



EuCertPlast Audit Scheme

Version 4.1

Last updated on December 2020 by the EuCertPlast Technical Committee
info@eucertplast.eu

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I. Scope of Certification

The aim of EuCertPlast is to recognise recyclers of pre-consumer and post-consumer plastic waste operating according to high standards. *Certification* gives confidence to suppliers and customers that any input plastic waste delivered, and output produced in a certified recycling facility will be recycled as per *Best Practise*.

Certification works according to the European Standard EN 15343:2007 and aims at encouraging environmentally friendly plastics recycling processes by standardizing them.

Certification focuses on material traceability throughout *Recycling Process*, assessment of conformity, management systems, environmental and administrative operating standards and associated legal compliance as well as recycled content calculation in the end product.

Certification shall be issued for each *Recycling Process* operating at a site.

II. Use of Definitions

Defined terms are marked in *italics* and start with a capital letter. Terms and definitions relating to this document can be found in Annex 1.

III. References

EN 15342 Plastics—Recycled Plastics—Characterization of polystyrene (PS) recyclates
EN 15343 Plastics—Recycled Plastics—Recycling traceability and assessment of conformity
EN 15344 Plastics—Recycled Plastics—Characterisation of Polyethylene (PE) recyclates
EN 15345 Plastics—Recycled Plastics—Characterisation of Polypropylene (PP) recyclates
EN 15346 Plastics—Recycled plastics—Characterisation of poly(vinyl chloride) (PVC) recyclates
EN 15347 Plastics—Recycled Plastics—Characterisation of waste plastics
EN 15348 Plastics—Recycled Plastics—Characterization of poly(ethylene terephthalate) (PET) recyclates

IV. Types of Certification, Frequency and Time on-site

There are 5 types of audits, all of which will be scheduled and pre-arranged with *Recycler*:

- *Initial Certification*; estimated on-site time 1 day
- *Monitoring Certification*; estimated on-site time 0.5 day
- *Provisional Certification*; estimated on-site time 1 day
- *Multi-site Certification*; estimated on-site time from 1 to 2 days
- *Change of Recycling Process Certification*; estimated on-site time 0.5 days

The type of the audit shall be specified in the audit Summary Sheet. *Certification* has a validity of 1 year and after that shall be renovated.

IV.1 Initial Certification

Initial Certification shall be carried out for *Recycling Process* which is carried out in one facility and can present production records from the previous 12 months of recycling operation.

IV.2 Monitoring Certification

Monitoring Certification shall be carried out for *Recycling Process* renewing their EuCertPlast *Certification* for one facility. They can present production records from the previous 12 months of recycling operation.

IV.3 Provisional Certification

Provisional Certification shall be issued when 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. This certificate will be valid for 1 year. A minimum of 3 months of data are required in order to issue a *Provisional Certification*. When 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.

IV.4 Multisite Certification

Multisite Certification shall be issued when a *Recycling Process* takes place in two or more separate locations under the same ownership. *Recycler* must designate one location as main address for administrative purposes of *Certification*. All locations must be visited and listed in the Audit Report and Summary Sheet during the audit and traceability among all locations shall be verified. This *Certification* is valid for 1 year.

IV.5 Change of Recycling Process audit

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

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

V. Operating performance Requirements

The auditing criteria is standardised in two categories which define the level of importance and accuracy that *Recycler* must achieve in the *Certification* process.

Category type	Description
1	Compulsory: <i>Recycler</i> must achieve the required standard for type 1 categories in order to achieve <i>Certification</i> . Minor discrepancies are allowed in defined circumstances.
2	Preferred. A <i>Recycler</i> must achieve a 50% compliance with category 2 items.

VI. Traceability

There are 3 levels of traceability that can be awarded to *Recycler*. The auditor must decide which level is applicable and show the result on the Final Report. Traceability Level 1 and 2 are applicable to plants accepting baled and bulky material. Traceability Level 3 is only applicable to plants accepting bulky waste. Guidance is detailed below.

Level 1: Full traceability

- **Control of input material:** Input controls as per EN 15347:2007 for each incoming *Batch* of *Input Plastic Waste*. Each *Batch* of *Input Plastic Waste* is identifiable in the stock area.
- **Control of the recyclates production process:** *Recycling Process* is fed with individual *Batches* of *Input Plastic Waste* or mixtures of *Batches* of *Input Plastic Wastes* 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:** *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:** It can be calculated using the formula in section 6 of EN 15343:2007 (so there must be a known blend of recycled and virgin / other material).
- **Record keeping:** Records are kept of all of the above data.

