresses improvement on a higher level in relation to the verification processes. For example, auditors shall be invited on a periodic basis to meetings to discuss their experience with the auditing. This shall be a source for identifying areas where there is room for interpretation regarding fulfillment of requirements and shall initiate updates of the checklist and further guidance and training materials to allow improvement in such areas. Updates of the standard requirements are also envisioned either on a periodic basis or under certain conditions initiating an update, such as the new definition of a material as critical.
- **Relevance**: Standards are fit for purpose. They address the most significant sustainability impacts of a product, process, business or service; only include requirements that contribute to their objectives; reflect best scientific understanding and relevant international norms; and are adapted where necessary to local conditions. Consideration has been given to these aspects in the development of the CEWASTE Standard in WP 2.
- **Rigour**: All components of a standards system are structured to deliver outcomes. In particular, standards are set at a performance level that results in measurable progress towards the scheme's sustainability objectives, while assessments of compliance provides an accurate picture of whether an entry meets the standard's requirements. To this end, the rigour of the standard requirements and the scheme rules shall be tested and verified in WP

4, which also leaves room for last adjustments and updates where this shall be identified as needed.

- **Engagement**: Standards-setters engage a balanced and representative group of stakeholders in standards development. Standards systems provide meaningful and accessible opportunities to participate in governance, assurance and monitoring and evaluation. They empower stakeholders with fair mechanisms to resolve complaints. The CEWASTE Consortium is comprised of multiple actors representing various stakeholders of relevance to CRM rich waste streams and their waste management. This includes representatives of operators in the value chain, auditing and certification practitioners, experts on EEE, ELV and batteries as well as on their management at end-of-life, NGOs, etc. The development of the standard and the scheme also envision a few stages of stakeholder consultation, this increasing the level of engagement and allowing various routes of input.
- **Impartiality**: Standards systems identify and mitigate conflicts of interest throughout their operations, particularly in the assurance process and in governance. Transparency, accessibility and balanced representation contribute to impartiality. The impartiality of individuals and organisations acting under various roles in the scheme is addressed, and procedures have been developed for its safe guarding. This applies for example to the impartiality of auditors, but also to organisations and individuals nominated as board members.
- **Transparency**: Standards systems make relevant information freely available about the development and content of the standard, how the system is governed, who is evaluated and under what process, impact information and the various ways in which stakeholders can engage. The CEWASTE standard and scheme are being developed with the aim of their being publicly available and also including stakeholders in their development to ensure the clarity and transparency of the various procedures.
- **Accessibility**: To reduce barriers to implementation, standards systems minimise costs and overly burdensome requirements. They facilitate access to information about meeting the standard, training, and financial resources to build capacity throughout supply chains and for actors within the standards system. The CEWASTE standard and scheme are being developed with the aim of their being publicly available, ensuring transparency of the procedures to the relevant stakeholders.
- **Truthfulness**: Claims and communications made by actors within standards systems and by certified entities about the benefits or impacts that derive from the system or from the

purchase or use of certified product or service are verifiable, not misleading, and enable an informed choice.

- **Efficiency**: Standards systems refer to or collaborate with other credible scheme to improve consistency and efficiency in standards content and operating practices. They improve their viability through the application of sound revenue models and organizational management strategies. Among others, the CEWASTE standard has taken into consideration existing standards addressing the waste management of EEE and batteries. The scheme has considered existing certification schemes of respective standards in the development of its own procedures.

Terms and definitions are included in an Annex of the code. Where relevant, terms specified in the CEWASTE assurance system that have been reproduced from this standard are referenced as such.

2.2 ISO/IEC 17000 SERIES OF STANDARDS ON CONFORMITY ASSESSMENT

For the purposes of this document, the terms and definitions given in ISO/IEC 17000:2004 on Conformity assessment (Vocabulary and general principles) have been consulted and where they have been reproduced, they are referenced as such.

This assurance system was developed according to the guidelines from the standard ISO/IEC 17067:2013 (Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes). In this respect, clause 6.5.1 of ISO/IEC 17067:2013 specifies elements to be included in a scheme and has been taken into consideration in the development of the scheme rules. This includes definition in the scheme of:

- The scope of the scheme;
- Requirements against which relevant waste operators are to be certified (developed in WP 2 and inly referenced the following version of the scheme rules);
- Requirements for certification bodies;
- Methods and procedures to be used by the conformity assessment bodies and in the certification process;
- Aspects related to the certification of conformity such as its content and how it can be used;
- Resources required for operating the scheme;

The requirements for Certifications Bodies were built taking into account the essential requirements of the standard ISO/IEC 17065:2012 which specifies requirements for certification bodies certifying products, processes and services to be operational.

3 THE ASSURANCE SYSTEM FRAMEWORK

3.1 ASSURING THE INTEGRITY AND CONSISTENCY OF THE OUTCOME OF THE CONFORMITY ASSESSMENT PROCESS

The assurance system has been developed on the basis of ISO 17067:2013 cl. 6.5.1 and also taking into consideration the ISEAL Assurance Code (ISEAL, 2018). Its structure includes various elements (scope, requirements, rules for its management, rules for certification bodies, rules for auditing and conformity assessment, etc.).

Methods and procedures to be used by the individuals and organisations involved in the certification process, have been developed so as to assure the integrity and consistency of the outcome of the conformity assessment process.

3.2 STRUCTURE OF THE SYSTEM

To ensure the conformity of facilities with the CEWASTE requirements, the assurance system operates on the following levels, or processes:

- The CEWASTE certification scheme rules - these provide the general framework for the functioning of the certification scheme, including rules for registered CEWASTE Certification Bodies.
- The auditing process - here rules, templates and guidance's have been established to support the auditing of facilities that have applied for or hold a valid CEWASTE certification.
- The review process - here rules, templates and guidance's have been established to support the review of audit results and the certification decisions.

4 CEWASTE SCHEME RULES

4.1 INTRODUCTION

The CEWASTE scheme is a voluntary third-party certification scheme and has been designed with the objective to contribute to the recovery of critical raw materials from key types of waste.

The Scheme is called “Certification scheme for waste treatment”, hereinafter referred to as “the CEWASTE scheme” or “CEWASTE certification scheme”.

It can be placed in a broader perspective where regional policies and legislative frameworks aim at promoting a circular economy and addressing sustainability challenges with a focus on waste streams from electrical and electronic equipment (EEE) and batteries.

This scheme was developed by a consortium of partners as the result of a project funded by the EU Research and Innovation programme called “Horizon 2020”.

4.1.1 OBJECTIVES OF THE SCHEME

The objective of the CEWASTE assurance system is to contribute to an improved recovery of valuable and critical raw materials (CRMs) from key types of waste through traceable and sustainable treatment processes in the entire supply chain of secondary raw materials. This is addressed through assuring the compliance with the CEWASTE standard requirements, which aim on the one side at increasing the amounts of CRMS recovered and on the other side at ensuring that processes which contribute to the recovery of CRMs shall have a minimum level of sustainability.

4.2 SCOPE OF THE CEWASTE CERTIFICATION SCHEME

The CEWASTE Scheme is applicable to the processes of collection, transport and treatment of waste electrical and electronic equipment and waste batteries.

The scope of the CEWASTE scheme is defined in CEWASTE certification requirements which contain the requirements against which conformity of operators is assessed.

The scope of a specific certification is based on two dimensions:

- *the type of facility being certified; and*
- *the waste fraction being handled.*

4.2.1 CEWASTE REQUIREMENTS

The CEWASTE Requirements Document has been developed under WP2 of this project and specifies the requirements against which facilities seeking certification are to be certified. Please see deliverable of WP2, i.e. CEWASTE normative requirements[3] in this respect.

The management board and the technical advisory board shall discuss and decide as to the need to update certain requirements (or their normative and or informative annexes) to regulatory, technical and or scientific progress. The individual members shall be able to initiate such a discussion once they have become aware to such progress and respective changes in legislation or in the technical performance of the processes addressed through the CEWASTE standard. As a minimum, a discussion should be initiated every 4 years on the need for updating of the Requirements Document annexes and every 8 years on the need for updating the Requirements Document in its entirety. Should new critical raw materials be added to the European Union "Communication on the list of critical raw materials"[4], an update should be initiated to ensure that these new critical materials are sufficiently addressed in the CEWASTE Requirements Document[5]. After determining necessary updates, the board of management and the technical advisory board shall approve changes to the Requirements Document and or its annexes.

