



## **EuCertPlast Audit Scheme**

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**Version: 3.8**

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## 1 Introduction

EuCertPlast Certification is a European wide certification programme for recyclers of post-consumer plastic waste. Certification focuses on management systems, environmental and administrative operating standards and associated legal compliance and is awarded on a per recycling process basis.

The aim of the EuCertPlast certification programme is to recognise plastic recyclers operating to high standards, to give confidence to suppliers that any waste plastic they deliver to recyclers certified under the scheme will be recycled as per best practise, with respect for the environment and in accordance with national legislation and to customers that the outputs produced comply with all relevant legal and environmental legislation.

## 2 Use of Definitions

Defined words used in this report are in *italics* and start with a capital letter. These words are defined in Appendix 1.

## 3 Focus of the Certification

The *Certification* should be focused on management systems, environmental and administrative operating standards at the *Recycler* and associated legal compliance. *Certification* will be for each *Recycling Process* operating at a site.

As a summary, the *Certification* will cover the following areas:

- Operating and environmental permits required for the country of operation.
- Staff training, qualifications and organisation.
- Incoming material procedures and controls.
- Stock management.
- The *Recycling Process* and associated mass balance calculation.
- Controls on *Recycled Outputs*.
- Environmental protection.
- Subcontracting.
- Quality Management and traceability.

The aim of the audit (*Certification*) should be to recognise plastic recyclers operating to high standards and to give confidence to suppliers that any *Input Waste Plastic* they deliver to a *Certified* recycler will be recycled as per *Best Practise*, with respect for the environment and as per national legislation. In addition, the *Certification* will assure buyers of the *Recycled Output* that it complies with all relevant legal and environmental legislation. The *Certification* focuses on material traceability in the supply chain and throughout the *Recycling Process*, assessment of conformity and recycled content in the end product and as such uses as a base the principals set out in EN15343:2007. Assessment of *Recycled Outputs* is based on the various EN standards developed for the characterisation of plastic recyclates.

## 4 General Information on Certification

### 4.1 Types, frequency and time on-site

There are 3 main types of audit, all of which will be scheduled and pre-arranged with the *Recycler*:

1. Initial certification audit: an initial audit carried out on a *Recycling Process* (estimated on-site time 1 day).
2. Annual monitoring audit (estimated on-site time 0.5 days).
3. Change to *Recycling Process* audit; see below (estimated on-site time 0.5 days).

### 4.2 Operating performance required for Certification

To standardise the auditing process and define a level of performance a *Recycler* must achieve in order to be given *Certification* each category has been graded in terms of its importance.

Category type	Meaning
1	Compulsory: A <i>Recycler</i> must achieve the required standard for type 1 categories in order to achieve <i>Certification</i> . <i>Minor Discrepancies</i> are allowed in defined circumstances.
2	Important but not essential. A <i>Recycler</i> must achieve a 50% compliance with category 2 items.

### 4.3 Provisional Certification

Where a *Recycling Process* has been in operation for less than 12 months or there are less than 12 months of production or mass balance records then a *Provisional Certificate* will be issued. Where licences are in the process of being applied for, then these must be sent to the auditor when available. If a license application is unsuccessful the auditor must be informed.

#### 4.4 Change to *Recycling Process* audit

A *Recycler* will need to request a 'Change to *Recycling Process*' audit where during a period of *Certification*, significant changes are made to the *Recycling Process*. Changes considered significant are:

- Where the *Equipment Capacity* is changed by more than 50%.
- Where the *Input Waste Plastic* is changed (either a change in polymer or form, i.e. rigid or flexible).
- Where the *Recycled Output* is changed.

#### 4.5 Loss or suspension of *Certification* or changes to the *Recycling Process*

Under the terms of *Certification*, a *Recycler* must inform the audit company if:

- They have an operating or environmental permit removed (that is required by law) or not renewed. Action: removal of *Certification*.
- The *Recycler* goes into administration. Action: removal of *Certification*.
- They intend to, or have, shut down the *Recycling Process* for the foreseeable future (>6months). Action: Suspension of *Certification*.
- There is a significant change to the *Recycling Process* (see Section above). Action: Change to *Recycling Process* Audit arranged.
- The *Recycler* or the *Recycling Process* has been sold to a different and unrelated company. Action: The *Recycler* must inform the auditor and sign a document to confirm that they do not intend to make significant changes to the *Recycling Process*, or its management, that would result in the likely removal of *Certification* (with a focus on Category 1 topics). An example letter to be sent to the *Recycler* and form for them to sign is shown in Appendix 2.

In case of non-compliance, due to any circumstance, with the current or past certificate the *Recycler* must immediately inform by letter its related suppliers, customers and the EuCertPlast Consortium.

All the provided data from the *Recycler* must be provided in good faith, if not the certificate will be revoked.

#### 4.6 Renewal of *Certification*

A monitoring audit can be arranged 6 weeks prior to the expiry of the existing certificate. The date of the new certificate will be from the expiry date of the old one or the date of the audit (if this is after the expiry date).

## 4.7 Cost of the audit

The *Certification* is voluntary and paid for by the *Recycler*.

## 4.8 Eligibility to apply for *Certification*

*Certification* will only be granted for *Recycling Processes* capable of recycling *Post Consumer Input Waste Plastic*.

# 5 Traceability

There are 2 levels of traceability that can be awarded to a *Recycler*. The auditor must decide which level is applicable and show the result on the EuCertPlast Certificate. Guidance is detailed below.

## 5.1 Level 1: Full Traceability

- **Control of input material:** Input controls as per EN 15347 for each incoming batch of *Input Waste Plastic*. Each *Batch of Input Waste Plastic* is identifiable in the stock area.
- **Control of the recyclates production process:** the *Recycling Process* is fed with individual batches of *Input Waste Plastic* or mixtures of batches of *Input Waste Plastics* of known composition. Process variables are recorded. Outputs are prepared in *Batches* and details of the date and time of production recorded. Quality controls are carried out on *Recycled Outputs*. There is full traceability from the input *Batches* to the output *Batches*.
- **Controls on output material:** The recycler can provide the characteristics of each *Batch* of *Recycled Output* produced (in line with relevant EN recyclates characterisation standard or/and customers' requirements) to the end user.
- **Recycled Content:** This can be calculated using the formula in section 6 of EN 15343 (so there must be a known blend of recycled and virgin / other material).
- **Record keeping:** Records are kept of all of the above data.