Recyclers producing food contact *Recycled Output* that cannot meet traceability Level 1 should not be awarded *Certification*.

The auditor must duly justify in the audit report why he granted traceability Level 1 according to the above variables.

Level 2: General traceability

- **Control of input material:** *Input Plastic Waste* is stored by *Recycler* in two or more *Storage Bays*. The *Batches* of *Input Plastic Waste* 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:** *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 *Input Plastic Waste* into *Recycling Process* from a different *Storage Bay*). *Recycled Outputs* can be traced to *Input Plastic Waste* from a specific *Storage Bay* and therefore to known *Batches* of *Input Plastic Waste*. 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 15343:2007 (so there must be a known blend of recycled and virgin / other material).
- **Record keeping:** Records are kept of all of the above data.

The auditor must duly justify in the Audit Report why he granted traceability Level 2 according to the above variables.

Level 3: Enlarged general traceability

This level is applicable only to plants accepting bulky waste.

- **Control of input material:** *Input Plastic Waste* is stored by *Recycler* in one or more *Storage Bays*. *Batches* of *Input Plastic Waste* are documented in a monthly average. Each individual *Batch* of *Incoming Waste Plastic* does not need to be separately identifiable within a *Storage Bay*.
- **Control of recyclates production process:** *Recycled Outputs* can be traced and documented on a monthly average to *Input Plastic Waste*. *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 15343:2007 (so there must be a known blend of recycled and virgin / other material).
- **Record keeping:** Records are kept of all of the above data.

The auditor must duly justify in the audit report why he granted traceability level 3 according to the above variables.

Please note that category type: '1' and '2' refer to the required level of performance and not levels of traceability. See section IV of the EuCertPlast Audit Scheme: Operating performance required for *Certification* for further explanation.

VII. 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 *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	Minor Discrepancy	Evidence required
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) Wastewater treatment and/or disposal and;
- iii) Emissions to the air.

Assessment level	Minor Discrepancy	Evidence required
1	n	y

1.3 Waste transport licenses

Where *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	Minor Discrepancy	Evidence required
1	n	y

1.4 License and permit conditions – Waste plastics processed

Check that the throughput of *Input Plastic Waste* and other waste plastics (if relevant) processed by *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	Minor Discrepancy	Evidence required
1	y	y

1.5 License and permit conditions – waste plastics stored

Check that the *Input Plastic Waste* and other waste plastics (if relevant) stored by *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	Minor Discrepancy	Evidence required
1	y	y

1.6 ISO 14001

Certificates should be issued by an authorised accreditation body.

Assessment level	Minor Discrepancy	Evidence required
2	n	y

1.7 ISO 9001, 18001 or EMAS

Certificates should be issued by an authorised accreditation body.

Assessment level	Minor Discrepancy	Evidence required
2	n	y

1.8 Insurances

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

- i) Buildings, equipment and stock
- ii) Public liability

iii) Employers' liability

Assessment level	Minor Discrepancy	Evidence required
2	n	y

Section 2: Management Team

2.1 Company directors

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

2.2 Staff structure and responsibilities

Recycler shall have available at least:

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

Assessment level	Minor Discrepancy	Evidence required
1	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	Minor Discrepancy	Evidence required
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	Minor Discrepancy	Evidence required
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2	n	n
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2.5 Staff qualifications (quality management)

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

Assessment level	Minor Discrepancy	Evidence required
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	Minor Discrepancy	Evidence required
2	n	n)

Section 3: Incoming Material Procedures and Controls

3.1 Purchase specifications

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

Assessment level	Minor Discrepancy	Evidence required
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 Plastic Waste*. Categories of plastic waste include (as applicable) WEEE, ELV, packaging, agricultural or other. Whether the *Input Plastic Waste* is pre-consumer, household or commercial post-consumer, should also be identifiable.

Assessment level	Minor Discrepancy	Evidence required
1	y	y

3.3 Weights and dates of delivery recorded

All incoming *Batches of Input Plastic Waste* are weighed on a weighbridge (public or at *Recycler*) and a minimum of the net weight of *Input Plastic Waste* 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	Minor Discrepancy	Evidence required
1	n	y

3.4 Supplier details recorded

Each *Batch of Input Plastic Waste* 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	Minor Discrepancy	Evidence required
1	n	y

3.5 Haulier details recorded

Each *Batch of Input Plastic Waste* 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	Minor Discrepancy	Evidence required
2	n	n

3.6 Weighbridge calibrated

Where there is a weighbridge on site which is being used for the purchase of *Input Plastic Waste* 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	Minor Discrepancy	Evidence required
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1	n	y
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Section 4: Stock Management

4.1 Stockyard details

Stockyard details shall be specified including at least:

- i) Approximate size of covered storage area (m²)
- ii) Approximate size of uncovered storage area (m²)

4.2 Incoming stock identifiable by supplier

All incoming *Input Plastic Waste* 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.

