



EuCertPlast Audit Scheme

Version 4.2

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I. Focus and Scope of Certification

The aim of EuCertPlast is to recognise plastic recycling processes of pre-consumer and post-consumer 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 practice*.

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

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 day

The type of the audit shall be specified in the Audit Report, Summary Sheet and Certificate. *Certification* has a validity of 1 year and after that must 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 there is a change of location of the *Recycling Process* applying for *Certification*;
- When *Input Plastic Waste* is changed (either a change in polymer or form, i.e. rigid or flexible);
- When *Recycled Output* is changed

V. Eligibility to apply for Certification

Certification may only be granted to *Recyclers* with plastics *Recycling Processes* in place capable of recycling pre-consumer and post-consumer plastic waste.

VI. Object of Conformity

Certification enables *Recyclers* with plastic *Recycling Processes* to demonstrate compliance with Certification under the EuCertPlast Audit Scheme in line with requirements of EN 15343:2007.

The conformity assessment focuses on the required procedures to ensure traceability of plastic waste within a *Recycling Process* and provides a declaration of the percentage of recycled content (pre-consumer and post-consumer) in *Recycled Outputs*.

VII. 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.

VIII. 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.

The auditor must duly justify in the Audit Report why *Recycler* complies with 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 *Recycler* complies with 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 *Recycler* complies with 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 VII of the EuCertPlast Audit Scheme: Operating performance required for *Certification*.

IX. Origin, Source, Sector and Type of waste

The Certification verifies the origin and source of waste and type of product application of the waste. Inspection of the *Input Plastic Waste* takes place during the on-site audit to ensure that these information matches the documentation.

Categories of plastic waste include:

Origin of waste:

- Pre-consumer
- Post-consumer

Source of waste:

- Household
- Commercial
- Industrial

Sector of the waste:

- Packaging
- Agricultural
- Building & Construction
- Automotive
- WEEE

- Etc.

Type of waste:

- PET trays
- PET bottles
- Windows
- Fridges
- Etc.

The issued Certificate will state the origin of the waste. Additionally, the source of waste will be mentioned in the Summary Sheet and Audit Report. Sector and type of application may also be mentioned.

X. Calculation of Recycled Content

The calculation of recycled content supports transparent communication of the use of recycled plastics along the value chain. Certification ensures that the ratio between inputs and outputs is always known for a determined volume throughout the *Recycling Process*. Therefore, the percentage of recycled plastics present in the *Recycled Output* can be known. The auditor will document a reconciliation of volumes for the period of evaluation and perform a plausibility check to verify that the quantities of *Plastic Input Waste* used are plausible with the quantity of *Recycled Output* produced and their share of recycled content, taking into consideration other inputs and losses.

The Certification includes a calculation of recycled content overall all *Recycling Process* and in certain cases, a calculation of recycled content per *Recycled Output*.

- **Recycling Process recycled content:** An average calculation of recycled content for *Recycling Process* is reported in the Summary Sheet and Audit Report. This information cannot be used as a claim of recycled content in final products.
- **Recycled Output recycled content:** A calculation of recycled content per *Recycled Output* is done stating the share of pre-consumer and post-consumer. This information is reported in the Certificate and Audit Report. This requirement is not mandatory for Traceability level 3.

The calculation of the recycled content per *Recycled Output* is requested to verify the origin of the waste in subsequent certifications of uptake of recycled plastics such as Blue Angel label or RecyClass.

The share of recycled plastics is determined following the assessment and documentation review during the audit. The calculation for pre-consumer and post-consumer recycled content share of a *Recycled Output* will be calculated according to the formula below in line with EN 15343:2007:

$$x = \frac{A}{P} \times 100$$

X is the Recycled Content, expressed as a percentage;

A is the mass of *Plastic Input Waste*;

P is the total mass of *Recycled Output*.

In the formula, X represents the share of pre-consumer or post-consumer material which should be reported separately.

The verification of the Recycled Content share is done based on the production records of the period of evaluation (1 year prior to the date of the Certification). Any other ingredients in *Recycled Output* such as virgin plastics, fillers, additives or masterbatches should count towards the denominator. Non-plastic materials should not be considered in the calculation (e.g. inks, adhesives, coatings, barriers, metals, paper, etc.).