As for the interpretation of requirements, the management board and the technical advisory board shall communicate with auditors and with audit reviewers on a regular basis to determine if certain requirements and conformity assurance is open to interpretation. The management board and the

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[3] CEWASTE normative requirements document is available here: https://cewaste.eu/wp-content/uploads/2021/04/CEWASTE-Normative-Requirements.pdf

[4] Current and past communications available under: https://ec.europa.eu/growth/sectors/raw-materials/specific-interest/critical_en

[5] The last version of the Communication was published in September 2020, after the Requirements document had been developed. Small revisions were subsequently undertaken in relation to lithium contained in lithium-Ion batteries, however it was not further considered if additional update was necessary. Following the activation of the CEWASTE Scheme, the management board and the technical advisory board should discuss and decide as to the need for further updates of the requirement document.

technical advisory board shall initiate a meeting to address such aspects on an annual basis, inviting relevant auditors and audit reviewers to participate in the meeting and contribute from their auditing experience. The purpose of the meeting shall be to understand possible misinterpretations and to discuss and decide as to changes needed to avoid misinterpretations. Where such aspects shall concern the formulation of the Requirements Document and or its annexes, the data shall be addressed in meetings discussing the need for revisions of this document.

The certification scheme owner is responsible for interpreting the CEWASTE Requirements Document. When making a decision as to possible misinterpretations and relevant measures to be taken to prevent such maladies, the management board and the technical advisory board shall be consulted.

4.2.2 VALUE CHAIN SCOPE

The CEWASTE project and the voluntary certification scheme focus on the End-of-Life (EoL) waste management of EEE and batteries, consisting of the following steps:

- Collection point (only a few requirements apply);
- Collection facilities (including the preliminary sorting and storage of waste before transport);
- Logistics facilities (including transport);
- Pre-treatment facilities (including preparation for reuse, manual or mechanical pre-sorting, depollution, shredding and sorting of output fractions);
- Final treatment facilities (including any operation by which waste materials are processed into secondary raw materials)).

4.2.3 PRODUCT SCOPE

The scope consists of WEEE containing critical raw materials (CRMs) and valuable materials like precious metals, as well as waste batteries from WEEE and ELV.

Specifically, the following types of waste streams (named key CRM equipment or KCE) are considered to be in the scope of the certification scheme because of the potential to recover CRM (materials of interest contained in each item are indicated in brackets) and valuable materials (see Annex I of D2.1 & D2.2 for a more elaborated overview):

- Cathode ray tube (CRT) monitors and televisions (Eu, Tb, Y, Ce, La, Gd)
- (Compact) fluorescent lamps (Eu, Tb, Y, Ce, La)

- Desktop computers & professional IT equipment excl. batteries (Pd, Au, Ag, Bi, Sb)
- Laptops excl. batteries (Pd, Au, Ag, Sb, In)
- Mobile phones excl. batteries (Ag, Au, Bi, Pd, Sb, In)
- Tablets excl. batteries (Ag, Au, Pd, Bi, In)
- External compact disk drives (CDDs), optical disk drives (ODDs) and devises with internal CDD and ODD
- Lead-acid waste batteries from ELV and WEEE (Sb)
- Lithium-ion waste batteries from electric vehicles include those from e-bikes (Co, Tb, Gd, Nd, Dy, Pr). These include battery electric vehicle BEV, (plug-in) hybrid electric vehicle (P)HEV (Co)

Note: While acknowledging that lithium was not a CRM (in COM (2017) 490 list), this metal is also recovered from Li-ion batteries recycling.

4.3 Normative References

The following publications contain provisions, which, through reference in this text, constitute provisions of these rules of procedure. At the time of publication, the editions indicated were valid.

For the normative documents without publication year, the latest version applies.

EN 50625 series on Collection, logistics & treatment requirements for WEEE

ISO/IEC 17065:2012, Conformity assessment – Requirements for bodies certifying products, processes and services.

The ISEAL Assurance Code of Good Practice - Assuring Compliance with Social and Environmental Standards, Version 2.0 – January 2018

The ISEAL Impacts Code of Good Practice - Assessing the Impacts of Social and Environmental Standards Systems, Version 2.0 – December 2014

4.4 Terms and Definitions

The definitions of “collection”, “separate collection”, “prevention”, “re-use”, “treatment”, “recovery”, “preparing for re-use", “recycling and “disposal” laid down in article 3 of directive

2008/98/EC (Directive of the European Parliament and of the Council of 19 November 2008 on waste) shall apply.

4.4.1 ACCREDITATION

Third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks.

[source: ISO/IEC 17000:2004, 5.6]

4.4.2 AUDIT

Systematic, independent, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled.

[source: ISO/IEC 17000:2004, 4.4]

4.4.3 AUDITOR

Member of the audit team. Conducts conformity assessment.

4.4.4 CERTIFICATION

Third-party attestation related to products, processes, systems or persons

[Source: ISO 17000:2004, 5.5]

4.4.5 CB

Certification body.

4.4.6 CERTIFICATION SCHEME

Certification system related to specific products, to which the same specified requirements, specific rules and procedures apply

Note 1 to entry: The rules, procedures and management for implementing product, process and service certification are stipulated by the certification scheme.

[Source: ISO/IEC 17067:2013, 3.2]

4.4.7 CONFORMITY ASSESSMENT

Demonstration that specified requirements relating to a product, process, system, person or body are fulfilled

Note 1 to entry: The subject field of conformity assessment includes activities defined elsewhere in this International Standard, such as testing, inspection and certification, as well as the accreditation of conformity assessment bodies.

[Source: ISO 17000:2004, 2.1, modified]

4.4.8 LEAD AUDITOR (LA)

Auditor entitled to act as the audit team leader. Auditor responsible for a particular audit, its planning, execution, reporting and closing. There is one LA for each audit team.

4.4.9 NONCONFORMITY

Failure to comply with a requirement.

4.4.10 OPERATOR

Entity applying for a CEWASTE certification or holding a CEWASTE certificate.

4.4.11 REQUIREMENT

A normative (prescriptive) element, quality or qualification, applicable to the whole or part of a business process that should be followed in order to comply with regulations or a voluntary certification scheme.

4.4.12 TECHNICAL EXPERT

Person who provides specific knowledge or expertise to the audit team.

[Source: ISO 19011:2018, 3.16]

4.5 General Rules

CEWASTE certification is used to demonstrate conformity with a set of requirements for the areas covered by the scheme.

The CEWASTE Scheme shall be governed by [xxx - the name of the governing body shall be inserted in the future], whose responsibilities are defined in section “organization of the CEWASTE Scheme” (see Section 4.6.)

4.6 Organisation of the CEWASTE Scheme

4.6.1 Scheme owner:

The population of this role has not been concluded at this point in time. Considerations as to potential owners are specified in deliverable D.4.4. This section is to be updated accordingly after the owner is determined.

The scheme owner shall assume all relevant responsibilities as follows. The owner shall be compensated for its efforts on the basis of the fees collected from certification applications.

Role and responsibilities of the scheme owner

- Handles administrative tasks to ensure the operability of the scheme;
- Monitors regulatory requirements and their impact on the CEWASTE standard;
- Maintains and implements the CEWASTE standard (requirements for the applicants seeking certification) (consults the technical advisory board first and after reaching a compromise, asks for approval from the management board on the suggested change/decision);
- Maintains and implements the CEWASTE scheme rules and procedures (consults the technical advisory board + asks for approval from the management board);
- Consults the technical advisory boards when necessary, typically for issues such as interpretation of the CEWASTE standard and analysis of the impact of a change in regulatory requirements;
- Asks for approval from the Management Board on any change to the CEWASTE scheme.

4.6.2 MANAGEMENT BOARD

MEMBERS

Until further arrangements are agreed upon, the management board consists of the CEWASTE consortium partners. [6]

Members shall be designated by the scheme owner for a period of four years.

Membership may be renewed once upon mutual agreement from the board and the member in question. Nominating a past member of the board for a new appointment shall only be allowed after a period of two terms of office has passed from his/her last appointment.

The composition of the board must be such as to mitigate risk of bias and partiality.

At least the following stakeholders should be represented in the board.