## 5.2 Level 2: General Traceability

- **Control of input material:** *Incoming Waste Plastic* is stored by the *Recycler* in two or more *Storage Bays*. The *Batches of Incoming Waste Plastic* which make up the contents of a *Storage Bay* are known and fully documented. Each individual *Batch of Incoming Waste Plastic* does not need to be separately identifiable within a *Storage Bay*.
- **Control of recyclates production process:** the *Recycling Process* is fed with the contents of a *Storage Bay* (one *Storage Bay* at a time ensuring that it is completely emptied before introducing *Incoming Waste Plastic* into the *Recycling Process* from a different *Storage Bay*). *Recycled Outputs* can be traced to *Incoming Waste Plastic* from a specific *Storage Bay* and therefore to known *Batches of Input Waste Plastic*. This is fully documented. *Recycled Outputs*

are prepared in *Batches* and details of the date and time of production recorded. Quality controls are carried out on *Recycling Outputs*.

- **Recycled Content:** This can be calculated using the formula in section 6 of EN 15343 (so there must be a known blend of recycled and virgin / other material).
- **Record keeping:** Records are kept of all of the above data.

Nevertheless, if all the four below points are met the recycler can reach the level 2 traceability:

1. the incoming waste plastic is stored in one storage bay;
2. the material is post-consumer (>95%);
3. Recycled outputs can be trace and are fully documented (date and time of production);
4. Quality controls are carried out (on input and output).

The auditor must duly justify in the audit report why he granted the Level 2 traceability accordingly to the above variables.

*Recyclers* producing food Contact recycled polymer that cannot meet traceability level 1 should not be awarded *Certification*.

Please note that in the guidance notes below '1' and '2' refer to the required level of performance (category type) and not levels of traceability. See 'Operating Performance Required for Certification' in the section 'General Information on Certification' above. This remains the case for the sections referring to traceability including 4.2, 5.8 and 5.9.

## 6 Correspondence and Audit Outputs

### 6.1 Pre audit Correspondence

A letter will be sent prior to the audit with:

- The date, place and time of the audit.
- The cost of the audit.
- An introduction to the *Certification* scheme and purpose of the audit.
- Details of any documents, licenses and other paperwork which the auditor will need to review (see below).

The letter stresses that the *Recycling Process* must be in operation at the time of the audit and that should any issues arise that mean this will not be the case that this must be communicated to the auditors so that the date of the audit can be rescheduled. .

The *Recycler* and the *Auditor* will have to sign a Non-Disclosure Agreement in order to safeguard the confidentiality of the information provided by the *Recycler*.

Documents and licenses to be prepared prior to the audit (where applicable)

- All operating licenses;
- All environmental permits and licenses;
- Licenses related to the transport of waste materials, including where subcontractors are used;
- ISO or EMAS certificates;
- Weighbridge certificate;
- Insurance policies;
- Company organogram;
- Job descriptions of key staff (supervisor level or above);
- Staff qualification certificates;
- Details of training programs (technical or quality management related) and staff attendance at these;
- Incoming *Input Waste Plastic* waste specifications.
- Production logs for the *Recycling Process* and associated management reports;
- A report detailing all inputs into the *Recycling Process* over the past 12 months, including *Input Waste Plastic* and additives;
- A report detailing all outputs from the *Recycling Process* over the past 12 months, including *Recycled Outputs*, wastes and by-products;
- Sales records for the past 12 months and associated invoices.
- Details of the supply and treatment of wastes and by-products by suitably licensed facilities.
- Quality testing records for the past 12 months (output and during production, if applicable).
- *Recycled Output* specifications.
- Written procedures for out of specification and rejected incoming loads of *Input Waste Plastic*.

In case the *Auditor* has been appointed by a third party the *Auditor* will have to make clear this position on the letter.



## 6.2 Post Audit Outputs

All the Reports done by the Auditors must comply with the layout & guidance provided by EuCertPlast.

### 6.2.1 Outputs and timescales (successful audit)

- **Draft Report (electronic copy):** Issued no later than 3 weeks after the audit date. The Recycler has 2 weeks to make comments.
- **Final draft Report:** Sent by the Auditor as an anonymous report to the EuCertPlast independent Third Party verification auditor for quality checking. The Third Party verification auditor has 1 week to make comments.
- **Final Report (secured electronic copy and printed copy x2):** The Auditor will make two versions of the Report: One including the content of the Annex ‘Detailed Production Process’. Another, not displaying the content of this Annex..
- **Certificate:** Issued no later than 6 weeks after the audit date. The start date of the certificate will be the date of the audit.

### 6.2.2 Outputs and timescales (unsuccessful audit)

Where the *Recycler* has been unsuccessful in their application for accreditation then a report will be sent giving an overview of why *Certification* was not granted. The report would include an appendix with the full results of the audit by category.

## 6.3 Availability of information

The *Certificate* will be a publically available document..

The *Report* should not disclose sensible commercial information such as customers, clients, detailed organigram and detailed plant layout. Any details of commercial sensible information of Section 5 will only be displayed in the Annex to the *Report* called “Detailed Production Process”. The Auditor will make two versions of the Report: One including the content of the Annex ‘Detailed Production Process’. Another, not displaying the content of this Annex. The Recycler will be free to disclose this Annex to any third party.

If not differently agreed with a third party, the *Recycler* is the only one entitled to choose to provide some or all of the report to their suppliers and customers.

The *Recycler* and the *Auditor* will have to sign a Non-Disclosure Agreement in order to safeguard the confidentiality of the information provided by the *Recycler*.

## **7 Appendix 1: Definitions Used in this Document**

### **7.1 Batch**

Quantity of material regarded as a single unit and having a unique reference.

### **7.2 Best Practise**

Operating to a high standard with respect to the management of the *Recycling Process*, environmental performance and beyond the minimum legal requirements set by the country of operation.

### **7.3 Broker**

Any undertaking arranging the use, recovery or disposal of *Recycled Outputs*, *Input Waste Plastic* or waste on behalf of others, including such brokers who do not take physical possession of the aforementioned material streams.

### **7.4 Certification**

Certification under the EuCertPlast certification scheme.

### **7.5 Current Operating Hours**

The operating hours for the *Recycling Process* at the time of auditing.

### **7.6 Dealer**

Any undertaking that acts in the role of principal to purchase (or charge for the removal of / accept free of charge) and subsequently sell (or pay for the treatment or disposal of / dispose of free of charge) *Input Waste Plastic*, *Recycling Outputs* or waste, including such dealers who do not take physical possession of the aforementioned material streams.

### **7.7 Equipment Capacity**

The theoretical maximum capacity of the *Recycler's* equipment with respect to the weight of *Input Waste Plastic* they can accept into the *Recycling Process* to produce a *Recycled Output*.

### **7.8 Food Contact Module**

An additional module only available to *Recyclers* who are authorised in their country of operation to produce a *Recycled Output* that can be used in food contact applications.

### **7.9 Full Certificate**

*Certification* for *Recyclers* where the *Recycling Process* has been in operation for more than one year.

### **7.10 Input Volume**

The total weight of *Input Waste Plastic* delivered to the *Recycler* during a given time period.

