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**GUIDANCE FOR UNDERSTANDING THE AUDIT REQUIREMENTS**

**Following successful completion of the online application process the auditor will be instructed to conduct the audit.**

**THE AUDIT – STAGE ONE**

The auditor will arrange a telephone interview with the applicant to go through the information submitted in the online application in more detail.

The auditor will also confirm the dates for the onsite physical audit together with the applicant

**THE AUDIT – STAGE TWO**

The auditor will conduct a physical onsite audit at the site(s).

**In addition to the application stage documents, access to the following documents is required for the audit stage:**

- Access to Waste Transfer Notes (WTFs) and Annex VII sheets / other shipping documents

- Access to Risk assessments

- Access to COSHH assessments

- Access to staff training records

- Access to equipment maintenance checks

- Fire alarm testing records

- Emergency lights testing records

- Fire drill records

- Access to drivers training records, if applicable

- LOLER inspection certificate for FLT, lifting equipment, if applicable

- Access to FLT trucks daily checks, if applicable

- Access to company vehicles registration details

- Access to driving licence copies, if applicable

- Access to Safety Data Sheets (SDS)

- WAMITAB training certificate, if applicable

- Access to workers' files

- Access to written Statement of particulars of employment, or a contract of employment,

- Access to payslips

- Company procedure to avoid discrimination in the workplace

**BUSINESS CHECKS**

The auditor will need to verify that the premises exist, and operations are being conducted from that address.

* the company address is confirmed against site permit and insurance documentation

It is mandatory to have employers’ liability insurance to a min. of £5 million.

* Liability insurance certificate displayed in the workplace

The auditor will ask whether the business have received any enforcement / stop notices

* The organisation must also declare whether the company has been the subject of any enforcement action previously or is undergoing investigation currently.
* If any enforcement / stop notices have been issued, all actions have been closed off

**LICENCE AND PERMIT CHECKS**

Information shall be provided on the scope of the organisations waste operations.

The auditor will be looking for evidence that the organisation can demonstrate that it is complying with the licences and permits, and such evidence could include site own calibrated weighbridge with accurate recording of quantities coming into and going out of the business.

The organisation must be able to demonstrate accurate evidence of recording of quantities in and out.

Licenses and permits must be provided for the main office and all subsidiary sites. We would draw your attention to the requirement to declare all sites and the potential penalties if information is withheld.

**HEALTH AND SAFETY**

If the organisation is already certified to a recognised health and safety standard such as ISO 45001 (or similar), please declare this as it will demonstrate that the organisation is operating to a recognised level of competency.

The auditor will be looking at several areas including (but not limited to):

* General housekeeping & working conditions
* General health & safety practices
* Fire safety measures
* Risk assessments and identification of safety measures including guarding of equipment, staff training and use of PPE etc.
* First aid and accident management
* Chemical management
* Transport

**ENVIRONMENTAL MANAGEMENT**

If the organisation is already certified to a recognised environmental management standard such as ISO 14001 (or similar), please declare this as it will demonstrate that the organisation is operating to a recognised level of competency.

The auditor will be assessing that the environmental policy is in place and how it is applied in the workplace.

**OPERATING PRACTICES AND COMPETENCE**

The auditor will be assessing how the organisation provides information on the processes and controls that are in place for the management and implementation of its waste operations, including:

Operational Control – Capacity

How the organisation ensures the operations remain within the maximum capacity based on the relevant permit or exemption requirements

Waste Collection - Inputs

Does the organisation have a documented process in place to select and monitor any third party it uses and what are the parameters of the types of waste that would be accepted?

Operational Control – Outputs

The organisation must be able to demonstrate that at least **50%** of the mattresses received are recycled

The organisation must demonstrate how it maintains control of waste within the organisation’s custody:

* How are the different materials processed, identified, and selected for output?
* Is there evidence of appropriate disposal of the different waste streams?
* What materials / outputs are categorised as suitable for reuse / recycling?
* How does the organisation select and monitor any third-party disposal contractors?
* How the organisation controls the output it generates including a means of identification on the materials or a statement accompanying the goods stating the origin?

**LABOUR STANDARDS**

If the organisation has already been assessed to a recognised International Labour standard such as SMETA 4 pillar (or similar), please declare this and provide a copy of the latest full audit report so that the performance of the organisation against these requirements can be assessed.

The auditor will be looking for evidence that the organisation is adhering to International Labour Standards and will be looking at the following areas including (but not limited to):

* Right to work in UK
* Working hours and correct payment of wages
* General labour standards
* Compliance with Modern Slavery Act where obligated

**AUDIT OUTCOMES**

