



# Quality Management & Procedures

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Version 2.3

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## 1 Introduction

This document describes quality management systems established to bring structure and transparency to the EuCertPlast Scheme. The chain of responsibilities as well as procedures related to governance; Certification Bodies; and accreditation of auditors can be found documented.

## 2 Scheme Managing Bodies

### 2.1 Steering Board

The Steering Board is the overarching decision-making body of EuCertPlast. It is entrusted with providing the general strategy and priorities of the Scheme. In addition, it shall consider and validate recommendations of the Technical Committee and manage the allocation of resources. The Steering Board is composed of founding members of the EuCertPlast Consortium.

The Steering Board is established to:

- Define priorities of the *EuCertPlast Consortium* (strategic level);
- Identify and monitor risks;
- Review and modify the EuCertPlast Consortium Agreement;
- Define and approve budgets;
- Review and validate the conclusions and recommendations of the Technical Committee;
- Monitor the quality of the EuCertPlast Certification Scheme and its management;
- Develop membership criteria;
- Promote EuCertPlast across Europe;
- Admit new members;
- Exclude members;
- Exclude auditors.

### 2.2 Technical Committee

The Technical Committee is established to develop and implement the technical aspects of the Scheme. The Technical Committee is composed of members designated representatives and guests.

The Technical Committee main responsibilities also address:

- Implement the decision of the Steering Board;
- Provide a secretariat support to the Steering Board;
- Review, develop and adapt the EuCertPlast Audit Scheme and other available documents;
- Develop a methodology to revise the EuCertPlast Scheme;
- Develop methodologies;

- Sets up the accreditation procedure for auditors;
- Assess the fitness of auditors when a nonconformities dossier is presented;
- Develop the Certification Body requirements;
- Benchmark the scheme within the recycling industry;
- Organise a yearly workshop for the auditors to regularly improve the audit Scheme and keep the auditors informed.

## 2.3 Secretariat

EuCertPlast Secretariat offers support on management, organisation and communication tasks.

The Secretariat main responsibilities include:

- Act as a contact point between the Consortium, Technical Committee, the Certification Bodies and recyclers;
- Act as a communication entry point for external stakeholders;
- Update the list of certified recyclers;
- Update the list of Certification Bodies;
- Update the EuCertPlast Audits database;
- Update all communication tools;
- Organise meetings.

## 3 Certification Development and Maintenance

The EuCertPlast Technical Committee regularly reviews the Scheme documentation according to legal requirements, standards latest's revisions and current industry practices to ensure the traceability of plastics recycling operations. Updates and modifications are implemented by the EuCertPlast Steering Board.

A non-exhaustive list of cases where changes to Certification documentation might be needed might be found below:

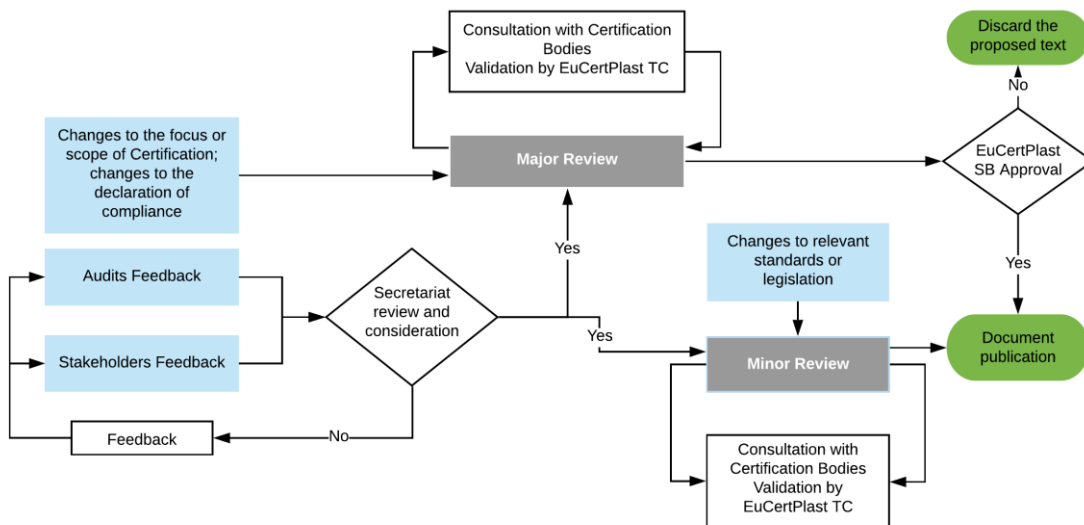
- Changes to relevant European standards (e.g., EN 15343) or relevant legislation (e.g., requirements on the calculation of recycled content) under the focus and scope of the Certification. Updates will need to be reflected into the Certification documentation.
- Changes in the focus or/and scope of the Certification.
- Repeated feedback from auditors following their experience during the audit process, check of conformity with audit requirements and completion of the Audit Report. Frequent valuable comments will be taken into the Technical Committee for consideration.
- Stakeholders' and members proposals relevant to the scope of the Certification will be submitted to the Technical Committee for consideration.