- Operators
- Certification bodies
- Manufacturers or the producer organisations
- NGO

In this respect, the member is to be considered either as an individual or an organization in combination with a specified representing individual. Following the initial designation, the scheme owner shall present the proposed member to the members of the board currently in office, explaining why the review has concluded that the proposed new member and its representing individual are to be considered as impartial and non-biased. The members of the board currently in office shall vote whether to appoint the proposed member and its representative individual. Should one of the members object to the nomination, he/she shall explain the basis of the opposition to the board members. Should the opposition concern the impartiality or bias of the nominated party, and be viewed as justified by at least 2 other members, the application shall not be approved.

[6] The determination of management board members may be updated once a final scheme owner has been determined.

ROLE AND RESPONSIBILITIES:

- Makes decisions
- Scheme's organization
- Scheme rules
- Acceptance of Certification Bodies
- Responsible in case of claims and disputes related to the CEWASTE scheme
- Appoints the members (one, all?) of the technical advisory board

OTHERS

- Meetings (physical or virtual) when needed (request from its members)
- Non-members can participate as guests

4.6.3 TECHNICAL ADVISORY BOARD

MEMBERS

Appointed by the Management Board for 4 years.

The composition of the board must be such as to mitigate risk of bias and partiality. The nomination process shall be identical to that of Member of the Management board, taking into consideration the past experience of the individual and its relevance to technical aspects of the CEWASTE standard and its assurance. Here too, a second term of office shall be possible. Further terms shall only be considered after a period of two terms of office has passed since the last appointment.

ROLE AND RESPONSIBILITIES

- A body who has technical competence relevant to the CEWASTE standard and can be consulted by the scheme owner
- Reports to the Advisory Board on the findings of the regulatory monitoring activities
- Advises the scheme owner on technical matters such as interpretation of the CEWASTE standard, changes in the CEWASTE standard)

4.7 CEWASTE Requirements

4.7.1 Structure of the CEWASTE requirements

The CEWASTE requirements consist general requirements (apply to all), operation-specific requirements and requirements specific to each type of waste.

Operations Types of waste	ALL	Logistics Transport	Collection and storage	Pre-treatment	Final treatment
ALL	Management - General; Technical - General				
ALL	Specific management requirements • Management principles (4.1) • Compliance with legal requirements (4.2) • Management system (4.3) • Risk management (4.4) • Monitoring (4.5) • Traceability (4.6) • Documentation (4.7) • Communication and awareness (4.8) • Personnel management (4.9) • Sustainability requirements (4.10) Specific technical requirements: • General technical requirements (5.1, 5.1.1) • Technical and infrastructural preconditions (5.2.1) • Handling (5.3) • Depollution monitoring (6.1, 6.2, 6.3, 6.4, 6.5)	Specific technical requirements • Shipping (5.6)	Specific technical requirements • Handling (5.3.1) • Storage (5.5) • 5.5.4.)	Specific technical requirements: • Storage (5.5) • Sorting (5.7) • Preparing for re-use • Depollution (5.8.) • Removal of CRM components (5.9)	Specific management requirements: • Receiving (5.4.) • Storage (5.5) • Depollution (5.8.) • Final treatment for recycling CRM fractions (5.10)

Operations Types of waste	ALL	Logistics Transport	Collection and storage	Pre-treatment	Final treatment
ALL	Management - General; Technical - General				
Lamps and fluorescent powders	Specific management requirements: • Documentation (4.7.3) • Occupational Health (4.9.2.1) • Sustainability requirements (4.10.2.1) Specific technical requirements: • Depollution monitoring (6.1.1, 6.5.1)	-	Specific technical requirements: • General technical requirements (5.1.2) • Technical and infrastructural preconditions (5.2.2, 5.2.3) • 5.5.1.)	Specific technical requirements: • Handling (5.3.2)	Specific management requirements: Handling (5.3.2) • Emissions monitoring and control (4.10.2.1.) • Receiving (5.4.1, 5.4.4) • Final treatment for recycling CRM fractions (5.10.2)
CRT equipment	Specific management requirements: • Occupational Health (4.9.2.1) Specific technical requirements: • Handling (5.3.3) • Depollution monitoring (6.5.2)	-	Specific technical requirements: • General technical requirements (5.1.3)	Specific technical requirements: • Handling (5.3.3)	Specific technical requirements: • Handling (5.3.3) • Final treatment for recycling CRM fractions (5.10.1)
Waste Batteries	Specific management requirements: • Traceability (4.6 - only lead-acid) • Documentation (4.7.4) • Occupational Health (4.9.2.1) • Sustainability requirements (4.10.2.2) Specific technical requirements: • Depollution monitoring (6.5.3)	Specific technical requirements: • Shipping (5.6.3.)	Specific technical requirements • General technical requirements (5.1.1.3) • Technical and infrastructural preconditions (5.2.4) • Handling (5.3.1) • Storage (5.5.1, 5.5.2)	Specific technical requirements: • Sorting (5.7.1)	Specific management requirements: • Emissions monitoring and control (4.10.2.1.) • Receiving (5.4.2 – only for Li-Ion, 5.4.4 – only lead acid) • Final treatment for recycling CRM fractions (5.10.3)

Operations Types of waste	ALL	Logistics Transport	Collection and storage	Pre-treatment	Final treatment
ALL	Management - General; Technical - General				
Magnets	Specific management requirements: • Occupational Health (4.9.2.1) • Sustainability requirements (4.10.2.3)	-	Specific technical requirements • Technical and infrastructural preconditions (5.2.5)	Specific technical requirements: • Sorting (5.7.2) • Removal of CRM components (5.9.2)	Specific management requirements: • Emissions monitoring and control (4.10.2.1.) • Final treatment for recycling CRM fractions (5.4)
Printed circuit boards	Specific management requirements: • Traceability (4.6) • Sustainability requirements (4.10.2.4)	-	-	Specific technical requirements: • Sorting (5.7.3) • Removal of CRM components (5.9.1)	Specific management requirements: • Receiving (5.4.3) • Final treatment for recycling CRM fractions (5.10.5)

4.7.2 MAINTENANCE AND IMPLEMENTATION OF THE SCHEME

The CEWASTE scheme owner maintains and implements the CEWASTE requirements and the scheme.

It is responsible for interpreting the CEWASTE requirements.

Requests on the interpretation of the CEWASTE requirements must be addressed to the CEWASTE scheme owner.

They may be submitted directly or addressed to any accepted Certification Body who shall forward the request to the scheme owner.

The CEWASTE scheme owner shall have processes in place in order to monitor changes in the context of the scheme that may affect the adequacy or relevance and applicability of the CEWASTE certification requirements.

The Management Board of the CEWASTE scheme shall decide the timetable for introduction of new publications or revised editions of existing publications.

4.7.3 DECISION-MAKING PROCESS

Whenever the CEWASTE scheme owner

- is required to make an interpretation of the CEWASTE certification requirements or the CEWASTE rules

- identifies a need for a change or revision of the CEWASTE certification requirements or the CEWASTE rules,

it shall consult the technical board in the first place and after reaching a compromise, ask for approval from the management board on the suggested change/decision.

4.8 Requirements for Registered CBs

4.8.1 General requirements for Registered CBs

Legal and contractual matters

ISO/IEC 17065:2012 requirements apply.

Additionally, registered CBs shall sign an agreement with the CEWASTE Scheme. For a template for such agreements, including the minimum aspects to be addressed, see Annex I.

Management of impartiality

A registered CB shall not be, or be influenced by, a body which sells or provides services that are in the scope of the CEWASTE scheme.

Furthermore, the CB shall be impartial and not offer assistance or other services which may compromise the objectivity of its certification activities and decision.

Liability and financing, Non-discriminatory conditions

ISO/IEC 17065:2012 requirements apply. No specific requirements.

4.8.2 Structural requirements

Organizational structure and top management, Mechanism for safeguarding impartiality.

ISO/IEC 17065:2012 requirements apply. No specific requirements.

4.8.3 Resource Requirements

General

Requirements concerning resources from ISO/IEC 17065:2012 apply to the registered CEWASTE CB. These consist of but are not limited to mechanisms for safeguarding impartiality and resource requirements.

All personnel involved in the CEWASTE certification process must have appropriate competence in the CEWASTE rules and requirements.

In addition to these general requirements, there are requirements specific to the CEWASTE scheme, which are detailed in the respective sections below.

AUDITORS QUALIFICATION

Only auditors operating under the supervision of a registered CB are entitled to conduct CEWASTE audits.