### **7.11 Input Waste Plastic**

The grade of waste plastic required for the *Recycling Process* for which the *Recycler* is applying for *Certification*.

## 7.12 Licensed Input Volume

The total weight of *all* waste plastics that the *Recycler* is able to accept under the terms of its operating license in a given period of time.

## 7.13 Lot

Definite quantity of some commodity manufactured or produced under conditions that are presumed uniform.

## 7.14 Minor Discrepancies

A relatively small discrepancy found during the audit which the *Recycler* has 3 months to rectify. The guidance notes explain what is considered to be a minor discrepancy, where applicable. Where a discrepancy is not rectified to the satisfaction of the auditor within 3 months *Certification* should be withdrawn.

## 7.15 Nominal Capacity

The running capacity of the *Recycler's* equipment with respect to the weight of Input Waste Plastic they accepted into the Recycling Process to produce a Recycled Output. It is the calculated capacity value based on consumption figures during the period under consideration taking into account: planned production hours, the throughput and the identified availability of the line.

## 7.16 Permitted Operating Hours

The maximum number of hours the *Recycler* is able to run the *Recycling Process* under the terms of their operating licenses and permits.

## 7.17 Pre Consumer

Descriptive term covering material diverted from the waste stream during a manufacturing process.

## 7.18 Post Consumer

Descriptive term covering material, generated by the end users of products, that has fulfilled its intended purpose or can no longer be used (including material returned within the distribution chain).

## 7.19 Provisional Certificate

*Certification* for *Recyclers* where the *Recycling Process* has been in operation for less than one year or that have less than one year's worth of production or mass flow data. The provisional audits will request a minimum 3 months of data production. The provisional audits will be valid for 1 year.

## 7.20 Recycled Output

Recycled plastic (recyclates) produced by *the Recycling Process* that can be used as a substitute for virgin polymer or other raw materials to manufacture products (excluding products for energy generation).

## 7.21 Recycler

The recycler applying for *Certification*.

## 7.22 Recycling Process

A process producing a *Recycled Output* for which *Certification* is being requested.

### **7.23 Site Capacity**

The lower of either the sum of the *Equipment Capacity (s)* or the *Licensed Input Volume*.

### **7.24 Storage Bay**

A defined storage area where a known number of *Batches of Incoming Waste Plastic* can be kept separate and isolated from other *Batches of Incoming Waste Plastic* and contamination.

### **7.25 Subcontracted Processing**

When the Input Waste Plastic has an operation carried out on it by a third party, for example, sorting, removal of contamination, etc, prior to it undergoing the Recycling Process. Subcontracted Processing is not a Recycling Process in itself.

### **7.26 Subcontracted Recycling**

*Input Waste Plastic* delivered to the *Recycler* which is toll recycled by a third party recycler also certified under the EuCertPlast scheme where the *Recycler* retains ownership of the recycled output from the third party recycler (toll recycling).

## 8 Appendix 2: Example Letter for Change of Ownership

[Address of Auditor]

[Address of Recycler]

[Date]

Dear [Recycler],

Thank you for informing us [or it has come to our attention] that your recycling facility based at [address of *Certified* recycling site] has changed ownership. The EuCertPlast certification is granted based on the type of recycling operation and on the associated management systems. As such, please could you either contact us to discuss any planned changes to the recycling process or sign the attached form to confirm that the plant will continue to be operated in line with the terms of the certification. In particular, I would draw your attention to the following which may change your certification status:

- Changes to the output of the recycling process;
- Changes to the waste plastic type you are able to process;
- Changes to the input capacity of more than 50%;
- A planned shutdown of the recycling process of greater than 6 months;
- You believe the response or result of any 'category 1' item in the last audit (see the attached audit results) may have changed.

Changes to the recycling process may not necessarily affect the certification status; however, an additional audit may be required.

Where no changes have been made (or are planned) to the recycling process at the aforementioned site then please sign the attached document and return it to the address shown above within 30 days of the receipt of this letter. If you have any questions or wish to discuss this matter then please do not hesitate to contact me.

Yours sincerely,

[Auditor]

# EuCertPlast - Change of Ownership Form

**Certificate Number:**

**Name of New Owners:**

**Name of Previous Owners:**

**Address to which the certification applies:**

**Waste plastic to which this certification applies:**

**End product(s) manufactured:**

**Date of expiry of current certificate:**

As the new owners of the aforementioned plastic recycling site, I can confirm that no significant changes have been made (or will be made prior to the next EuCertPlast audit) to the recycling process or its management processes. I understand this includes changes to the type of waste plastics that can be accepted, the capacity (no changes > 50% of the previous certified input capacity) or to the output of the recycling process. I have reviewed the results of the last EuCertPlast audit and can confirm that no action has been taken or is planned that is likely to change the results of Category 1 items.

Signed on behalf of the new owners:

[Name and title]

[Date]

[Company Name]

## 9 Appendix 3: EuCertPlast Report Certificate Template



### ***Certificate of Compliance***

**Certificate Number:** XXXX-MM-YY-AAA-WW

[XXXX: Plant, MM: Month of final validity, YY: Year of final validity, AAA: Auditing company code, WW: Auditor initials - Please refer to the EuCertPlast database.]

***Type of Certification:***

For the recycling plant:
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Process	Input material	Presentation	Nominal capacity (t/a)	Post-consumer material accepted for recycling in previous 12 months (t)	Output of recycling process	Post-consumer recycled output (t)	Pre and post-consumer recycled output (t)	Level of traceability (1 to 2)	Washed material

Audited by:	Auditor's logo:
Date of audit:	
Period of evaluation:	
Period of validity:	

The recycling process and associated management systems of the aforementioned company for the waste plastic and site shown has been audited and have met the required standards for certification under the EuCertPlast Scheme for European Plastic Recyclers.

This plant is the last recipient of plastics waste and produces products.

[Address and contact details for Auditor]    [Address and contact details for EuCertPlast]

[www.eucertplast.eu](http://www.eucertplast.eu)

## 10 EuCertPlast Scheme Details

### Section 1: Licenses, Permits and Certificates

#### 1.1 Business and operating licenses

Verify that the company registration document and any operating licenses required for the country where the *Recycler* is located are in place and valid (including EFSA authorisation for the production of food contact recycled polymer where this module is being applied for).

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

#### 1.2 Environmental licenses and permits

Verify that any environmental licenses required for the *Recycling Process* in the country of operation are in place and valid, i.e. in date, for:

- i) Solid waste generation and / or disposal;
- ii) Waste water treatment and / or disposal or;
- iii) Emissions to the air.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

#### 1.3 Waste transport licenses

Where the *Recycler* uses their own vehicles to transport waste materials verify that they have the licenses required to do so in any countries where they operate vehicles.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

#### 1.4 License and permit conditions – waste plastics processed

Check that the throughput of *Input Waste Plastic* and other waste plastics (if relevant) processed by the *Recycler* at their site does not exceed the limits set out in their operating license. This should be based on the total waste plastics processed over the past 12 months.



Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

### 1.5 License and permit conditions – waste plastics stored

Check that the *Input Waste Plastic* and other waste plastics (if relevant) stored by the *Recycler* at their site does not exceed the limits set out in their operating license. This should be based on the average of the stock level at the time of audit, one month prior to the audit and two months prior to the audit.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

### 1.6 ISO 14001

Certificates should be issued by an authorised accreditation body.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	y

### 1.7 ISO 9001, 18001 or EMAS

Certificates should be issued by an authorised accreditation body.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	y

### 1.8 Insurances

The *Recycler* has valid, i.e. in date, insurance in place for:

- i) Buildings, equipment and stock;
- ii) Public liability;
- iii) Employers' liability.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	y

## Section 2: Management Team

### 2.1 Company directors

Confirm the legal directors of the *Recycler*. Take a copy of the legal document showing these details.

### 2.2 Staff structure and responsibilities

The minimum requirement is:

- i) An organogram showing the reporting structure for staff;
- ii) Titles and job descriptions for key staff (supervisor level and above).

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	n

### 2.3 Staff qualifications (technical)

Shop floor supervisors and managers hold externally recognised technical qualifications related to the *Recycling Process*. Examples of relevant qualifications would include those related to:

- i) The management of production processes (general);
- ii) The management of waste facilities;
- iii) Polymer science & plastics processing.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	n

### 2.4 Staff training (technical)

Documented evidence that staff operating equipment have been suitably trained in its operation. This can include internal training programmes where suitably structured and documented.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	n	n / y (food contact)

## 2.5 Staff qualifications (quality management)

Shop floor supervisors and managers hold externally recognised qualifications related to quality management in production processes.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	n

## 2.6 Staff training (quality management)

Documented evidence that staff supervising the *Recycling Process* have been trained in the management of *Recycled Output* quality. This can include internal training programmes where suitably structured and documented.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	n	n / y (food contact)

## Section 3: Incoming Material Procedures and Controls

### 3.1 Purchase specifications

*Batches of Input Waste Plastic* are purchased and booked in against a specification. Where the *Recycler* uses their own grading system a clear specification should be available for each grade of *Input Waste Plastic* accepted including as a minimum the polymer, colour and level of out throws.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

### 3.2 Waste category identifiable

It is possible to identify the category of the plastic waste and the country of origin for each *Batch of Input Waste Plastic*. Categories of plastic waste include (as applicable) WEEE, ELV, packaging, agricultural or other. Whether the *Input Waste Plastic* is post-consumer, or not, should also be identifiable.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

### 3.3 Weights and dates of delivery recorded

All incoming *Batches of Input Waste Plastic* are weighed on a weighbridge (public or at the *Recycler*) and a minimum of the net weight of *Input Waste Plastic* and date of delivery are recorded. Weighbridge tickets should be printed and not manually adjusted, either on the computer prior to printing or by hand.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 3.4 Supplier details recorded

Each *Batch of Input Waste Plastic* delivered can be linked to a supplier. Details of the suppliers are kept on file showing as a minimum the company name and address.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 3.5 Haulier details recorded

Each *Batch of Input Waste Plastic* delivered can be linked to a haulier. Details of the haulier are kept on file showing, as a minimum the company name and address.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
2	2	n	n

### 3.6 Weighbridge calibrated

Where there is a weighbridge on site which is being used for the purchase of *Input Waste Plastic* or sale of *Recycled Output* then there is a valid certificate showing that it has been inspected and calibrated to a standard where it can be used for the sale or purchase of goods. The certificate should be issued by a suitably qualified and authorised company or organisation.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
1	1	n	y

## Section 4: Stock Management

### 4.1 Stockyard details

- i) Approximate size of covered storage area (m<sup>2</sup>);
- ii) Approximate size of uncovered storage area (m<sup>2</sup>).

### 4.2 Incoming stock identifiable by supplier

All incoming *Input Waste Plastic* is stored such that the supplier of each *Batch* can be identified. This might be done, for example, by the tagging of bales or having allocated storage areas for suppliers.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 4.3 Storage conditions

Incoming (*Input Waste Plastic*) and outgoing (*Recycled Output*) stock are stored so that their quality does not deteriorate. Material should be stored on impermeable surfaces such as asphalt or concrete or on pallets (or similar) where the surface is untreated or permeable (e.g. loose aggregate).

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	n	n / y (food contact)

### 4.4 Stock management system

A system is in place that records all movements into and out of stock and the tonnage of stock present on site at any one time. This should be for both incoming (*Input Waste Plastic*) and outgoing (*Recycled Output*) stock.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	n / y (food contact)

#### 4.5 Stock checks

A physical inspection of stock should be carried out on a regular basis (at least once per month) to verify that the level of stock shown in the stock management system is correct. These inspections should be documented.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
1	1	n	y

## Section 5: Production Process

### 5.1 Production statistics

Calculated for the 12 months prior to the audit.

- 5.1.1 *Site Capacity;*
- 5.1.2 *Equipment Capacity;*
- 5.1.3 *Incoming Input Waste Plastic (pre-consumer and post-consumer);*
- 5.1.4 *Subcontracted Recycling;*
- 5.1.5 *Energy consumption in Kwh per t of Recycled Output produced;*

Kwh Consumption - Guidance table for auditors (these numbers are indicative).

	LDPE	HDPE	PET	PVC
Kwh/t	To be accessed	500-570	220-360	To be accessed

- 5.1.6 *Fresh water consumption in litres per t of Recycled Output produced.*

Fresh water Consumption - Guidance table for auditors (these numbers are indicative).

	LDPE	HDPE	PET	PVC
m3/t	To be accessed	1.5-2.5	2-3	Not applicable

### 5.2 *Input volume reconciliation*

$$\Sigma \text{Equipment Capacity} + \Sigma \text{Subcontracted Recycling} \geq \Sigma \text{Input Volume}$$

This calculation is done to help identify if there is *Input Waste Plastic* being delivered to the site which is unaccounted for. No significant excess of *Input Volume* over the *Equipment Capacity* combined with the *Subcontracted Recycling* should be identified. Where records show that *Input Waste Plastic* is being sold (traded) to other recyclers then this should be detailed in the report (including the tonnage of *Input Waste Plastic* sold to other recyclers / traders in the last 12 months). The report should also show if any material is being toll recycled by non *Certified* recyclers.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y



### 5.3 Process inputs and outputs recorded

Records are kept of all materials that are inputted into and produced by the *Recycling Process*. These include:

- i) *Input Waste Plastics*;
- ii) *Recycled Outputs*;
- iii) Additives & master batches;
- iv) Solid wastes;
- v) By-Products.