XI. Non-conformities

Non-conformities are issued when there is a failure to comply with an audit scheme requirement. Non-conformities are described in two different categories:

- **Major non-conformities** affect the overall capability of the applicant to comply with the audit scheme requirements. There is a significant doubt that an effective process control or mandatory permits are in place or traceability during the recycling process cannot be established. Several minor non-conformities associated with the same requirement constitutes a major non-conformity. Non-compliance with more than 50% of category 2 requirements constitute a major non-conformity.
 - **Major non-conformities of category 1 requirements** result in a suspension of the audit procedure. *Recycler* will be notified with the corrective actions to be implemented within a period of 3 months to resume the audit evaluation on-site or where possible via documentation exchange or other means such as video connection. This is aimed at verifying the correct implementation of the corrective actions. If corrective actions are not implemented satisfactorily, the auditor may close the audit procedure.
 - **Major non-conformities of category 2 requirements** are noted as observations. When non-conformities represent more than 50% compliance with category 2 requirements, non-conformities should be resolved within a certain period of time up to 6 months to be determined by the auditors. Evaluation of the implementation of

corrective actions is possible via documentation exchange or other means such as a video connection. Auditors must decide if the corrective actions were correctly implemented to close the audit procedure.

- **Minor non-conformities** do not affect the overall capability of *Recycler* to comply with the audit scheme requirements.
 - **Minor non-conformities of category 1 requirements** are noted for rectification within a defined period of time up to 3 months to be determined by the auditor.
 - **Minor non-conformities of category 2 requirements** are noted as observations.

XII. EuCertPlast Scheme Details

Section 1: Licenses, Permits and Certificates

1.1 Business and operating licenses

Verify that the following documents are in place and valid:

- i) Company registration document; and
- ii) Waste management permit; or
- iii) Permit derogation according to Article 20 of the Waste Framework Directive; or
- iv) Operating license or environmental license with specific provisions on treatment of waste; and
- v) Any operating licenses required for the country where *Recycler* is located.

Assessment level	Minor Non-conformity	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 Non-conformity	Evidence required

1	n	y
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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 Non-conformity	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 Non-conformity	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 Non-conformity	Evidence required
1	y	y

1.6 ISO 14001

Verify if there is an ISO 14001 certificate issued by an authorised Certification Body.

Assessment level	Minor Non-conformity	Evidence required
2	n	y

1.7 Quality Management System

Verify if there are ISO 9001, ISO 18001 or EMAS certificates issued by an authorised Certification Body.

Assessment level	Minor Non-conformity	Evidence required
2	n	y

1.8 Insurance (1)

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

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

Assessment level	Minor Non-conformity	Evidence required
1	n	y

1.8 Insurance (2)

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

- i) Employers' liability

Assessment level	Minor Non-conformity	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.

Assessment level	Minor Non-conformity	Evidence required
1	n	y

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 Non-conformity	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 Non-conformity	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 Non-conformity	Evidence required
2	n	n

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 Non-conformity	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 Non-conformity	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 Non-conformity	Evidence required
1	y	y

3.2 Waste category identifiable

It is possible to identify the Waste category of the *Input Plastic Waste*. This is linked to a six-digit code as listed in the annex "List of waste referred to in Article 7 of Directive 2008/98/EC¹".

The origin of waste (pre-consumer or post-consumer), source of waste (household, commercial, industrial) and the country of origin is identifiable for each *Batch of Input Plastic Waste*. This information is documented.

Additionally, optionally it is possible to identify the sector of the waste (Packaging, B&C, WEEE, ELV, Agriculture) and the type of application of *Plastic Input Waste* (e.g., PET trays, bottles, windows, etc.). This information is documented.

¹ OJ L 226, 6.9.2000, p. 3

This information is detailed in the Audit Report.