Auditors' scope

Auditors shall be qualified for all of the following activities:

- Waste collection and storage
- Waste transport and logistics
- Waste pre-treatment treatment
- Waste final treatment

Auditors shall be qualified to audit some or all of the following waste streams:

- Lamps
- magnets
- batteries*
- All WEEE

**For batteries, general knowledge as provided in the CEWASTE training material[7] is sufficient for auditing of WEEE operators, For the auditing of treatment facilities of lead acid batteries, additional qualification requirements apply – see below.*

Qualification process and evaluation, general considerations

The registered CEWASTE CB qualification process of auditors shall conform with the applicable requirements of ISO 19011:2018.

The evaluation of auditor competence should be planned, implemented and documented to provide an outcome that it is objective, consistent, fair and reliable.

[7] CEWASTE Deliverable 4.2-Training Materials for the Piloting Team

[Source: ISO 19011:2018, 7]

Required competences

Auditors shall fulfil the criteria listed in Table 2:

Table 2. Qualification criteria and evaluation method for auditors

Criteria	**Evaluation method** **CB should select appropriate evaluation methods, examples are listed here:**
Ethical, open-minded, observant, perceptive, determined and collaborative behaviour	▪ personal interviews, ▪ witnessed audits (in other schemes than CEWASTE) - if audits cannot be witnessed, this method may be replaced by role playing - and ▪ review of the audit report. - if review of the audit report is not possible, this method may be replaced by review of auditing experience.
Evidence of audit experience as an auditor, at least 10 audits. These may comprise of internal audits, suppliers audits or other schemes' audits.	▪ Review of audit reports
Good command of English, both written and spoken	▪ Review of CV and personal interview. ▪ Review of audit reports. ▪ Review of language proficiency test results.
Good command of the language of the operator	▪ Review of CV and personal interview. ▪ Review of audit reports. ▪ Review of language proficiency test results.
Knowledge and good understanding of the CB processes.	
Knowledge and good understanding of the general requirements of the CEWASTE requirements and related documents (such as report templates).	Mandatory: Training record (participation in the training covering the general requirements of the CEWASTE requirements, including training on the EN 50625 series)
Knowledge and good understanding of the specific requirements of the	Mandatory: Training record (participation in the training covering the specific requirements of the CEWASTE requirements)

CEWASTE requirements for which qualification is sought. (the different options are: collection and storage, logistics and transport, pre-treatment or treatment of WEEE and waste batteries)	
General understanding of the waste sector process(es) for which he qualifies (collection and storage, logistics and transport, pre-treatment or treatment of WEEE and waste batteries);	Review of records: records of education, training, employment and auditing experience.
General understanding of the waste sector practises;	Review of records: records of education, training, employment and auditing experience.

Note: For details on the evaluation methods, refer to clause 7.4 of ISO 19011:2018.

Specific criteria and evaluation method for particular waste fractions:

- recycling of lead acid batteries:

Criteria	Evaluation method
Sufficient knowledge and understanding of the processes of lead smelting and potential risks to the environment and to human health.	*Auditors to have undergone relevant training on lead-acid battery recycling and lead smelting or to have past experience from working in such facilities*

Maintenance of qualification

Competence should be evaluated regularly through a process that considers personal behaviour and the ability to apply the knowledge and skills gained through education, work experience, auditor training and audit experience. This process should take into consideration the needs of the audit programme and its objectives.

[Source: ISO 19011:2018, 7]

TECHNICAL EXPERT QUALIFICATION

Technical expert can participate in the audit on the ground of their specific expertise. This may be necessary when the auditor is lacking the competence for a specific waste fraction or process covered by the audit.

Technical experts shall be qualified for one or several of the following activities:

- Waste collection and storage: lamps/magnets/batteries*/all
- Waste transport and logistics: lamps/magnets/batteries*/all
- Waste pre-treatment treatment: lamps/magnets/batteries*/all
- Waste final treatment: lamps/magnets/batteries*/all

**For batteries, general knowledge as provided in the CEWASTE training material (Deliverable 4.2) is sufficient for auditing of WEEE operators, For the auditing of treatment facilities of lead acid batteries, additional qualification requirements apply – see Table 3 below.*

Table 3. Qualification criteria and evaluation method for technical experts

Criteria	**Evaluation method** **CB should select appropriate evaluation methods, examples are listed here:**
Communicative skills, spoken English.	▪ Personal interview.
Knowledge and good understanding of the specific requirements of the CEWASTE requirements for which qualification is sought. (the different options are: collection and storage, logistics and transport, pre-treatment or treatment of WEEE and waste batteries)	Mandatory: Training record (participation in the training covering the specific requirements of the CEWASTE requirements)
Expertise of the waste sector process(es) for which the auditor qualifies (collection and storage, logistics and transport, pre-treatment or treatment of WEEE and waste batteries);	Review of records: records of education, training and employment.
Other criteria Defined by the CB	Defined by the CB

4.8.4 CERTIFICATION BODY REGISTRATION AND MAINTENANCE OF THE REGISTRATION

INITIAL REGISTRATION

Submission of an application

An application of a CB for registration as a CEWASTE CB for one or more specified areas of the CEWASTE scheme shall be made by the candidate CB.

The application shall be submitted to the Secretary of the CEWASTE scheme and shall be accompanied by the following documentation:

- The CEWASTE CB registration form (including the scope for which registration is sought - see Annex 2)
- A valid Accreditation Certificate
- The scope of the accreditation
- The application fee
- Names of at least two auditors who meet the qualification criteria for CEWASTE auditors

The application fee is non-refundable, regardless of whether the application is successful.

The Secretariat will not process the application until all fees have been paid.

Accreditation requirements for CBs

To be eligible as a registered CEWASTE CB, a CB must hold a valid accreditation against ISO 17065:2012 from a National Accreditation body which has been recognised by the International Accreditation Forum (IAF), a signatory of the IAF Multilateral Recognition Arrangements (MLA) or a European Accreditation MLA signatory.

Note that the scope of accreditation will not cover the CEWASTE when applying (at least in the beginning of the scheme operations).

Review of the application

The candidate CB shall be initially assessed for acceptance by the Secretariat of the CEWASTE scheme.

Depending on the findings, the Secretary may:

- suggest to the candidate to modify the application or

- submit a report with recommendations to the [insert name of the entity taking the decision to register new CBs] for decision to accept or reject the application.

Registration

Upon decision to accept the candidate, the CB, the list of auditors and the corresponding accepted scope are added to the registry and the Secretariat informs the applicant of the decision.

The surveillance arrangements start.

SURVEILLANCE OF THE REGISTERED CBS

To ensure conditions for acceptance are continuously fulfilled, the following arrangements are made:

- Registered CBs shall submit, no later than 1st March of each year an annual report of their CEWASTE activities (the reporting period being the previous calendar year).

  This report shall contain at least the following information:
  - List of CEWASTE certificates issued by the CB and valid as of 31st December of the previous calendar year and for each area in scope;
  - Number of CEWASTE audits performed in the reporting year for each area in scope of the CBs areas of activity;
  - Description of changes that have occurred that may affect the fulfilment of the conditions for acceptance of the CB and whether and how these changes affect the scope of activities of the CB and its operative auditors;
  - A copy of the latest certificate of accreditation and scope of accreditation
  - List of CEWASTE auditors as of 31st December of the previous calendar year - this should include also:
    - a description for each auditor operating under the CB's supervision of changes that have occurred to the scope of activities for which he/she is qualified to certify in;
    - specification of auditors that have been expelled from the pool of certified auditors in light of improper conduct;
- Registered CBs shall inform the Secretariat within reasonable delays of any changes that may affect their fulfilment of the conditions for acceptance

CHANGES TO REGISTRATION

Scope extension

When a registered CB wishes to extend its acceptance to further areas, an application shall be submitted to the Secretariat. The application for a scope extension is processed in a similar way as an initial application for registration as CEWASTE CB.

Reduction of scope of certification activity

The scope of a CB may be reduced voluntarily, upon request in writing from the CB or when the conditions for acceptance are no longer fulfilled for all areas of activity.

A voluntary reduction of scope can be handled by the Secretariat without prior approval from the CEWASTE scheme owner.

A reduction of scope that is not requested by the registered CB can only take effect upon approval by the CEWASTE scheme owner.

Suspension and withdrawal

The registration of a CB may be suspended or withdrawn by the CEWASTE scheme owner if that CB no longer fulfils the conditions for acceptance.

Before that, the CB shall be given the opportunity to take corrective action over a period of four months and state its own opinion on the matter.