Recyclers would fail the audit if records were not kept of *Input Waste Plastic* inputs and *Recycling Outputs* and the absence of records for the other categories would count as a *Minor Discrepancy*.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
1	1	Y (see note above)	Y

### 5.4 Mass balance calculation

This should be for all inputs to and outputs from the *Recycling Process* and for a minimum period of 1 year (the period of evaluation). The result should be reasonably accurate, i.e. no large unexplained discrepancies. Where records have been kept for less than 1 year a *Provisional Certificate* should be issued. It should be recognised by the auditor that issues such as moisture loss during the *Recycling Process* will affect the accuracy of the mass balance. Where *Input Waste Plastics* undergo *Subcontracted Processing* then this activity should be included in the mass balance calculation. Where the *Recycler* can produce a mass balance using a minimum of *Input Waste Plastics* and *Recycling Outputs* then they have 3 months to alter their systems so that any other categories that might be missing are added. Where the *Recycler* has been producing *Recycled Outputs* for less than one year then a *Provisional Certificate* should be issued.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
1	1	Y (see note above)	Y

### 5.5 Beneficial Output and Yield

A high level indication of the amount of *Recycled Output* (by percent) that is produced from a given tonnage of *Input Waste Plastic*. Where a plastic by-product is produced from the *Recycling Process* that can be used as a direct replacement for virgin polymer or other raw material to manufacture products (excluding products for energy generation) then this should be included in the beneficial output calculation. Likewise, where a relatively contaminant free metal by-product is produced by the *Recycling Process* (including baling wire) and there is evidence that it is being sent for recycling at a licensed facility then this can also be included. Regarding the Yield, the *Recycled Output* refers to the targeted plastic by the recycler (e.g. PET output for a PET recycler).

Beneficial Output = % (*Recycled Output / Input Waste Plastic*)

Yield= % (*Recycled Output of the targeted plastic / Input Waste Plastic*)

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 5.6 Documented control of Recycling Process

As a minimum production records should be kept showing the times that the *Recycling Process* was operational on a given day and the volume of *Input Waste Plastic* used and *Recycling Output* produced. Records should be available for a minimum period of 12 months (i.e. during the evaluation period). Where this is not the case a *Provisional Certificate* should be issued.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	n

### 5.7 Use of production statistics

The information recorded during the operation of the *Recycling Process* is used to generate, at least monthly, information that can be used by the management team to optimise the performance of the *Recycling Process* and / or the business more generally. Information is likely to be collated and shown over a period of time to show changes in, for example, production levels, downtime, beneficial output, contamination levels, etc.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 5.8 Tracing Input Waste Plastic input Batches to suppliers

*Batches of Input Waste Plastic* into the *Recycling Process* can be traced back to individual or known groupings of suppliers.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

### 5.9 Tracing *Recycled Output* to suppliers

*Recycled Output Lots* can be traced back to input *Batches* and therefore suppliers.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
1	1	y	y

### 5.10 *Recycling Process as per EN15343*

The *Recycler* is operating broadly in line with EN15343, in particular with respect to the methodology and procedures outlined in section 4, the quality assurance in section 5 and where recycled content is specified, the guidance given in section 6.

Assessment level (base)	Assessment level (food contact)	<i>Minor Discrepancy</i>	Evidence required
1	1	y	y

## Section 6: Controls on *Recycled Outputs*

### 6.1 Sales records

Sales records are kept showing a minimum of:

- i) Who the *Recycled Output* was sold to (name and address of the converters, recyclers ,dealers and others);
- ii) Weights of *Recycled Output* sold (with copies of weighbridge tickets);
- iii) The type of *Recycled Output* sold (against a specification).

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 6.2 Evidence of sales

Typically, this will be invoices showing the *Recycled Output*, weight and customer. Other documentation showing the same information can be accepted if there is clear evidence of the supply of *Recycled Output*. The information should stay at the recycler and the auditor should not make copies of the documents.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 6.3 Evidence of by-product treatment or use

Documentary evidence that any by-products produced by the *Recycling Process* have been sent to a suitably licensed site, *Broker* or *Dealer* for treatment or use. Acceptable evidence would include:

- i) invoices to or from a licensed site, *Broker* or *Dealer* showing the type and weight of the by-product received;
- ii) delivery notes from a licensed site, *Broker* or *Dealer* showing the type and weight of the by-product received;
- iii) A document signed by a licensed site, *Broker* or *Dealer* showing the type and weight of the by-products received.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

## Section 7: Environmental Protection

### 7.1 Disposal of solid wastes

Documentary evidence showing that the solid wastes produced by the *Recycling Process* have been sent to a suitably licensed disposal site, *Broker* or *Dealer*. Acceptable evidence would include:

- i) invoices from a licensed disposal site, *Broker* or *Dealer* showing the details and weight of the solid wastes received;
- ii) delivery notes from a licensed disposal site, *Broker* or *Dealer* showing the details and weight of the solid wastes received;
- iii) A document signed by a licensed disposal site, *Broker* or *Dealer* showing the details and weight of the solid wastes received.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 7.2 Licensed treatment of waste water (off site)

Permits for onsite water treatment are covered in Section 1. This section is relevant only when waste water from the *Recycling Process* is being sent off site for treatment. Where this is the case, the auditor should check that the waste water is being captured and stored in a way so as not to cause potential damage to the environment, for example through leakage, and to check that it is being sent to a suitably licensed treatment site, *Broker* or *Dealer*. Acceptable evidence would include:

- i) invoices from a licensed treatment site, *Broker* or *Dealer* showing the details and volume of the waste water received;
- ii) delivery notes from a licensed treatment site, *Broker* or *Dealer* showing the details and volume of the waste water received;
- iii) A document signed by a licensed treatment site, *Broker* or *Dealer* showing the details and volume of the waste water received.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 7.3 Capture and treatment of runoff

The site has a system in place to capture, treat (where applicable) and divert rainwater runoff from the site (including the yard) into an appropriate drainage system.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	n

### 7.4 No contamination of local environment

There should be no activity on site that is causing obvious contamination to the local environment. Such activities would include, for example:

- i) The water treatment process being non-operational;
- ii) Direct discharge, without treatment, of waste water from the washing process;
- iii) Uncontrolled and unregulated burning of solid wastes for disposal;
- iv) Waste stored in a way that would cause pollution of the local environment.