Exemption for bulky waste according to Level 3 traceability must be defined.

Assessment level	Minor Discrepancy	Evidence required
1	n	y

4.3 Storage conditions

Incoming (*Input Plastic Waste*) 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	Minor Discrepancy	Evidence required
2	n	n

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 time. This should be for both incoming (*Input Plastic Waste*) and outgoing (*Recycled Output*) stock.

Assessment level	Minor Discrepancy	Evidence required
1	n	n

4.5 Stock checks

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.

The frequency of these inspections is subject to the system used by *Recycler*. If an electronic system is in place, physical inspections may vary from every month to once a year.

Assessment level	Minor Discrepancy	Evidence required
1	n	y

Section 5: Recycling Process

5.1 Recycling Statistics

Calculated for the 12 months prior to the audit.

5.1.1 *Site Capacity*

5.1.2 *Equipment Capacity*

5.1.3 Nominal Capacity

5.1.4 Incoming *Input Plastic Waste (pre-consumer and post-consumer)*

5.1.5 *Subcontracted Recycling*

5.1.6 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

5.1.7 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
m ³ /t	To be accessed	1.5-2.5	2-3	Not applicable

5.2 Input Volume Reconciliation

The auditor shall calculate the volume reconciliation to identify if there is *Input Plastic Waste* being delivered to the site which is unaccounted for. No significant excess of *Input Volume* over *Equipment Capacity* combined with *Subcontracted Recycling* should be identified.

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

Where records show that *Input Plastic Waste* is being sold (traded) to other recyclers then this should be detailed in the report (including the tonnage of *Input Plastic Waste* 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	Minor Discrepancy	Evidence required
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 Plastic Waste*
- 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 Plastic Waste* inputs and *Recycling Outputs* and the absence of records for the other categories would count as a *Minor Discrepancy*.

Assessment level	Minor Discrepancy	Evidence required
1	y (see note above)	y

5.4 Mass balance calculation

The mass balance calculation is an overview of all the material flows of *Recycling Process* for a period of 1 year (the period of evaluation). This central part of the report should be reasonably accurate, and all discrepancies of the process shall be explained.

When a mass balance is produced only using *Input Plastic Waste* and *Recycled Output*, a period of 3 months is granted to *Recycler* to alter their systems and add other categories to the calculation that might be missing.

If a *Recycler* has been producing *Recycled Output* for less than one year or records have been kept for less than one year, a *Provisional Certification* should be issued.

Assessment level	Minor Discrepancy	Evidence required
1	y (see note above)	y

5.5 *Beneficial Output & Yield*

A high-level indication of the amount of *Recycled Output* (by percent) that is produced from a given tonnage of *Input Plastic Waste*. Where a 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. Any material used for energy generation shall be excluded. Proof of the material being sent to a licensed recycling facility may be used to verify which material shall be included in the 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*, *Recycled Output* refers to the targeted plastic by *Recycler* (e.g. PET output for a PET *Recycler*).

Assessment level	Minor Discrepancy	Evidence required
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 Plastic Waste* 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	Minor Discrepancy	Evidence required
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	Minor Discrepancy	Evidence required
1	n	y

5.8 Tracing Input Plastic Waste & input Batches to suppliers

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

Assessment level	Minor Discrepancy	Evidence required
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	Minor Discrepancy	Evidence required
1	y	y

5.10 Recycling Process as per EN15343

Recycler is operating broadly in line with EN 15343, 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	Minor Discrepancy	Evidence required
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	<i>Minor Discrepancy</i>	Evidence required
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 *Recycler* and the auditor should not make copies of the documents.

Assessment level	<i>Minor Discrepancy</i>	Evidence required
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 should be available. 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	<i>Minor Discrepancy</i>	Evidence required
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	Minor Discrepancy	Evidence required
1	n	y

7.2 Conditions of disposal of solid wastes

Solid wastes are stored on paved floors equipped with rainwater collection systems in closed or fenced areas to avoid wind dispersion.

Solid wastes are stored and transported in a way that reduces space and volume of transportation.