In case of suspension, the CB is no longer allowed to claim it is a registered CB in the CEWASTE and the registry is updated to reflect this change.

In case there are certifications that are in processing at the time that the registration of a CB is withdrawn, the operator shall be informed of the CB withdrawal and asked for consent to refer the certification application and completion of the process to another CB. In the case of consent, the available details and documentations shall be sent to the CEWASTE Secretariat who shall nominate an alternate CB based on geographical proximity and coverage of waste stream in the CB scope.

4.9 CERTIFICATION PROCESS

4.9.1 OVERVIEW

The CEWASTE certification process is represented in Figure 1.

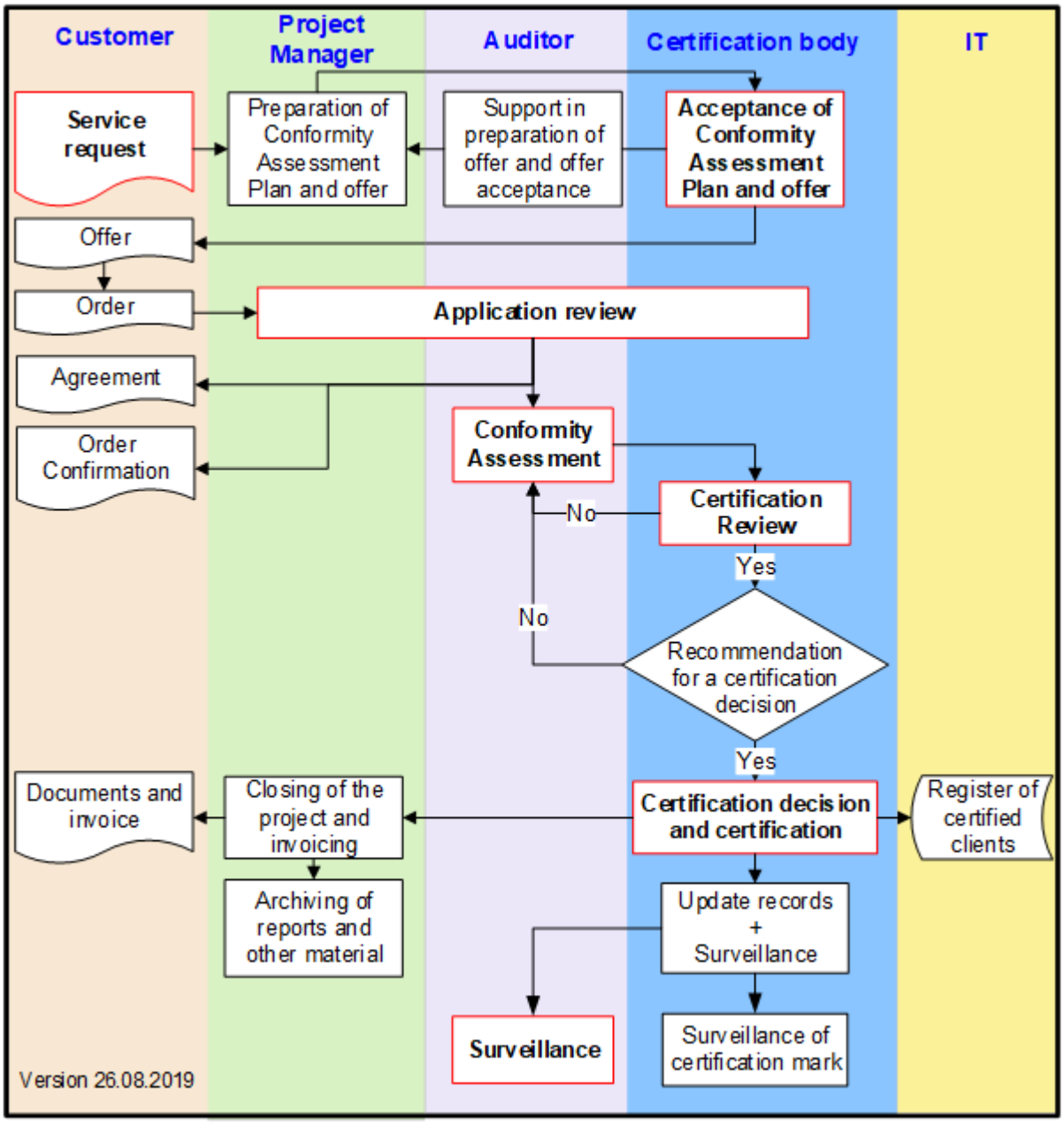

Figure 1. CEWASTE certification process flowchart

The key activities involved in CEWASTE Certification process are listed below:

- Application
- Application review
- Proposal/price list
- Order and Agreement
- Conformity Assessment Plan / Audit programme
- Initial certification audit
- Evaluation of the audit findings and conclusions and other relevant information
- Certification Decision
- Surveillance activities
    - surveillance audits / maintenance of certification
    - follow-up audits
- Suspending, withdrawing or reducing the scope of certification

4.9.2 INITIAL STEPS OF THE CERTIFICATION PROCESS

APPLICATION

The application contains information to be supplied to the CB by an applicant for certification. The application template is included in Deliverable D.3.2.

From the point of view of the audit, the application should contain the following information and this for each site to be covered by the certification:

- Information about the operator
- The scope of certification sought: activities and types of waste for each activity (select from a list)
- Information about the activities of the operator relevant for the CEWASTE certification:
    - Volume of waste covered by the CEWASTE certification application
    - Surface plan of the site
    - Permits relevant to the activities in scope of the application
    - Other quality or process related certifications that are relevant to the CEWASTE requirements in scope of the application.
    - Language(s) spoken at the site

TENDER

Registered CBs are responsible for offering CEWASTE certification services. They may delegate this task to other organisations involved in the certification process provided they follow these rules and act under the supervision of the CB.

The tender shall:

- refer to the CEWASTE scheme
- contain the list of all the necessary information to complete the audit

AUDIT TIME

To allocate resources, the following guiding principles shall be followed (Table 4):

Table 4. On-site audit time in man-days

Operations	Types of waste	Amount of waste			
		< 500 t	500 t – 2 500 t	2 500 t – 10 000 t	10 000 t
Collection & Logistics	One or two types of waste, including lamps or CRT	1	1	1,5	1,5
	One or two types of waste, no lamps nor CRT	1	1	1	1
	Three or more types of waste, including lamps or CRT	1,5	1,5	2	2
	Three <or more types of wastes, no lamps nor CRT.	1	1	1,5	1,5
	Batteries	1	1	1,5	1,5
Transport	One or two types of waste	1	1	1	1
	Three or more types of waste	1	1	1	1
Pre-treatment and Treatment	One or two types of waste, not including batteries	1	1	1	1
	Three or more types of waste, not including batteries	1	1	1,5	1,5
	Batteries	1	1	1,5	1,5
Final Treatment	One or two types of waste, not including batteries	1	1	1	1
	Three or more types of waste, not including batteries	1	1	1	1
	Batteries	1	1	1	1

Note: when the audit covers more than one type of operation, the total duration of the audit shall not exceed 3 man-days.

In addition to the resources used for the on-site audit (**Error! Reference source not found.**), one man-day shall be allocated for the preparation, reporting and handling of nonconformities.

ORDER

The order is done according to the CB's own process with the particular requirement that the product certification order shall be submitted in writing.

APPLICATION REVIEW

ISO/IEC 17065:2012 requirements apply. No specific requirements.

The order review is done according to the CB's own process with the particular requirement that the order review is done by the certifier qualified for the scope or by the reviewer.

AGREEMENT

ISO/IEC 17065:2012 requirements apply. No specific requirements.

4.9.3 ASSESSMENT OF CONFORMITY

AUDIT TEMPLATES AND FORMS

The following templates shall be used by all CEWASTE auditors

- CEWASTE Audit Plan template - included in Deliverable D.3.2;
- CEWASTE Audit Report template - included in Deliverable D.3.2;
- CEWASTE Audit checklist and verification manual tool for reviewing fulfilment with the CEWASTE requirements – available for download on the CEWASTE website under: https://cewaste.eu/library/.

Additionally, auditors can refer operators to undergo certification to the CEWASTE assurance manual to assist in preparation for the audit. The manual is available for download on the CEWASTE website under: https://cewaste.eu/library/.