EuCertPlast considers and records proposals and assesses its suitability within the Certification scope. Feedback is provided when appropriate within a period of 3 months.

Reviewed documents by the Technical Committee are consulted with Certification Bodies to ensure the suitability and fitness of the added requirements or procedures. The EuCertPlast Steering Board approves the final version of the documents for publication.

Figure 1 summarises the different steps for the revision and development of requirements and procedures within the Certification.

**Figure 1 Procedure for Certification development and maintenance**



Reviews are classified in two different categories:

- **Major Review:** Overall review of available documents following changes on the scope and focus of the Certification or new developments. This includes major suggestions to the Audit Scheme requirements and Certification procedures. These changes would be recorded as a new version of the document indicated as version X.
- **Minor Review:** Editorial changes, additional descriptions or clarifications that facilitate the understanding and usability of the documents. This also includes adaptation of the requirements or procedures due to new legislation. These changes will be recorded as a sub version of the document indicated as version X.X.

### 3.1 Systematic Review

A review of the Certification documentation can be launched at any time by EuCertPlast within the EuCertPlast Technical Committee. Additionally, EuCertPlast will propose a systematic review of all available documentation every 3 years.

## **3.2 Communication of Changes**

The EuCertPlastSecretariat will keep Certification Bodies and certified recyclers informed of the release of a new document version (X) via email. The release of a new sub version (X.X) will be communicated to the Certification Bodies via email. Changes or additions to the documents will be detailed in the table of changes found in the annex section of the respective documents.

The EuCertPlast Secretariat can offer support to Certification Bodies to adapt the audit evaluation according to newly set requirements or procedures. Support can be given in form of exchange of information during a call or via email.

## **4 Quality Control**

The quality control is performed by an external Quality Controller. The Quality Controller is an independent figure established to ensure uniformity and coherence of the audit reports according to the EuCertPlast Scheme.

Initial audits must be reviewed anonymously by the Quality Controller to ensure uniformity and reliability of the Audit Report. In addition, spot checks reviews are selected at random on monitoring audits.

The Quality Controller may recommend the removal of an accredited auditor due to various nonconformities.

In case of reporting of non-conformities within a certified recycler, EuCertPlast will request a quality control of the audit. The Quality Controller may request records, statements and documentation as audit evidence to the certified recycler in order to verify the compliance of the certified recycler to the Audit Scheme. Both the auditor and certified recycler will be consulted and informed during this process. In case of a failed spot check audit, Certification will be revoked.

The Quality Controller is selected by the Steering Board. Its identity shall remain anonymous to ensure a quality procedure.

## **5 Certification Body**

A Certification Body is an external recognised auditor entitled to perform audits according to the EuCertPlast Scheme.

A Certification Body shall obtain its recognition via EuCertPlast. Additionally, Certification Bodies shall sign a code of conduct in order to perform EuCertPlast audits.

The list of recognised auditors may be found on the EuCertPlast website which is updated on a monthly basis.

Auditors shall inform EuCertPlast after a new request for Certification, monitoring audit or failure of certification from a recycler.

EuCertPlast organises a yearly Workshop to align views among the auditors and communicate new developments of the Scheme. The participation in these Workshops is highly recommended and mandatory at least once every 2 years.

## **5.1 Auditors Requirements**

To ensure a uniformly high standard of the EuCertPlast certification scheme, the auditors have to meet relevant requirements. Auditors must have the technical knowledge to assess the suitability of the recycler to comply with the Audit Scheme requirements. Personal and technical requirements that auditors must comply with may be found in Annex I.