Assessment level	Minor Discrepancy	Evidence required
2	y	n

7.3 Licensed treatment of wastewater (off site)

Permits for onsite water treatment are covered in Section 1. This section is relevant only when wastewater from *Recycling Process* is being sent off site for treatment.

Where this is the case, the auditor should check that the wastewater is being captured and stored in a way so as not to cause potential damage to the environment, for example through leakage. Wastewater must also be 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 wastewater received or;

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

Assessment level	Minor Discrepancy	Evidence required
1	n	y

7.4 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.

The installed runoff collection system should be paved, and any storage of runoff waters should prevent leakages.

Assessment level	Minor Discrepancy	Evidence required
2	n	n

7.5 Pellet and waste loss

Recycler should have an effective procedure in place to prevent the leakage of *Input Plastic Waste* and *Recycled Output* into the environment within its premises and surroundings.

Designated staff is responsible for the management and application of the established procedure. Appropriate training, guidelines and resources for the implementation and compliance of the procedure should be provided by the *Recycler*.

Assessment level	Minor Discrepancy	Evidence required
2	y	y

7.6 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 wastewater 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

Assessment level	Minor Discrepancy	Evidence required
1	n	y

Section 8: Subcontracting

8.1 Control of *Subcontracted Recycling*

Clear records shall be kept showing when *Input Plastic Waste* has been sent for *Subcontracted Recycling*. *Recycler* must record at least:

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

Assessment level	Minor Discrepancy	Evidence required
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	Minor Discrepancy	Evidence required
1	n	y

8.3 Suppliers informed of *Subcontracted Recycling*

Recycler is tracking and recording which *Batches* (or parts of *Batches*) of *Input Plastic Waste* 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 Plastic Waste* over a period of time.

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Note: this only applies to deliveries of *Input Plastic Waste* 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	<i>Minor Discrepancy</i>	Evidence required
2	n	n

8.4 Control of *Subcontracted Processing*

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

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

Assessment level	<i>Minor Discrepancy</i>	Evidence required
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 Plastic Waste*) 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	<i>Minor Discrepancy</i>	Evidence required
2	n	y

Section 9: Quality Management

9.1 Quality assurance system

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

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

For *Input Plastic Waste* the quality check should be against the purchase specification and for *Recycled Outputs* against the sales specification. In both cases recognised scientific, analytical and statistical techniques should be used (for instance as applicable and as detailed in the relevant EN Standards – EN15347 & EN15343 for *Input Plastic Waste* and EN 15342 / EN 15344 / EN 15345 / EN 15346 / EN 15348 & EN 15343 for *Recycled Outputs*).

Assessment level	Minor Discrepancy	Evidence required
2	n	n

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

Recycler is requesting information from suppliers regarding *Input Plastic Waste* as per Table 1 (Required Characteristics of Plastic Wastes) in EN15347 or PRE Bales Characterisation Guiding Requirements. 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 Plastic Waste* in line with Section 4.1 (Control of Input Materials) in EN15343.

Assessment level	Minor Discrepancy	Evidence required
1	y	y

9.3 Quality testing during *Recycling Process*

Samples of part processed *Input Plastic Waste* 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	Minor Discrepancy	Evidence required
2	n	n

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 and/or follows PRE Flakes and Pellets Characterisation Guidelines.

Assessment level	<i>Minor Discrepancy</i>	Evidence required
1	n	y

9.5 Permitted range in *Recycled Output* product specifications

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

Assessment level	<i>Minor Discrepancy</i>	Evidence required
2	n	n

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 terephalate) recyclates

Where no standard exists for *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	<i>Minor Discrepancy</i>	Evidence required
2	n	n

9.7 Known recycled content

The recycled content of Recycled Output shall be calculated according to the procedure described in Section 6 of EN 15343:2007.

During the audit, the auditor should calculate the share of pre-consumer and post-consumer content. When required, the volumes for post-consumer recycled content should be further detailed between household and commercial waste. This information, as an average for the 12 months under review, should be shown on the EuCertPlast Summary Sheet (see annex 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)	Minor Discrepancy	Evidence required
1	y	y

9.8 Out of specification load procedure

There is a written procedure in place for dealing with deliveries of *Input Plastic Waste* 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	Minor Discrepancy	Evidence required
2	n	n

9.9 Rejected load procedure

There is a written procedure in place for dealing with deliveries of *Input Plastic Waste* 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	Minor Discrepancy	Evidence required
1	n	y

9.10 REACH

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

Assessment level	<i>Minor Discrepancy</i>	Evidence required
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:

1. The general approach to H&S at the site;
2. An overall impression of site organisation and management;
3. Areas where the site is operating to a particularly high standard;
4. Areas where there is potential for improvement;
5. Areas where improvement must be made to gain *Certification* (where an application for *Certification* was unsuccessful).