TYPES OF REQUIREMENTS AND NON-CONFORMITIES AND HOW THEY ARE TO BE CONSIDERED TOWARDS CERTIFICATION

For the assessment of conformity, requirements have been split into two types of requirements as is specified in the excel checklist and verification manual tool and in the assurance manual tool:

- High relevance requirements (HRR): this type of requirements are considered critical, and non-compliance with HRR may lead to (potential) significant damages to the environment, persons or mistreatment of the waste in the scope of the audit. Requirements associated to legal compliance are also included in this group, given that illegal practices may lead to closure or los of the activity permit of the auditee.
- (other) requirements: this group includes requirements that are not considered high relevance requirements.

Definition of non-conformity and types of non-conformities (NC)

When the auditor identifies practices against the principles and conditions of the CEWASTE requirements, and/or there is no evidence showing compliance with CEWASTE requirements, a non-conformity shall be open. There are two types of NCs:

- Highly relevant non-conformities: NC associated to high relevance requirements,
- Other non-conformities: NC associated to other requirements

When the amount of NC associated to "other" requirements is excessively high (exceeding 30% of the requirements) the auditor shall also open a HRNC.

Additionally, auditors may spot improvement opportunities during the auditing process, and may communicate them to the auditee as a recommendation for improvement.

The auditor may open a HRNC associated to an ''other'' requirement when the severity of the situation requires so (e.g. the current practices at the auditee facilities may endanger workers safety, lead to potential serious release of hazardous substances to the environment etc.)

Management of NCs

In the audit report, auditors shall identify the CEWASTE requirements that are not met by the auditee and describe the evidences proving non-compliance that were encountered during the audit (Figure 2).

Auditors shall inform auditees about the NCs identified and require them to apply the necessary measures for solving the non-conformities within a determined time period.

Auditees shall be informed of the relevance of closing the NCs.

The necessary time period for solving a non-conformity will be set based upon the auditor's judgement and considering the following:

- Highly relevant Non-conformities (HRNC): NC associated to requirements of high relevance shall be closed within a maximum time period of 3 months if the facility is to be certified, and
- Non-conformities associated to other requirements may be closed before the next audit takes place (according to the auditing cycle). At least 50% of the identified non-conformities ("other" requirements) identified in an audit must be closed before the next audit takes place.

In order to solve the non-conformities, auditees shall provide a description of the measures implemented supported by the necessary records and evidences (pictures, reports, etc.). The closure of the non-conformity will include an assessment of the efficiency of the closing measures, and proof that no recurrent NC occurred during one year after closing the NC.

Auditors shall verify that the NCs are closed within the time period given, and that the evidences and efficiency of the measures are appropriate.

In the case of highly relevant NC, the auditor may decide to verify the application of closing measures on site. This will require a specific follow up visit in which the auditor will be able to confirm (or not) the closure of the NC and may recommend either, a positive evaluation (and certification) of the auditee, or a failed audit and removal of the certificate. For other NCs, the auditor will have the opportunity to verify the closure of the NCs in the next scheduled audit as defined in the CEWASTE auditing cycle.

When more than 30% of the other requirements are not met, then a HRNC shall be open. A follow up visit of the auditor at least 6 months before the next audit shall be performed to close this HRNC.

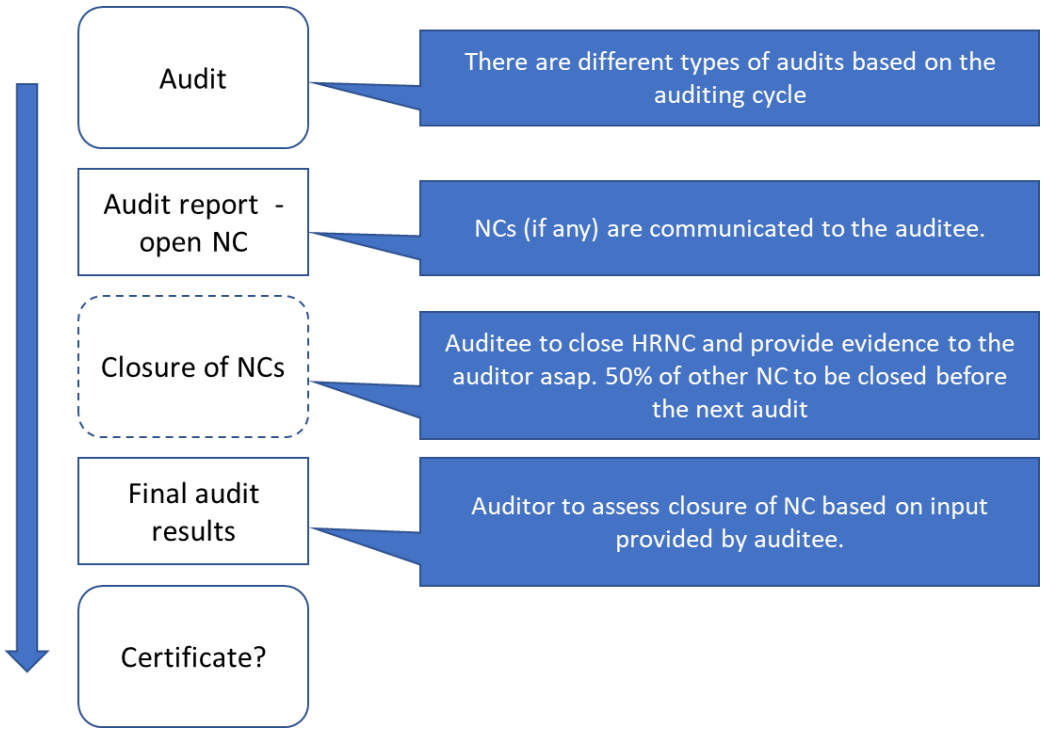

Figure 2. Flow of the auditing process in relation to non-conformities

Certification of the auditee based on the audit results

Auditors will communicate to the certification scheme and the auditee the results of the audit, including the assessment of the closure of the NCs.

The results of the audit will determine if the auditee will obtain a certification (or continuation of the certification) based on the following conditions:

- High relevance requirements are considered critical and the auditee must show evidence of compliance with ALL of them in order to be able to be certified (or positively recommended for certification, or continued certification).
- If more than 30% of the other requirements are not met, the auditor shall consider this a HRNC, hence a *sine quanon* condition to obtain the certificate includes the compliance of at least 70% of the other requirements.
- In follow up audits, at least 50% of the open NCs coming from the previous audit shall be closed in order to continue having a certificate (Figure 3).

The above criteria may be adjusted to ensure continuous improvement of the audited facilities and processes and full compliance with requirements. The certification scheme will assess and revise every two years the conditions for obtaining a certificate.

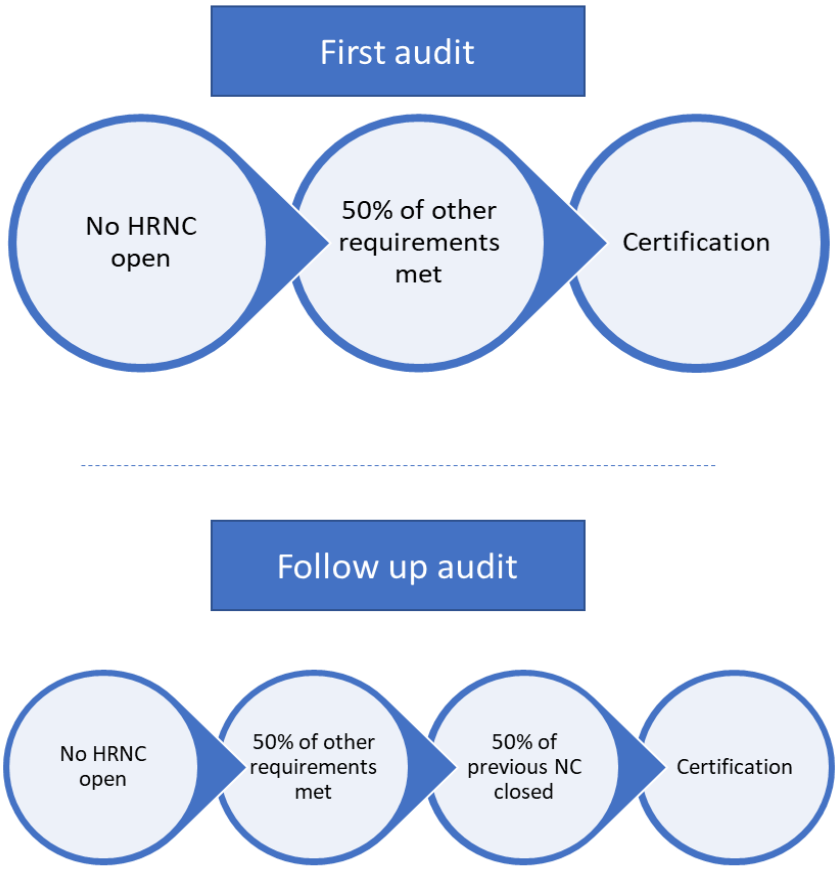

Figure 3. Relation of non-conformity types and the need for a follow-up audit

AUDIT PROGRAMME

This is designed by the CEWASTE CB who has an agreement with the operator applying for CEWASTE certification.