For the purposes of this subcategory, littering caused by plastic being blown from the site to the surrounding area would not count as contamination so long as the auditor is satisfied that the company have a system in place to collect and dispose / recycle such material on a regular basis.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

## Section 8: Subcontracting

### 8.1 Control of *Subcontracted Recycling*

Clear records are kept showing when *Input Waste Plastic* has been sent for *Subcontracted Recycling*. As a minimum, the *Recycler* must record:

- i) The date the *Input Waste Plastic* was sent for *Subcontracted Recycling*;
- ii) The company name and address of the party carrying out the *Subcontracted Recycling*;
- iii) The grade of *Input Waste Plastic* and tonnage sent for *Subcontracted Recycling*.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 8.2 Evidence subcontractors hold *Certification*

The auditor must confirm that all *Subcontracted Recycling* is done by companies holding an EuCerPlast *Certification*. Copies of the subcontractor's certificates should be viewed as evidence (preferable) or a list of subcontractors taken to confirm against the EuCertPlast register after the audit that they are *Certified*.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 8.3 Suppliers informed of *Subcontracted Recycling*

The *Recycler* is tracking and recording which *Batches* (or parts of *Batches*) of *Input Waste Plastic* supplied to them are subsequently sent for *Subcontracted Recycling*. The supplier is informed in writing when this is occurring either on a case by case basis or for an agreed tonnage of *Input Waste Plastic* over a period of time.

Note: this only applies to deliveries of *Input Waste Plastic* and the *Recycler* is not required to inform the supplier when other grades of waste plastic supplied to them or by-products of the *Recycling Process* are sent to third parties for recycling.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	n

#### 8.4 Control of *Subcontracted Processing*

Clear records are kept showing when *Input Waste Plastic* has been sent for *Subcontracted Processing*. As a minimum, the *Recycler* must record:

- i) The date the *Input Waste Plastic* was sent for *Subcontracted Processing*;
- ii) The company name and address of the party carrying out the *Subcontracted Processing*;
- iii) The grade of *Input Waste Plastic* and tonnage sent for *Subcontracted Processing*.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

#### 8.5 Evidence of subcontractors waste transport licenses

Where the collection or onwards supply of waste materials (including but not limited to *Input Waste Plastic*) is carried out by third parties then their details should be kept on file. As a minimum this should include the company name and address along with details of their registration to transport waste under any applicable national law. Copies of the subcontractor's waste transport licenses should be collated as evidence (preferable) or a list of transport subcontractors taken to confirm against the applicable register after the audit that they are licensed to transport waste.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	y



## Section 9: Quality Management

### 9.1 Quality Assurance system

The documented testing for quality of each incoming vehicle of *Input Waste Plastic* and outgoing *Recycled Output*. As a minimum, a quality test should be carried out:

- At least once on every incoming vehicle of *Input Waste Plastic*;
- At least once for every outgoing load of *Recycled Output*.

For *Input Waste Plastic* the quality check should be against the purchase specification and for *Recycled Outputs* against the sales specification and should use recognised scientific, analytical and statistical techniques (for instance as applicable and as detailed in the relevant EN Standards – EN15347 & EN15343 for *Input Waste Plastic* and EN15342 / EN15344 / EN15345 / EN15346 / EN15348 & EN15343 for *Recycled Outputs*).

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	n	n / y (food contact)

### 9.2 *Input Waste Plastic* input controls as per EN15347 and EN15343

The *Recycler* is requesting information from suppliers regarding *Input Waste Plastic* as per table 1 (Required Characteristics of Plastic Wastes) in EN15347. Information on the 'batch size', 'colour', 'form of waste' and 'main polymer present' must be recorded for each delivery. *Recyclers* should also be accepting *Input Waste Plastic* in line with Section 4.1 (Control of Input Materials) in EN15343.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

### 9.3 Quality testing during production

Samples of part processed *Input Waste Plastic* are taken during the *Recycling Process* and tested against key characteristics (minimum one test per 10 tonnes of throughput for non-food contact polymer and 1 tonne for food contact polymer). Records should be kept of the results.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	n	n / y (food contact)

#### 9.4 Recycled Output product specifications

The *Recycled Output* is supplied against a product specification that as a minimum refers to polymer, colour and the permitted level of contamination.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

#### 9.5 Permitted range in the Recycled Output product specifications

The permitted range in the characteristics are shown in the specification for the *Recycled Output*.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	y (food contact)	n / y (food contact)

#### 9.6 Recycled Output product specification as per EN standards (characterisation)

The *Recycled Output* is supplied against a product specification whose characteristics are broadly in line with the 'required characteristics' in table 1 of the relevant EN Standard for the characterisation of plastic recyclates. Testing of these characteristics should be carried out using the guidance provided in the Standards or the customers' requests. These Standards are:

- EN15342 for polystyrene recyclates;
- EN15344 for polyethylene recyclates;
- EN15345 for polypropylene recyclates;
- EN15346 for poly(vinyl chloride) recyclates;
- EN15348 for poly(ethylene terephthalate) recyclates.

Where no standard exists for the *Recycled Output* (polymer) being produced, the specification shall be in line with the broad principals of the EN Standards set out for other recyclates.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	1	y (food contact)	n / y (food contact)

### 9.7 Known recycled content

Where the *Recycled Output* is blended with virgin polymer or other materials, then the ‘recycled content’ of the final polymer / product is known and can be calculated as per Section 6 of EN15343. During the audit, the auditor should assess whether it is possible to calculate the *Post Consumer* recycled content or just the *Pre Consumer* and *Post Consumer* content combined. This information, as an average for the 12 months under review, should be shown on the EuCertPlast Certificate (see Appendix 3).

If products with different shares of post-consumer contents are produced, the exact percentages for the products (product name/product code) together with the related PC-content have to be shown. Indeed, if only one product is produced, this fact should be described.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

### 9.8 Out of specification load procedure

There is a written procedure in place for dealing with deliveries of *Input Waste Plastic* which are not within the agreed specification. Procedures should detail how the supplier is informed of the discrepancy (including timeframes) against the specification and what testing is carried out and supporting information recorded.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
2	2	n	n

### 9.9 Rejected load procedure

There is a written procedure in place for dealing with deliveries of *Input Waste Plastic* which are rejected against the specification. Procedures should detail how the supplier is informed of the rejection (including timeframes) and what testing is carried out and supporting information recorded. A quarantine procedure should also be included.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	n	y

## 9.10 REACH

There is evidence that the *Recycler* has systems and processes in place to enable him to comply with the Reach Regulations (where applicable). The presence of such processes and systems should be verified, however, a full assessment as to whether the *Recycler* is compliant with the Reach Regulations is out of the scope of this audit.

Assessment level (base)	Assessment level (food contact)	Minor Discrepancy	Evidence required
1	1	y	y

## Section 10: Auditors Comments

This section is used for recording additional information that may be of use when preparing the main reports. Examples of areas that the auditor may choose to cover in this section include:

- i) The general approach to H&S at the site;
- ii) An overall impression of site organisation and management;
- iii) Areas where the site is operating to a particularly high standard;
- iv) Areas where there is potential for improvement;
- v) Areas where improvement must be made to gain *Certification* (where an application for *Certification* was unsuccessful).