## **5.2 Auditors Recognition**

The recognition of new auditors will be performed by an independent entity responsible for training and examining candidates to become EuCertPlast Certification Bodies entitled to perform audits.

Candidates shall be selected according to the eligibility criteria set by the EuCertPlast described in Annex 1.

## **5.3 Removal of Auditors Recognition**

EuCertPlast reserves the right to remove a Certification Body's accreditation upon the filling of three nonconformities.

A dossier of nonconformities shall be presented to the Technical Committee for assessment and approval.

If the nonconformities are approved by the Technical Committee, it will result in an official proposal for removal of accreditation by the Steering Board.

On the other hand, an accredited auditor may terminate its collaboration with EuCertPlast by sending an email to [info@eucertplast.eu](mailto:info@eucertplast.eu). The name of the auditor shall be removed from the list of accredited auditors within five working days.

## **6 Eligibility to apply for Certification**

Certification may only be granted for recycling processes capable of recycling pre-consumer and post-consumer plastic waste.

## 7 Certification Procedure

Recyclers may apply for a EuCertPlast Certification via a Certification Body.

The auditing process takes place in 3 steps: Correspondence with the auditor prior Certification audit; onsite audit; and preparation of Audit Report, Summary Sheet and Certificate.

In order to obtain an EuCertPlast Certification for a recycler, the next steps shall be followed.

Action	Document	Responsible Body
<p><b><u>Introduction &amp; Application for Certification</u></b></p> <p>Applicants select and contact a recognised Certification Body from the public list (<a href="#">European Certification of Plastics Recyclers   EuCertPlast</a>). Certification Body provides information about the Certification, purpose of the audit and organises a meeting with the Applicant to discuss their application.</p> <p>The applicant submits an application for Certification to the Certification Body.</p>	Application Form	Certification Body, Applicant
<p><b><u>Application assessment</u></b></p> <p>The Certification Body reviews the application form and determines if the applicant is eligible for Certification and to which extend it fulfils the audit requirements. The Certification Body might request additional information.</p> <p>The Certification Body prepares an audit plan with timescales and a quote for the audit process.</p>	Audit Plan and Quote	Certification Body
<p><b><u>Communication with EuCertPlast</u></b></p> <p><b>Initial audit:</b> Certification Bodies communicate to the Secretariat any new applications specifying:</p> <ul style="list-style-type: none"> <li>• Name of the company</li> <li>• Address</li> <li>• Date of the scheduled on-site audit</li> <li>• Type of the audit</li> </ul> <p>Certification Bodies request a plant code, used to assign a final code to the Audit Report and Certificate and a third-party code for the quality control.</p>	Plant code, Third-party code	Certification Body, EuCertPlast



<p><b>Monitoring audit:</b> Certification Bodies communicate to the Secretariat the date of the scheduled on-site audit. In case of a spot check, the Secretariat provides a third-party code for a quality control.</p> <p>Certification code must be created by the Certification Body as follows:</p> <ul style="list-style-type: none"> <li>• XXXX – 4 digits code provided by EuCertPlast</li> <li>• MM – month of certificate expiration</li> <li>• YY – year of certificate expiration</li> <li>• XXX – code of the Certification Body</li> <li>• XX – Auditor’s initials</li> </ul> <p>Requests are submitted to EuCertPlast using the address <a href="mailto:info@eucertplast.eu">info@eucertplast.eu</a></p>		
<p><b><u>Signature of the Certification Agreement and NDA</u></b></p> <p>Certification Body and applicant signs a Certification Agreement and NDA.</p>	<p>Certification Agreement, NDA</p>	<p>Certification Body</p>
<p><b><u>Documentation Review</u></b></p> <p>The applicant designates a contact person within the company for the exchange of documentation and any additional information needed by the Certification Body related to the recycling process. The exchange of information takes place prior to the on-site audit.</p>	<p>Applicant’s documentation</p>	<p>Applicant, Certification Body</p>
<p><b><u>On-site audit</u></b></p> <p>Certification Body organises an on-site audit on an agreed date with the applicant.</p> <p>During the audit, the Certification Body should:</p> <ul style="list-style-type: none"> <li>• Inspect the site, input waste, recycling process and recycled output;</li> <li>• Determine that all information provided during the documentation exchange is correct and complete;</li> <li>• Assess the recycling process and management systems critical to the scope and purpose of the Certification;</li> </ul>	<p>Audit Scheme, Auditors Guidance &amp; Audit Checklist</p>	<p>Applicant, Certification Body</p>