The audit programme is established based on the rules of the CEWASTE scheme and contains the list of all audits and assessments required to assess conformity and as a result grant and maintain CEWASTE certification for a given operator.

The assessment programme specifies all conformity assessments required prior to granting a certificate be they initial audits, surveillance audits, sampling or other types of activities.

AUDIT TYPES

There are several types of CEWASTE audits.

A brief description of those audit types is provided in Table 5 below:

Table 5. Audit types

Type of audit	Description	Objectives
Initial audit	This type of audit applies to operators who are applying for CEWASTE certification or for an extension of the scope of an existing CEWASTE certificate. This type of audit covers all requirements in scope of the application.	• Assessing compliance with applicable CEWASTE requirements (scope of the application) • Make findings on conformity / non-conformity and opportunities for improvement.
Surveillance audit	This applies to operators whose CEWASTE certificate is valid. The objective is to assess whether requirements are continuously fulfilled. The cycle for such audits is typically one year. This can be combined with an audit covering a scope extension.	• To confirm if the operator's activities, system and associated processes continue to conform with the applicable CEWASTE requirements (Scope of the CEWASTE certificate)
Follow-up audit	This type of audit takes place when the LA requires it in order to validate the implementation of corrective actions to a nonconformity observed during an audit (initial or surveillance) The scope of the audit is restricted to that only and other issues will not be covered. Follow-up audits may be combined with other types of audits.	• To evaluate the implementation and effectiveness of corrective actions related to non-conformities observed in the previous audit(s).
Exceptional audit	For specific observations or other types of partial assessment.	

TEAM SELECTION

Upon reception of the assignment, the auditing organization shall select and appoint the audit team, including the LA and – when necessary – other auditors.

The team selection is made, taking into account the competence needed to achieve the objectives of the audit.

AUDIT EXECUTION

Preparation and document review

The LA shall prepare the audit based on the CEWASTE rules and the review of the documentation provided by the CEWASTE Certification Body:

- last audit report (if relevant),
- results of the last audit (NC),
- type of audit,
- scope of the audit,
- scope of the certification sought / valid and
- other information necessary to prepare the audit plan.

Audit plan

The LA is responsible for preparing the audit plan. It is prepared upon reception of the assignment. It contains key information on the audit including resources and the agenda of the visit(s).

The CB / LA shall contact the operator upon reception of the assignment in order to check that there are no major aspects affecting the appropriateness of the assignment and to collect information necessary to schedule the visits and prepare the audit plan.

In particular, the following must be checked:

- The details of the assignment are correct*:
  - address of the locations to be assessed; and
  - activities at each site;
- The contact details of key contacts at the operator's various sites;
- Arrangements necessary when the language of the audit team does not match with the language used at the operator; and
- Ensure safety of the auditors and the other personnel involved immediately upon arrival at the audited sites (ask for HSE guidelines, check whether protective equipment is required / available and so on).

*Note that requests for changes in scope / update of addresses must be addressed to the Certification Body and cannot be handled by the auditing organization as they constitute a change of audit programme.

Several visits may be covered by a single audit plan.

An audit plan may not cover more than one operator.

The audit plan must be sent to the customer in advance to ensure relevant personnel is available during the visit.

The audit should be scheduled no later than two months from the reception of the assignment except if otherwise requested in the details of the assignment.

Audit

The audit shall be conducted according to the audit plan.

AUDIT RESULTS

The LA is responsible for compiling all findings of the audit and documenting them. Only the CEWASTE audit report template in force may be used.

Findings

Whenever a deviation from the requirement is observed, the LA (in consultation with the audit team) shall:

- document the observed deviation in the audit report;
- select the appropriate level of deviation:
    - no direct effect on conformity: observation, finding or remark,
    - minor nonconformity, or
    - major nonconformity.

Nonconformities

Relevant requirements of ISO/IEC 17065:2012 apply. These consist but are not restricted to clause 7.4 Evaluation.

The LA is responsible for handling nonconformities.

The content of the report shall be presented to the operator during the audit's closing meeting.

A copy of the final report may be shared with the operator but only after the decision by the CEWASTE Certification Body on whether the certification is granted / maintained / reduced / suspended or withdrawn.

If one or more nonconformities have arisen, the LA shall inform the operator that acceptance / maintenance of the certificate requires the operator to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time.

An operator's certification is not granted nor maintained for as long as there are open nonconformities.

Minor non-conformities allow for conditional acceptance of the operator.

The LA shall review the corrections and corrective actions submitted by the client to determine if these are acceptable.

Nonconformities can either be cleared by the provision and acceptance of corrective actions or by these and a follow-up audit for which there are positive results.

If the operator fails to provide corrective actions prior the due date set by the LA, this shall constitute a major non-conformity.

Information provided to the certification body

The audit team shall provide, as a minimum, the following information to the certification body:

- The audit report,
- Comments on the nonconformities and, where applicable, the correction and corrective actions taken by the operator,
- Confirmation of the information provided to the certification body used in the application review, and
- A recommendation whether or not to grant / maintain certification, together with any conditions or observations.

4.9.4 CERTIFICATION REVIEW AND DECISION

ISO/IEC 17065:2012 requirements apply. No specific requirements.

4.10 CERTIFICATES

A CEWASTE certificate is a document issued by an accepted CB to inform that one waste management process has been assessed according to the relevant requirements of the standards applicable to the process in question and that the processes were found to be in conformity with those standards.

This section constitutes a first version and shall be updated towards once the CEWASTE Scheme is activated.

4.10.1 ISSUING CERTIFICATES

FORMAT AND SCOPE

The Management Board shall decide on the layout and content of CEWASTE Certificates.

A preliminary version of a CEWASE certificate is included in Annex III.

The CEWASTE Certificates shall always contain a clear description of the scope, the name and address of the applicant, site and the version of the standard. The CEWASTE certificates shall also include the CEWASTE logo as well as the identification of the auditor and CB under which the audit is being performed (name, contact details, logo).

The certification document shall detail all streams for which the audit has been held and conformity established from the following streams:

- All WEEE
- All batteries
- Lamps
- CRT
- Fluorescent powders
- Magnets
- Printed circuit boards
- Lead acid batteries
- Li-Ion batteries

The certification document shall detail all operators for which the audit has been held and conformity established from the following operator types:

- Collection point
- Collection facility
- Logistics facility
- Pre-treatment facility
- Final treatment facility

CEWASTE Certificate signature (authorized person)

The CEWASTE Certificate shall be signed by an authorized person operating within the Certification department of the CB issuing the certificate.

The name and signature of the authorized person shall clearly appear on the CEWASTE Certificate and the names shall be declared to the CEWASTE Secretariat and listed in the Quality Procedure used by the CB to process the CEWASTE Scheme.

Validity of certificates

4.10.2 Reporting of certifications

Certification Bodies shall report all newly registered Certifications of conformity to the CEWASTE Secretariat as a minimum on a monthly basis.

The reporting shall include details on the identity of certified operators, the scope of certification, specification of any exclusions as well as requirements to perform a follow-up audit within a specific period.

4.10.3 Register of Certificates issued

The CB shall maintain a register of certificates issued.

4.10.4 Conditions for use of the CEWASTE logo and certificate

Reference to CEWASTE Certificates

By Registered CBs

The CEWASTE Logo can be used by CBs on their website. Use of the logo on the certification offers and on commercial documents etc., shall also be permitted for CBs and by their associated auditors

as long as the CB registration to the CEWASTE Secretariat is valid. Should the registration of a CB be withdrawn, use of logos is to be terminated within 20 working days.

By certified operators

CB Certificates can be used for advertising or sales promotion provided they are valid.

When making reference to the CEWASTE Certificate, there shall be no ambiguity concerning the processes and locations covered by the certificate.