## 11 Appendix 5: Questionnaire for Auditors

### EuCertPlast Audit Questionnaire

section	documents / system to review	Action	category type (standard)	category type (food)	outcome (y/n)	Minor Discrepancies identified	Evidence taken
<b>1.0 Licenses, permits and certificates</b>							
1.1 Business & operating licenses	<ol style="list-style-type: none"> <li>All operating licenses required in country of operation;</li> <li>Food grade letter of non-objection.</li> </ol>	<ol style="list-style-type: none"> <li>Record details of licenses checked.</li> </ol>	1	1		-	Copies of licenses.
1.2 Environmental licenses & permits	<ol style="list-style-type: none"> <li>Solid waste;</li> <li>Water treatment;</li> <li>Emission to air;</li> <li>Other required in country of operation.</li> </ol>	<ol style="list-style-type: none"> <li>Record details of licenses checked.</li> </ol>	1	1		-	Copies of licenses.
1.3 Waste transport licenses	<ol style="list-style-type: none"> <li>Waste transport licenses.</li> </ol>	<ol style="list-style-type: none"> <li>Record details of licenses checked.</li> </ol>	1	1		-	Copy of licenses.
1.4 License & permit conditions – waste plastics processed	<ol style="list-style-type: none"> <li>Operating license.</li> </ol>	Verify that the tonnage of waste plastic processed is within the terms of the operating license (last 12 months)	1	1			-
1.5 License & permit conditions – storage	<ol style="list-style-type: none"> <li>Operating license.</li> </ol>	Verify that the tonnage of waste plastic stored is within the terms of the operating license. Take the average of date of audit, one month prior to audit and two months prior to audit.	1	1			-
1.6 ISO 14001	<ol style="list-style-type: none"> <li>ISO 14001</li> </ol>	Check certificate is in date, for site where the <i>Recycling Process</i> is located and issued by authorised organisation.	2	2		-	Copy of license.
1.7 ISO 9001, 18001, EMAS	<ol style="list-style-type: none"> <li>ISO 9001 or;</li> </ol>	Check certificate is in date for the site where the <i>Recycling Process</i> is located and issued by an authorised organisation.	2	2		-	Copy of license.

	2. ISO 18001 or; 3. EMAS.						
1.8 Insurances	1. Buildings, equipment, & stock insurance; 2. Public liability insurance; 3. Employee liability insurance.	Check certificates are in date and for the site where the <i>Recycling Process</i> is located.	2	2		-	Copy of insurance certificates.
<b>2.0 Management Team</b>							
2.1 Company directors	Company registration documents	Detail names of company directors in the report.	-	-	-	-	Copy of legal document
2.2 Staff structure & responsibilities	1. Organogram; 2. Job descriptions.	Check job descriptions related to organogram are current.	2	2		-	-
2.3 Staff qualifications (technical)	1. Qualification certificates.	Check certificates are for relevant qualifications and relate to current staff.	2	2		-	-
2.4 Staff training (technical)	1. Training manual; 2. Evidence of staff attendance.	Check supervisors operating the <i>Recycling Process</i> have attended the training.	2	1		-	-
2.5 Staff qualifications (quality management)	1. Training manual; 2. Evidence of staff attendance.	Check certificates are for relevant qualifications and relate to current staff.	2	2		-	-
2.6 Staff training (quality management)	1. Training manual; 2. Evidence of staff attendance.	Check supervisors operating the <i>Recycling Process</i> have attended the training.	2	1		-	-
<b>3.0 Incoming Material Procedures &amp; Controls</b>							
3.1 Purchase specifications	1. purchase specifications.	Check these relate to the <i>Input Waste Plastic</i> being purchased and that they are referenced on the incoming load log.	1	1			-
3.2 Waste category identifiable	1. Purchase specifications.	Check the waste category is detailed on the purchase specification or shown on the incoming load log.	1	1			-

3.3 Weights & dates of delivery recorded	1. Incoming load report.	Check the net weight and date is shown for each incoming <i>Batch of Input Waste Plastic</i> .	1	1		-	-
3.4 Supplier details recorded	1. Incoming load report.	Check the supplier's name is shown against each incoming <i>Batch of Input Waste Plastic</i> .	1	1		-	-
3.5 Haulier details recorded	1. Incoming load report.	Check the hauliers' name is shown against each incoming <i>Batch of Input Waste Plastic</i> .	2	2		-	-
3.6 Weighbridge calibrated	1. Weighbridge calibration certificate.	Check it is valid (in date) and issued by an authorised body.	1	1		-	Copy of certificate.
<b>4.0 Stock Management</b>							
4.1 Stockyard details	n/a	Approximate size of: 1. Covered storage; 2. Uncovered storage.	-	-	1. m <sup>2</sup> 2. m <sup>2</sup>	-	-
4.2 Incoming stock identifiable by supplier	n/a	Confirm there is a system to identify which supplier has delivered <i>the Input Waste Plastic</i> in stock. Document.	1	1		-	-
4.3 Storage conditions	n/a	Detail how material is stored and confirm it is adequate to maintain stock quality.	2	1		-	-
4.4 Stock management system	1. Stock management system.	Confirm it covers incoming <i>Input Waste Plastic</i> and <i>Recycled Output</i> .	1	1		-	-
4.5 Stock checks	1. Stock check report.	Confirm it is carried out at least once per month.	1	1		-	-
<b>5.0 Production Process</b>							
5.1 Production statistics							
5.1.1 Site Capacity	1. Operating license; 2. Equipment documents relating to capacity; 3. Production records.	<i>Site Capacity</i> per annum	-	-		-	-
5.1.2 Equipment Capacity	1. Equipment documents relating to capacity; 2. Production records.	<i>Equipment Capacity</i>	-	-		-	-
5.1.3 Incoming <i>Input Waste Plastic</i> (pre-consumer and post-consumer);	1. Incoming load report for the last 12 months	Incoming <i>Input Waste Plastic</i> for the past 12 months.	-	-		-	-
5.1.4 Subcontracted Recycling	1. Report on waste plastic (by type) sent to third	<i>Subcontracted Recycling</i> for the past 12 months.	-	-		-	-