<ul style="list-style-type: none"> <li>Determine the compliance with the requirements detailed in the Audit Scheme document.</li> </ul> <p>The duration of the on-site visit should be of 1 day in case of an initial audit, or half a day if it is a monitoring audit. The proposed timings might vary depending on the audited recycling process and its complexity.</p>		
<p><b><u>Audit Report draft preparation</u></b></p> <p>Preparation of the Audit Report following the on-site audit. The draft version should be shared with the applicant who can provide comments or clarifications.</p> <p>Certification Bodies should communicate any non-conformities to the applicant and request the implementation of corrective actions or describe recommendations for improvement if applicable.</p>	<p>Audit Report template</p>	<p>Certification Body, applicant</p>
<p><b><u>Certification decision</u></b></p> <p>Review of the final Audit Report after the comments provided by the applicant. In case of a positive outcome, the Certification Body issues the Certification. In case of a negative outcome, Certification will not be granted and applicant will be informed.</p>	<p>Audit Report</p>	<p>Certification Body</p>
<p><b><u>Quality Control</u></b></p> <p><b>Initial Audit:</b> Certification Body anonymises the Audit Report (blacks out applicant name and address and adds the third-party code) and submits it to the third-party auditor via the email <a href="mailto:audits@eucertplast.eu">audits@eucertplast.eu</a></p> <p><b>Monitoring Audit:</b> Spot checks are done in monitoring audits for the quality control. EuCertPlast will communicate to the auditors the Certifications selected in advance during the communication with EuCertPlast.</p> <p>The quality control ensures uniformity and reliability. In addition, spot checks will be done randomly on monitoring audits. The identity of the third party auditor shall remain anonymous to ensure a quality procedure.</p>	<p>Audit Report</p>	<p>Third-party auditor, Certification Body</p>

<p><b><u>Release of the Audit Report</u></b></p> <p>Certification Body sends the final version of the Audit Report to the applicant.</p> <p>The Audit Report will be released within 6 weeks of the date of the on-site audit.</p>	<p>Audit Report</p>	<p>Certification Body, applicant</p>
<p><b><u>Release of the Certificate</u></b></p> <p>Certification Body sends a final version of the Summary Sheet together with the contact details of the recycler to <a href="mailto:info@eucertplast.eu">info@eucertplast.eu</a>.</p> <p>The Certificate states the certified process, input waste and recycled output connected to the object of conformity.</p> <p>Following, the Secretariat provides the final Certificate to the Certification Body within one week to be signed. The Certificate should be signed by a recognised auditor in charge of the audit.</p> <p>Certification Body sends back the signed certificate to EuCertPlast. Finally, EuCertPlast will share the final version of the Certificate with the Applicant with the EuCertPlast logo.</p> <p>The company will be published on the EuCertPlast website (<a href="http://www.eucertplast.eu">www.eucertplast.eu</a>) as a certified recycler.</p>	<p>Summary Sheet, Certificate</p>	<p>Certification Body, EuCertPlast, applicant</p>
<p><b><u>Monitoring audit</u></b></p> <p>A monitoring will take place once a year. The date of the on-site audit will be agreed between the certification holder and the Certification Body up to six weeks in advance to the expiration date of the validity of the Certification.</p> <p>In case of a positive outcome of a monitoring audit, the date of validity will be carried down one additional year.</p> <p>The certification code will be adapted following the additional year of validity.</p>	<p>-</p>	<p>Certification Body, applicant</p>

Certified companies may be found online in the list of "Certified Recyclers" available in [www.eucertplast.eu](http://www.eucertplast.eu). Companies with expired certificates may also be found listed during a period of 3 months after expiration. The list is updated on a weekly basis under the condition that there is more than one update. This procedure ensures the anonymity of the reports.

Note that an audit shall only be valid if the certified company is listed on the list of certified recyclers and they received the Certificate from EuCertPlast.

## 7.1 Audit Correspondence

### 7.1.1 Pre audit correspondence

A letter will be sent prior to the audit giving an introduction to the EuCertPlast Audit Scheme and purpose of the audit. The letter shall also include the date, place, time and cost of the audit. The auditor must request details of any documents, licenses and other paperwork which will need to be reviewed.