Annex 1: Definitions Used in this Document

Batch

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

Beneficial Output

Beneficial Output refers to all the Recycled Output including by-products produced from Recycling Process that can be used as a direct replacement for virgin polymer or other raw material to manufacture goods (excluding those intended for energy generation).

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.

Broker

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

Certification

Certification under the EuCertPlast certification scheme.

Current Operating Hours

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

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 Plastic Waste*, *Recycling Outputs* or waste, including such dealers who do not take physical possession of the aforementioned material streams.

Equipment Capacity

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

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.

Full Certificate

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

Input Volume

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

Input Plastic Waste

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

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.

Lot

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

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.

Nominal Capacity

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

Permitted Operating Hours

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

Pre-consumer

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

Note 1: This term excludes re-utilized material, such as rework, regrind or scrap that has been generated in a given process and is capable of being reclaimed within that same process.

Note 2: The term "post-industrial material" is sometimes used synonymously.

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. For specific materials such as PVC, sector definitions apply.

Note 1: The term "post-use" is sometimes used synonymously

Post-consumer household

Descriptive term covering¹ waste generated by households. Usually a synonym for 'garbage/rubbish' and 'domestic waste'. Household waste is the fraction of municipal waste

¹ OJ L 310, 25.11.2011, p. 11–16.

collected from households, final holders of the waste. Nevertheless, this typology of waste is not limited to households, as all wastes resembling same characteristics are defined as such are also included.

Post-consumer commercial

Descriptive term covering waste produced by the operation of a trade or business professional, commercial, institutional, or governmental facility². Commercial waste is a synonym for trade waste.³ Commercial waste is generated from the handling, transport, retailing, and stocking of products and services usually referred as tertiary packaging. Within this category of waste, we find also waste generated from public institutions (schools, museums, libraries, government buildings, hospitals and the similar) or from trade, small businesses, and office buildings. Commercial waste includes electronic and electrical appliances wastes when these are returned to the shops that manage the disposal. Also, beverage plastic bottles part of Deposit-Return schemes is typically considered as commercial waste, as the final holder of the product to be disposed of is the retail centre where these bottles are collected.

Provisional Certification

Certification for Recyclers when *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.

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).

Recycler

The recycler applying for *Certification*.

Recycling Process

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

Site Capacity

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

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.

Subcontracted Processing

When *Input Plastic Waste* 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.

² ISO 6707-1:2017 Buildings and civil engineering works.

³ *Ibid.*

Subcontracted Recycling

Input Plastic Waste 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).

Yield

Amount of *Recycled Output* (by percent) that is produced from a given tonnage of Input Waste Plastic.

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:

EuCertPlast Audit Scheme 4.1

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]

Annex 3: EuCertPlast Summary Sheet Template



Summary Sheet

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

Type of Certification:

For the recycling plant:
[LEGAL NAME, ADDRESS, POST CODE, CITY, COUNTRY]

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 3)	Washed material

Audited by: Date of audit: [DD/MM/YYYY] Period of evaluation: [DD/MM/YYYY] to [DD/MM/YYYY] Period of validity: [DD/MM/YYYY] to [DD/MM/YYYY] Recycler contact (name + email):	Auditor's logo:
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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]

Annex 4: EuCertPlast Certificate of Compliance Template

EuCertPlast c/o Plastics Recyclers Europe - Avenue de Cortenberg, 71 - 1000 Brussels, Belgium info@eucertplast.eu		EuCertPlast CERTIFICATE OF COMPLIANCE
	This is to certify that:	
	<div style="border: 1px solid black; width: 200px; height: 60px; margin: 0 auto;"></div>	
	Company name	

has met the required standards for certification under the
EuCertPlast Scheme for European Plastics Recyclers.

The Certification is valid until
12/02/2018

The recycling process and associated management systems for the waste plastic and site
have been audited by **[Auditor's name]** from **[Auditor's Company]** in **[Date]** in **[Country]**.

EuCertPlast Accredited auditor

<div style="border: 1px solid black; width: 100%; height: 40px; margin: 0 auto;"></div>	<hr style="width: 100%; border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Auditor's name Auditor's Company
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