	parties for recycling for the last 12 months.						
5.1.5 Energy consumption	1. Electricity bills for the last 12 months; 2. Production records.	Average energy consumption per kg of <i>Recycling Output</i> produced over the last 12 months.	-	-		-	-
5.1.6 Water consumption	1. Water bills for the last 12 months. 2. Production records.	Average water consumption per kg of <i>Recycling Output</i> produced over the last 12 months.	-	-		-	-
5.2 <i>Input Volume</i> reconciliation	n/a	Confirm that: $\sum \text{Equipment Capacity} + \sum \text{Subcontracted Recycling} \geq \text{Input Volume}$	1	1		-	-
5.3 Process inputs & outputs recorded	1. Production records; 2. Stock management system; 3. Report detailing additives added into the <i>Recycling Process</i> ; 4. Waste disposal records; 5. By-product records.	Confirm sufficient records are kept of all inputs to the <i>Recycling Process</i> and outputs for the last 12 months.	1	1			-
5.4 Mass balance calculation	As for 'Process inputs and outputs recorded' for the previous 12 months.	Carry out a mass balance calculation for the <i>Recycling Process</i> .	1	1			-
5.5 Beneficial Output and Yield	1. Production records.	Calculate the following for the <i>Recycling Process</i> : Beneficial output: % ( $\text{Recycling Output} / \text{Input Waste Plastic}$ ) Yield= % ( $\text{Recycled Output of the targeted plastic} / \text{Input Waste Plastic}$ )	1	1		-	-
5.6 Documented control of <i>Recycling Process</i>	1. Production records.	Inspect the production records to ensure they are sufficiently complete, detailed and accurate.	1	1		-	-
5.7 Use of production statistics	1. Management supervisor reports. or	Identify use of the information recorded in the production records to produce management information.	1	1		-	-
5.8 Tracing <i>Input Waste Plastic</i> input <i>Batches</i> to suppliers	1. Production records;	Track 3 input <i>Batches</i> into the <i>Recycling Process</i> (chosen at random) back to the supplier.	1	1			-



	2. Stock management system; 3. Incoming load report.						
5.9 Tracing <i>Recycling Output</i> to suppliers	1. Production records; 2. Stock management system; 3. Incoming load report.	Track 3 <i>Recycled Output Lots</i> from the <i>Recycling Process</i> (chosen at random) back to the supplier.	1	1			-
5.10 <i>Recycling Process</i> as per EN15343	Various	Focus on compliance with sections 4,5 & 6 of EN15343.	1	1			-
6.0 Controls on <i>Recycled Outputs</i>							
6.1 Sales records	1. Sales report.	Check the following are recorded: 1. Who the <i>Recycled Output</i> was sold to; 2. Weight sold. 3. <i>Grade of Recycled Output</i> .	1	1		-	-
6.2 Evidence of sales	1. Invoices.	Check 3 invoices at random to ensure they match the Sales report.	1	1		-	-
6.3 Evidence of by-product treatment or use	1. Invoices; 2. Delivery notes; 3. Reports.	Check to ensure by-products have been sent to licensed sites.	1	1		-	-
<b>7.0 Environmental Protection</b>							
7.1 Disposal of solid wastes	1. Invoices; 2. Delivery notes; 3. Reports.	Check that wastes have been sent to licensed disposal sites.	1	1		-	Example copies of disposal documents.
7.2 Licensed treatment of waste water (off site)	1. Invoices; 2. Delivery notes; 3. Reports.	Check that waste water has been sent to licensed sites for treatment.	1	1		-	Example copies of disposal documents.
7.3 Capture and treatment of runoff	n/a	View and document waste water runoff treatment.	2	2		-	-

7.4 No contamination of local environment	n/a	Visual inspection. Document any contamination issues identified.	1	1		-	-
8.0 Subcontracting							
8.1 Control of Subcontracted Recycling	1. <i>Subcontracted Recycling</i> records.	Check to ensure the following are recorded: 1. <i>Recycler</i> used; 2. Date of shipment; 3. Grade of <i>Input Waste Plastic</i> supplied.	1	1		-	-
8.2 Evidence subcontractors hold Certification	1. <i>Subcontracted Recycling</i> records.	Check against EuCertPlast register that the recyclers supplied with <i>Input Waste Plastic</i> are <i>Certified</i> .	1	1		-	-
8.3 Suppliers informed of Subcontracted Recycling	1. Copies of letters sent to suppliers; 2. Contracts with suppliers.	Pick 3 <i>Batches</i> of <i>Input Waste Plastic</i> shipped for <i>Subcontracted Recycling</i> at random and check the supplier has been informed.	2	2		-	-
8.4 Control of Subcontracted Processing	1. <i>Subcontracted Processing</i> records.	Check to ensure the following are recorded: 1. Company used for <i>Subcontracted Processing</i> ; 2. Date of shipment; 3. Grade of <i>Input Waste Plastic</i> supplied.	1	1		-	-
8.5 Evidence Subcontractors hold waste transport licenses	1. Copies of subcontractors waste transport licenses; 2. A record of subcontractors waste transport license numbers.	Pick 3 <i>Batches</i> of <i>Input Waste Plastic</i> received or <i>Recycled Outputs</i> shipped from the site and check the hauliers are licensed to transport wastes.	2	2		-	Copies of subcontractor's waste transport licenses.
9.0 Quality Management							
9.1 Quality Assurance system	1. <i>Input Waste Plastic</i> quality check report; 2. <i>Recycled Output</i> quality checks report.	Verify: 1. Each incoming vehicle of <i>Input Waste Plastic</i> is tested. 2. Every 30t of <i>Recycled Output</i> is tested (non-food contact); 3. Every 1t of <i>Recycling Output</i> is tested (food contact).	2	1		-	-

9.2 <i>Input Waste Plastic</i> input controls as per EN15347 and EN15343	1. Incoming load report; 2. Purchase specifications; 3. <i>Input Waste Plastic</i> quality checks report.	Input controls in line with EN15347 and EN15343 with particular reference to the information requested from suppliers (table 1) and control procedures.	1	1		-	-
9.3 Quality testing during production	1. Quality testing report.	Verify testing is carried out for every: 1. 10t of throughput (non-food contact); 2. 1t of throughput (food contact).	2	1		-	-
9.4 <i>Recycled Output</i> product specifications	1. <i>Recycling Output</i> specifications	At a minimum these refer to: 1. Polymer; 2. Colour; 3. Level of contamination.	1	1		-	-
9.5 Permitted variances in <i>Recycled Output</i> product specifications	1. <i>Recycling Output</i> specifications	Check there are specified allowed variances for key characteristics in the specifications.	2	1		Allowed for food contact module	-
9.6 <i>Recycled Output</i> product Specification as per EN standards (characterisation)	1. <i>Recycling Output</i> specifications	Check against relevant guidance of EN standard and customers' request.	2	1		Allowed for food contact module	-
9.7 Known recycled content	1. <i>Production records</i>	<i>Calculated from the production records</i>	1	1		-	-
9.8 Out of specification load procedure	1. Out of specification load procedure	Check it details as a minimum: 1. Quality tests to be carried out; 2. Timeframes and informing suppliers.	2	2		-	-
9.9 Rejected load procedure	1. Rejected load procedure.	Check it details as a minimum: 1. Timeframes and informing suppliers; 2. Quarantine procedures.	1	1		-	-
9.10 Reach	1. Pre-registration document or confirmation from ECHA. 2. Safety data sheets.	1. Check that the preregistration documents and safety data sheets are present.	1	1			1. Copy of pre-registration document.
<b>Total</b>							N/A