The letter shall stress that the *Recycling Process* must be in operation at the time of the audit. Should any issues arise that mean this is not the case, it must be communicated to the auditor so that the date of the audit can be rescheduled. In case the auditor has been appointed by a third party, he/she will have to make this clear on the letter.

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

### 7.1.2 Post audit outputs

All the Audit Reports must comply with the EuCertPlast Layout and Auditor's Guidance.

## 7.2 Audit Output and timescales (successful audit)

- **Draft Report (electronic copy):** Issued no later than 3 weeks after the audit date. *Recycler* has 2 weeks to make comments.
- **Audit draft Report:** Sent by the auditor as an anonymous report to the EuCertPlast independent Third-Party verification auditor for quality checking if applicable (see Quality Management Systems).
- **Audit Report (secured electronic copy and printed copy x2):** The Auditor will make two versions of the Report: One including the content of the annex 2 of the Audit Report: Detailed Mass Balance of the Recycling Process. Another, not displaying the content of this annex.
- **Summary Sheet:** Issued no later than 6 weeks after the audit date. This document provides key information to EuCertPlast to elaborate the final Certificate and update the company's details on the website.

### 7.2.1 Outputs and timescales (unsuccessful audit)

Where *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 annex with the full results of the audit by category.

## 8 Use of Official Documentation

EuCertPlast documents are published in English on the EuCertPlast website. Certification Bodies must use official EuCertPlast templates to procure the Audit Report, Certificate and additional documentation to the applicant in English.

The new version of the Audit Scheme or any other Certification documentation must be used for any new Certification requests accepted by a Certification Body. Certification requests are considered new upon the signature of the Certification Agreement.

Applicants who signed the Certification Agreement prior to the publication of a document new version, may use the previous versions with which they started the evaluation process. Certification Bodies should offer the opportunity to continue the audit with the newest versions.

## 9 Data Confidentiality

Confidential information shared between the applicant and the Certification Body during the auditing process must be protected by the signatory of a Non-Disclosure Agreement between both parties.

EuCertPlast Secretariat employees and subcontractors must also sign a Non-Disclosure Agreement.

## 10 Register of Complaints and Appeals

In line with ISO 17065:2018<sup>1</sup>, appeals against a Certification decision or complaints about a Certification Body should firstly be sent to the Certification Body. Certification Bodies must address all inquiries and maintain records of them. Records of appeals and complaints should be shared with EuCertPlast.

If these appeals and complaints are not, or cannot be, resolved by the Certification Body, the issuer can address them directly to EuCertPlast via official letter. EuCertPlast will forward all appeals and complaints to the EuCertPlast Technical Committee who will discuss and address the appeal or complaint. EuCertPlast will respond to the complaint or appeal via official letter.

Additionally, reports of non-conformity of a certified company with the Audit Scheme must be addressed to EuCertPlast. EuCertPlast will consider these reports for a quality control spot check as described in Section 5. In case of a failed spot check audit, Certification will be revoked.

Reports of misuse of logo and Certificate must also be addressed to EuCertPlast. EuCertPlast will consider and verify these allegations. In case of verified misuse, EuCertPlast will demand the

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<sup>1</sup> ISO 17065:2018 Conformity assessment — Requirements for bodies certifying products, processes and services

certified recycler to implement corrective actions. In case of failure to comply, the EuCertPlast Certification will be revoked.

Any proposals to be included in the Audit Scheme will be considered and discussed. The EuCertPlast Technical Committee will prepare a response for the issuer or Certification Body with the approval of the EuCertPlast Steering Board.

EuCertPlast must maintain a record of all complaints and appeals received and responses procured.

## **11 Validity of Certification**

Certification has a validity of one year. The validity of the Certification is subject to the conditions below:

- Certification is valid for the process evaluated during the audit;
- Certification holders fulfil the requirements as described during the audit preparation. Changes to the recycling process should be communicated to the Certification Body.

## **12 Suspension or Withdrawal of Certification**

Suspension of the Certification is a measure intended to protect the integrity of EuCertPlast. Certification Bodies may suspend an issued Certification when:

- Requirements defined in the Audit Scheme and Certification Agreement are no longer fulfilled by the Certification holder;
- Mandatory corrective actions defined in the Audit Report have not been adapted within the specified timeframe.

Certification Bodies will notify the suspension of Certification to certification holders. The information will include:

- Justification for the suspension;
- Period of the suspension;
- Practicalities of implementing the suspension – communication to costumers and stakeholders;
- Conditions to be fulfilled by the certification holder for lifting the suspension.

