



ACCREDITATION RULE 33
Issue Date: 2011/03/24
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Supersedes: 2009/05/22

SUBJECT: Accreditation Program for e-Stewards® Certification

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

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB's requirements for accreditation to certify for the e-Stewards Program for responsible recyclers of used electronic equipment.

ACCREDITATION RULE

1. Requirement Documents (current versions)
 - 1.1. e-Stewards Standard for Responsible Recycling and Reuse of Electronic Equipment® and Annex 2 of this document (can be obtained from the Basel Action Network www.e-Stewards.org)
 - 1.2. ISO/IEC 17021 Conformity assessment – Requirements for bodies providing audit and certification of management systems
 - 1.3. MA 6000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules
 - 1.4. IAF Mandatory Documents as applicable
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 <http://www.anab.org/certification-bodies/become-a-certification-body.aspx> shall be completed via ANAB's Enterprise Quality Manager (EQM) database when the CB is ready to apply for e-Stewards Program accreditation.
 - 3.3. The application fee includes the cost of one assessor day for the off-site documentation review.
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 on 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 the initial document review, ANAB shall schedule and conduct at least one stages 1 and 2 witnessed audit of the candidate CB auditing an e-Stewards candidate against the full requirements of the e-Stewards Standard.

4.3.1. The stage 2 audit shall be conducted by a team of at least two auditors of the CB.

4.3.2. The ANAB assessment team shall have the same number of team members as the CB audit team.

5. Ongoing Surveillance

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 once every 24 months. 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 initially shall be established 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 referred to 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 competence

- 9.1.1. 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.
- 9.1.2. 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.
- 9.1.3. 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.

9.2. Program management qualification

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

9.3. Audit team competence

- 9.3.1. 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.

9.4. Audit team qualification

- 9.4.1. At a minimum, each auditor shall have successfully completed an auditor training course approved by BAN.
- 9.4.2. 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.

9.5. Staff certification decision maker(s) competence

- 9.5.1. The CB's decision maker(s) for the e-Stewards program shall possess and apply knowledge of recycling and electronics recycling in particular.
- 9.5.2. The CB's program manager for the e-Stewards program shall possess and apply the skills necessary to provide credible decisions for granting certifications.

9.6. Staff certification decision maker(s) qualification

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

9.7. Contract review staff competence

- 9.7.1. 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:
 - 9.7.1.1. The number and nature of potentially hazardous processing technologies.
 - 9.7.1.2. The nature and complexity of the downstream recycling chain used by the company.

9.7.1.3. Whether the company currently engages in any exporting of recycled or processed materials.

9.8. Contract review staff qualification

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