



ACCREDITATION RULE 33
Issue Date: 2009/05/22
Implementation Date: 2009/05/22
Supersedes: New

SUBJECT: Accreditation Program for e-Stewards® Certification

APPLIES TO: ANAB Accredited and Applicant e-Stewards® Certification Bodies

PREFACE

This Accreditation Rule is to inform certification Bodies (CBs) of ANAB's requirements for becoming accredited to offer certification for the e-Stewards® Program for responsible recyclers of used electronic equipment.

ACCREDITATION RULE

1. Requirements Documents

- 1.1. e-Stewards® Standard for Responsible Recycling and Reuse of Electronic Equipment® and Annex 2 of this document. This document can be obtained from the Basel Action Network (www.e-Stewards.org)
- 1.2. ISO/IEC 17021:2006 Conformity assessment – Requirements for bodies providing audit and certification of management systems

2. Prerequisites

- 2.1. Candidate e-Stewards® Program CBs shall have demonstrated competency in accordance with ISO/IEC 17021 in electrical and electronic equipment and recycling industries.
- 2.2. Candidate e-Stewards® Program CBs shall have been accredited by ANAB, a Multilateral Cooperative Accreditation Agreement (MCAA) member, or an International Accreditation Forum (IAF) multilateral recognition arrangement (MLA) signatory national accreditation body to provide environmental management systems audit and certification services in accordance with ISO 14001 for a period of at least one year prior to application for participation in this Program.
- 2.3. Candidate e-Stewards® Program CBs shall be resident in North America and shall initially qualify at least two e-Stewards® Program lead auditors, as defined by the CB, prior to accreditation.
- 2.4. Candidate e-Stewards® Program CBs and their e-Stewards audit team members shall be familiar with the Basel Convention, especially Annexes I, II, III, IV, and V.

3. Application Process

- 3.1. Candidate e-Stewards® Program CBs may obtain an application for informational use at www.anab.org.
- 3.2. The application process outlined at www.anab.org shall be completed via ANAB's database, Enterprise Quality Manager (EQM), when the CB is ready to apply for e-Stewards® Program accreditation.

4. Initial Assessment for Accreditation

- 4.1. An ANAB assessor shall conduct a documentation review of candidate CB's documentation to support e-Stewards® accreditation, including a review of the competency analysis performed by the CB for each auditor to be qualified for participation in the Program.
- 4.2. Based upon review of the documentation and after documentation is determined to be in conformance with Program requirements, ANAB shall decide whether an initial office visit shall be required.

Note: An initial office visit may not be required if it can be determined that the candidate CB has sufficient experience in auditing electronics scrap recyclers against ISO 14001 or an equivalent environmental management system standard.

- 4.3. Following initial document review ANAB shall schedule and conduct at least one stage 1 and stage 2 witnessed audit of the candidate CB auditing an e-Stewards® candidate against the full requirements of the e-Stewards® Standard.

5. Maintaining e-Stewards® Accreditation

- 5.1. ANAB shall conduct an office surveillance assessment of the accredited e-Stewards CB annually. This assessment may be conducted in conjunction with any regularly scheduled office assessment.
- 5.2. ANAB shall conduct a witnessed field audit of the CB conducting an e-Stewards® audit at least every 18 to 30 months, beginning with the date of the original accreditation and each subsequent date of witness audit thereafter. The witnessed audit may be for initial certification, surveillance, or recertification.
- 5.3. Candidate e-Stewards® Program CBs shall maintain with reasonable intent at least two e-Stewards® Program lead auditors, as defined by the CB, resident in North America after accreditation.

6. Re-accreditation

- 6.1. The e-Stewards® CB's accreditation period shall be established initially to coincide with the CB's ISO 14001 accreditation and thereafter shall follow the re-accreditation sequence for ISO 14001.

7. e-Stewards® Auditing and Certificate Issuance

- 7.1. No unaccredited e-Stewards® certificates may be issued by a CB accredited by ANAB.
- 7.2. An e-Stewards® certificate issued by a CB must include the ANAB accreditation mark and the e-Stewards® logo in accordance with licensing or other requirements for those marks and/or logos.

Note: The Basel Action Network (BAN) will consider other accreditation bodies to provide accreditation services in the future but only ANAB is currently authorized by BAN to engage in the e-Stewards® Program.

- 7.3. Accredited e-Steward® CBs shall be encouraged to respect the work performed by other accredited e-Steward® CBs. Evidence of certification to ISO 14001 by another accredited (with reference to section 2.3 of this document) CB shall be considered in the planning of an e-Steward® audit with the intention of minimizing redundancy and maximizing value.

8. Performance Criteria

- 8.1. e-Steward® CBs shall observe and verify industry specific baseline performance criteria as referenced in the e-Stewards® Standard.

8.2. Along with the status of certification of the e-Steward[®] organization, an e-Stewards[®] CB shall confirm at each audit that data submitted by the organization to a data bank is accurate and current.

9. Personnel Competencies and Qualifications

9.1. Program management

9.1.1. Competence

9.1.1.1. The CB's program manager for the e-Stewards[®] Program shall possess and apply knowledge of the current version of the e-Stewards[®] Program requirements standard, the environmental management system requirements of the current version of ISO 14001 and recycling, and electronics recycling in particular.

9.1.1.2. The CB's program manager for the e-Stewards[®] Program shall possess and apply the skills necessary to provide effective management of the CB's program and discuss at a technical level any questions the CB's clients might have with regard to the program management specific to this Program.

9.1.1.3. The CB's program manager shall attend an e-Stewards[®] auditor training course as a mandatory training requirement. As a continuing education requirement, the program manager must successfully complete a refresher training course approved by BAN every 36 months following completion of the initial training.

9.1.2. Qualification

9.1.2.1. The CB must define the personal attributes, training, education, and work experience the program manager must possess.

9.2. Audit team

9.2.1. Competence

9.2.1.1. Auditors shall possess and apply knowledge and skills related to the current version of the e-Stewards[®] Program requirements standard, the environmental management system requirements of the current version of ISO 14001, and other skills and knowledge as defined by BAN or the e-Stewards[®] Program, and shall be a qualified ISO 14001 auditor as a prerequisite.

9.2.2. Qualification

9.2.2.1. At a minimum, each auditor shall have successfully completed an auditor training course approved by BAN.

9.2.2.2. As a continuing education requirement, each auditor must successfully complete a refresher training course approved by BAN every 36 months following completion of the initial training.

9.3. Staff

9.3.1. Certification decision maker(s)

9.3.1.1. Competence

9.3.1.1.1. The CB's decision maker(s) for the e-Stewards® Program shall possess and apply knowledge of recycling and electronics recycling in particular.

9.3.1.1.2. The CB's program manager for the e-Stewards® Program shall possess and apply the skills necessary to provide credible decisions for granting certifications.

9.3.1.2. Qualification

9.3.1.2.1. The CB must define the personal attributes, training, education, and work experience decision maker(s) must possess.

9.3.2. Contract Review Staff

9.3.2.1. Competence

9.3.2.1.1. The CB's contract reviewers for the e-Stewards® Program shall possess and apply knowledge of accurate quoting for the proper number of auditor days for each applicant organization. This shall include at the quotation stage consideration of the candidate e-Steward's operations with respect to:

- The number and nature of potentially hazardous processing technologies.
- The nature and complexity of the downstream recycling chain used by the company.
- Whether the company currently engages in any exporting of recycled or processed materials.

9.3.2.2. Qualification

9.3.2.2.1. The CB must define the personal attributes, training, education, and work experience contract reviewers must possess.