Reference to CEWASTE certificates shall not be used in any form of advertising or sales promotion when they cease to be valid.

The CEWASTE logo may be used by the operator in promotional material, provided that use is in line with the conditions above. The operator shall inform the CB of its intention to make use of the logo and shall subsequently be provided the logo files for this purpose. Use of the logo or publication of the CEWASTE Certification on virtual platforms is only permitted as long as the certification is valid.

4.11 Changes to the Scope of Certification

The scope covered by a certificate may be revised.

4.11.1 Scope extension

The scope extension procedure is identical to that of applying for initial certification.

4.11.2 Reduction of scope

The scope of a certification is to be reduced if the operator fails to maintain its conformity of their systems and procedures to the CEWASTE normative requirements or if they have ceased to handle the stream of waste for which the certification was given.

4.11.3 Suspension and withdrawal

In circumstances where a registered CEWASTE CB does not meet CEWASTE scheme's applicable requirements, its registration shall be suspended by the Management Board.

4.12 FINANCE

This section constitutes a first version and shall be updated once the scheme is activated.

4.12.1 FEES

To finance the secretarial work of the CEWASTE scheme owner, several fees shall be levied:

- A fee for each CEWASTE certificate issued.
- An application fee for CB applications (initial or modification of scope)
- A membership annual fee for registered CBs

The amount of the fees shall be decided upon by the Management Board.

5 REFERENCES

1. ISEAL (2018), Assuring Compliance with Social and Environmental Standards - ISEAL Code of Good Practice, Version 2.0 – January 2018, ISEAL Alliance (2018), last viewed 26.8.2019, available under: https://www.isealalliance.org/sites/default/files/resource/2018-02/ISEAL_Assurance_Code_Version_2.0.pdf
2. ISO (2013), ISO/IEC 17067: Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes, First edition 2013-08-01
3. ISO (2004), ISO/IEC 17000:2004: Conformity assessment - Vocabulary and general principles

ANNEXES

ANNEX 1: TEMPLATE OF THE CEWASTE - CB AGREEMENT

The following agreement should be used as a template for the contractual registration of parties as Certification Bodies under the CEWASTE Scheme.

CEWASTE Scheme Agreement for registration of a party as a certification body

The

The CEWASTE Scheme, represented by [authorised signatory NAME] of [CEWASTE owner organisation NAME], [CEWASTE owner Organisation Address],

- CEWASTE Scheme -

and

[NAME of Party to be registered as CB], [Party ADDRESS], represented by [authorised signatory NAME]

- Certification Body to be registered -

hereby conclude the following Agreement :

Preamble:

The objective of the CEWASTE Scheme is to contribute to an improved recovery of valuable and critical raw materials (CRMs) from key types of waste through traceable and sustainable treatment processes in the entire supply chain of secondary raw materials. This is addressed through assuring the compliance with the CEWASTE standard requirements, which aim on the one side at increasing the amounts of CRMS recovered and on the other side at ensuring that processes which contribute to the recovery of CRMs shall have a minimum level of sustainability.

The undersigned agree that the following Agreement is concluded in this spirit.

§ 1

Choice of Law

The contracting parties agree that XXX [country to be determined byased on CEWASTE Owner] law shall apply.

§ 2

Subject Matter of the Agreement

The subject matter of the Agreement concerns the registration of [NAME of Party to be registered as CB], as a certification body under the CEWASTE Scheme, herewith authorizing [NAME of Party to be registered as CB] to certify the compliance of facilities with the CEWASTE Standard.

Once registered as a certified body, [NAME of Party to be registered as CB] shall ensure that all compliance assessments to be performed under its authority are conducted in line with the CEWASTE Scheme rules and guidelines.

§ 3

Scope of activities for which the CB is registered

This is to certify that [NAME of Party to be registered as CB] is registered to operate in the name of the CEWASTE Scheme under the flowing activities [erase activities that are irrelevant]:

- ...
- ...
- ...

§ 4

Requirements of the CB in relation to auditors operating under its supervision

The CB shall apply qualification processes for auditors in compliance with the CEWASTE Scheme rules.

The CB shall ensure that auditors operating under its supervision are qualified to operate as such in at least one of the areas specified in the CEWASTE Scheme for the scope of activity of auditors.

The CB shall document the scope of activity of all auditors operating under its authority and shall update the documentation in cases where this scope changes for each of its auditors individually.

Where a specific auditor, qualified to operate under the supervision of the CB, is found to no longer be appropriate to operate as a CEWASTE auditor, the CB shall inform the CEWASTE Scheme of the non-conformance of the auditor to required qualifications.

§ 5

Changes affecting further fulfilment of this agreement

In the case of any change that may affect the ability of [NAME of Party to be registered as CB] to fulfil the terms and conditions of this agreement, the CEWASTE SCHEME shall be notified of these changes within 5 working days.

Should the following acceptance criteria for certification bodies no longer be fulfilled by [NAME of Party to be registered as CB], non-fulfilment of the terms and conditions of this agreement shall be concluded:

- ISO/IEC 17065:2012 requirements are fulfilled in relation to.
  - Legal and contractual matters;
  - Liability and financing, non-discriminatory conditions;
  - Organisational structure and top management, mechanism for safeguarding impartiality;
  - Resource requirements;
- The registered CB is not, or is not influenced by, a body which sells or provides services that are in the scope of the CEWASTE scheme.

- The registered CB is impartial and does not offer assistance or other services which may compromise the objectivity of its certification activities and decision.
- All personnel involved in the CEWASTE certification process under the authority of [NAME of Party to be registered as CB] have appropriate competence in the CEWASTE rules and requirements.

§ 15

Severance Clause

In the event that individual provisions of this Contract are or become invalid, they shall be replaced by provisions which most closely correspond with the spirit of this contract. The same applies in the case of omissions.

§ 16

(Space for additional clauses)

_____

_____

_____

_____

On this the [_____] day of the month of [_____], in the year [_____]

_____	_____
[CEWASTE Scheme]	[NAME of Party to be registered as CB]
represented by [authorised signatory NAME]	represented by [authorised signatory NAME]

agree to the terms and conditions set forth in this agreement.

ANNEX 2: TEMPLATE OF THE CEWASTE CB REGISTRATION FORM

To be added once the scheme is activated - form to include specification of the scope for which registration is sought.

ANNEX 3: TEMPLATE OF THE CEWASTE CERTIFICATE

The following certification should be used as a template for the Certification of Conformity of Certification Bodies under the CEWASTE Scheme.

CEWASTE
Voluntary certification scheme for waste treatment

Insert Name of the Auditing company

Insert contact details of the Auditing company

(insert conformity seal)

Certification of Conformity

of

Waste of (choose: electrical and electronic equipment/Batteries) (choose: collection & logistics/pre-treatment/treatment) operator, (specify waste stream handled) facility

With the requirements of the CEWASTE normative requirements (specify version)

Management requirements (add detail if necessary)	Specify to which waste stream fractions the requirements are applicable (add lines as necessary)
Technical requirements (add detail if necessary)	Specify to which waste stream fractions the requirements are applicable (add lines as necessary)

The certification of Conformity is in compliance with the CEWASTE Certification Scheme – (specify CB name)

To the audited company (specify WEEE/waste batteries
and specify type of operator):
Specify operator name
Specify company details

For the following waste streams:

WEEE/waste batteries stream*:	**Operator type*:**	**Exclusion and details:**
(specify all streams)	(specify all operator types)	(detail as needed)

*The treatment streams and operator types are specified in the CEWASTE Scheme rules, clause 5.10.1

Certificate No:
Lead auditor (initial audit): Detail LA name
if performed specify also:
Lead auditor (follow-up audit): Detail LA Lead auditor
(surveillance audit): Detail LA name
Registration date: (specify)
Date of expiry: (specify)

Specify place of certification

Managing Director:

Date:

(Insert CB logo)

The Certification of Conformity is dependent on the above (insert type) operator maintaining their systems and procedures to adhere to the CEWASTE normative requirements document (specify Version) and associated documents as defined above and complying with the terms and conditions agreed with the (insert CB name) and of the CEWASTE Scheme Rules. The Certification of Conformity is the property of (insert CB name) and shall be returned upon request to the (insert CB name) on cessation of certification for whatever reason. The (insert CB name) will maintain a list of certified (insert CB name) operators and their scope of certification.
Certification body operator: (insert CB name and CB contact details)