Additionally, Certification may be withdrawn when mandatory corrective actions where not fulfilled, or suspension of a Certification had no effect. Certification Bodies may also withdraw a Certification directly. In case of withdrawal of the Certification, certification holders must cease the use of the

EuCertPlast logo and inform its costumers by letter. Certification holders can appeal a decision for withdrawal following the procedure for complaints and appeals described in this document.

Finally, certification holders also have the option to request the termination of the Certification by contacting the issuing Certification Body.

## 13 Changes in the Recycling Process

Under the terms of the Certification, a certification holder must inform the Certification Body when:

- *Recycler* has an operating or environmental permit removed (that is required by law) or not renewed. Action: Withdrawal of *Certification*.
- *Recycler* goes into bankruptcy. Action: Withdrawal of *Certification*.
- The recycler intends to, or has, shut down the certified *recycling process* for the foreseeable future (>6months). Action: Suspension of *Certification*.
- There is a significant change to *Recycling Process*. Action: Arrange the Audit Report.
- *Recycler* or *Recycling Process* has been sold to a different and unrelated company. Action: *Recycler* must inform the auditor and sign a Change of Ownership document to confirm that they do not intend to make significant changes to *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 *Recycler* and form for them to sign is shown in Annex 2.

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

In case of a failed audit during a spot check quality control of the Audit Report, the Certification will be revoked.

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

## 14 Renewal of Certification

A monitoring audit must take place once a year in order to renew the validity of the Certification. Monitoring audits ensure demonstrated continuous fulfilment with the audit requirements. Monitoring audits can be conducted up to 6 weeks in advance to the date of expiration of the validity date.

## 15 Cost of the Audit

Certification is voluntary and paid for by the recycler.

## 16 Communications

The Certificate is a publicly available document.

The Summary Sheet and Audit Report should not disclose sensible commercial information such as customers, clients, detailed organigram and detailed plant layout. Any information detail of commercial sensibility of section 4.5 and section 5, will only be displayed in the annex 1 or 2 of the Audit Report: Detailed Audit Results and Detailed Volume Reconciliation of the Recycling Process. The auditor will make two versions of the Audit Report: one including the content of these annex, and another not displaying it. *Recycler* will be free to disclose this information to any third party.

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

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

Any data information disclosed in the Summary Sheet may be used for communication purposes on an aggregate basis in order to protect the confidentiality of the companies.

## 17 Use of the EuCertPlast Logo

The use of the EuCertPlast logo gives a visual identity to the recycling plastic sector and thus contributes to ensure a proper functioning of the recycling plants. Certification ensures traceability throughout the recycling process and it verifies the origin, source and type of waste used to produce recycled outputs. Furthermore, it highlights the certified company engagement in sustainable waste management practices.

The use of the EuCertPlast logo and Certificate is reserved to recyclers holding a valid EuCertPlast Certificate for business to business communication. The EuCertPlast logo must be correctly legible when used.

EuCertPlast logo can be used by certification holders in websites, presentations, brochures, signatures, banners and any other communication material. The logo can also be used for certified recycled output in big bags or delivery documents. Certification holders must communicate the use of the logo to their Certification Body. Certification Bodies document this.

Companies that are not EuCertPlast certified are not allowed to use the EuCertPlast logo and Certificate for their products. Costumers of certification holders are not allowed to use the EuCertPlast logo for their products.

## 18 Misuse of the Certification Claims and Logos

Unauthorized use of the EuCertPlast logo is not permitted for non-certified recyclers or products out of scope of the Certification. Examples of misuse include but are not limited to:



- A company uses the EuCertPlast logos without being in possession of a valid certificate;
- A certification holder uses the logo with an expired or withdrawn Certificate;
- A certification holder uses the logo on a recycling process where changes were made without informing the issuing Certification Body;
- A certification holder uses the logo for recycled outputs which were not included under the Certification scope.

EuCertPlast will launch an investigation in case of suspicion or notification of unauthorised, incorrect, or misleading use of the EuCertPlast logos and Certificates, whether through negligence or fraud. EuCertPlast will consider and verify these allegations. In case of verified misuse, Certification Bodies must take appropriate measures with certification holders and demand them to implement corrective actions within a determined period of time. In case of failure to comply, Certification can be suspended and withdrawn

If you suspect or identify misuse of the logos and claims, please get in touch with EuCertPlast.

To protect the integrity of EuCertPlast, it is important that the logos and Certificates are used correctly. If you think the logo is being misused, please report it immediately to [info@eucertplast.eu](mailto:info@eucertplast.eu)

## 16 Annex 1: EuCertPlast Auditors Requirements

### 16.1 Introduction

The goal of the EuCertPlast certification system is to recognize plastic recyclers operating according to high standards and to give confidence to suppliers that any input waste plastic they deliver to a certified recycler will be recycled according to the highest standards, with respect to the environment protection and national legislation.

One of the main components of the certification, according to the EuCertPlast certification scheme, is to evaluate the system in terms of suitability for processing of the specific material.

### 16.2 Requirements for auditors

To ensure a uniformly high standard of the EuCertPlast certification scheme, the auditors have to meet relevant personal and professional requirements. It is therefore indispensable that an auditor has the technical knowledge to assess the suitability of the plant regarding the specific input material. Specifically, the auditor must have above average knowledge on the below topics.

#### 16.2.1 Technical requirements

##### 1. Waste management basics:

Knowledge about different possibilities of collecting waste (knowledge of all European collecting systems, as well as the common specifications with which the different types of plastic are traded) - such as recycling and disposal operations, recycling and

sorting methods, recycling processes for different materials, waste logistics and materials science, treatment procedures.

**2. Basic knowledge of polymer chemistry:**

Chemical and physical properties of the most important polymers (PE, PP, PET, PVC...).

**3. Above-average knowledge of treatment technologies:**

- Processing technique (including all finishing stages up to polycondensation) based on the processed polymer.
- Standard equipment configurations regarding the different types of plastic.
- Evaluation of the recycling process for different materials.
- Problems occurring when processing contaminated or mixed material.
- Evaluation of the capacity calculated by the system data with regard to the plausibility and with respect to the units used.
- Evaluation whether the plant is a final recipient or merely a conditioner.
- Definition of the specific input for the recycling process.
- Dealing with the discharge of specification components – calculation of the portion.

**11.2.2. Personal requirements**

According to the EuCertPlast audit scheme the auditors must meet the following personal requirements:

- Successful completion of studies at a recognized university in the field of engineering, science, law or economics.
- Or successfully completed vocational training in the field of waste management or technicians specializing in environmental, waste and mechanical engineering or supply and waste disposal and at least three years (with higher education qualification) or a minimum of 5 years of self-employed activity (with training education) in the waste industry.
- Demonstrated competence by submitting proper documentation (e.g. CV, copies of certificates of all relevant academic and professional qualifications, work experience and experience as an expert, references, reports, training).
- The applicant must be more than 30 years old at the time of the application for first time accreditation.
- No reservations regarding the qualification of the applicant should exist. This includes sufficient practical experience in the field of activity and the scope of expertise.
- The applicant shows above average theoretical knowledge, practical skills and the ability to carry out an expert opinion / study.

- The applicant must have access to the facilities necessary to fulfil his duties as a publicly sworn expert.
- The applicant must be in good financial standing.
- The applicant has to offer guarantee that he will remain impartial, independent and that he will fulfil his duties and obligations as a publicly sworn expert.
- An expert with a current work or service obligation can only be publicly sworn, if he fulfils these requirements and additionally can prove that:
  - His work contract does not collide with the requirements and that he can personally fulfil his duties as an expert personally.
  - His work as an expert is not bound by any instructions and that he can identify his services as individual, independent work.
  - His employer is willing to grant sufficient time to perform his expert duties.
- The applicant must provide a list of all certifications acquired in the past three years and the three latest certificates he has issued.
- The applicant has to have passed the training on the EuCertPlast certification scheme.

## 17 Annex 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]

## 18 Annex 3: Table of Changes

<b>Version</b>	<b>Date</b>	<b>Section</b>	<b>Update description</b>
4.0	December 2021	3	New section.
4.0	December 2021	5	Update on the wording.
4.0	December 2021	5.2	Update on the wording.
4.0	December 2021	7	Clarification of the text.
4.0	December 2021	8	New section.
4.0	December 2021	9	New section.
4.0	December 2021	11	New section.
4.0	December 2021	12	New section.
4.0	December 2021	14	New section.
4.0	December 2021	17	New section.
4.0	December 2021	18	New section.