Assessment level	Minor Non-conformity	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 Non-conformity	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 Non-conformity	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 Non-conformity	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 Non-conformity	Evidence required
1	n	y

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 Non-conformity	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 Non-conformity	Evidence required
1	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 Non-conformity	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 Non-conformity	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
m3/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 Non-conformity	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 Non-conformity	Evidence required
1	y	y

5.4 *Recycling Process volume reconciliation calculation*

The volume reconciliation 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 minor non-conformities of the process shall be explained.

When a volume reconciliation 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 Non-conformity	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 Non-conformity	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	<i>Minor Non-conformity</i>	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	<i>Minor Non-conformity</i>	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	<i>Minor Non-conformity</i>	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	<i>Minor Non-conformity</i>	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 Non-conformity	Evidence required
1	y	y

5.11 Known recycled content

The share of known recycled content will be calculated and reported in the Audit Report, Summary Sheet and Certificate. Known recycled content will be calculated according to the following formula in line with Section 6 of EN 15343:2007:

$$\text{Recycled content in Recycled Output (\%)} = \frac{\text{Input Plastic Waste}}{\text{Total Weight}}$$

Known recycled content will be calculated as follows:

- **Known recycled content per Recycling Process:**

Calculation of the share of pre-consumer and post-consumer known recycled content as an average for the 12 months under review. This information is reported on the EuCertPlast Certificate and Audit Report. This share is an indication and cannot be used at product level claims to report recycled content claims in *Recycled Output(s)*.

- **Known recycled content per Recycled Output(s):**

Calculation of the share of pre-consumer and post-consumer known recycled content per *Recycled Output(s)*. The calculation reflects the origin of material (pre-consumer or post-consumer) and source of material (commercial, household, industrial). Type of waste (PET trays bottles or other) can also be documented when required by the applicant. Sector of the waste (Packaging, B&C, WEEE, ELV, Agriculture) is documented when Annex 2 is filled in. Calculation must reflect exact percentages (minimum percentage of recycled content) per Recycled Output that must be identified with a product name or code.

In Traceability Level 3, this is not required.

Assessment level	Minor Non-conformity	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* is sold to (name and address of the converters, recyclers, dealers and others), address of the customer;
- ii) Weights of *Recycled Output* sold (with copies of weighbridge tickets);
- iii) The type of *Recycled Output* sold (against a specification).

Assessment level	Minor Non-conformity	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	Minor Non-conformity	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	Minor Non-conformity	Evidence required
1	n	y

Section 7: Environmental Protection

7.1 Disposal of solid wastes

Disposal of waste follows the EU waste hierarchy (reuse, recycling, incineration, landfill).

Waste undergoes safe disposal operations which meet the provisions of Article 13 of Directive 2008/98/EC².

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 Non-conformity	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.

² OJ L 312 22.11.2008, p. 3 (Art 13) "Member States shall take the necessary measures to ensure that waste management is carried out without endangering human health, without harming the environment and, in particular: (a) without risk to water, air, soil, plants or animals; (b) without causing a nuisance through noise or odours; and (c) without adversely affecting the countryside or places of special interest."

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

Assessment level	Minor Non-conformity	Evidence required
1	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. No direct disposal of water should be considered.

When the wastewater is being sent off site for treatment, the auditor should check that it 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 Non-conformity	Evidence required

2	n	n
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7.5 Pellet and waste loss procedure (1)

Recycler should have a 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 an established procedure.

Assessment level	Minor Non-conformity	Evidence required
1	y	n

7.6 Pellet & waste loss procedure (2)

Appropriate training, guidelines and resources for the implementation and compliance of the procedure should be provided by the *Recycler*.

Recycler should identify areas or processes where there is a high risk of pellet loss. Procedures should include:

- i) Precautionary measures concerning deballing in the incoming material area;
- ii) Precautionary measures concerning pellets/flakes production;
- iii) Precautionary measures in the storage area; particularly the handling of big bags;
- iv) Measures to recover waste, pellets or flakes which have been accidentally spilled;
- v) Measures to regularly review and clean drainage systems and recycler surroundings.

Additionally, *Recycler* must display posters with information regarding how to maintain the a clean environment. *Recycler* should offer ready-to-use equipment to handle any losses of waste or pellets/flakes.

Assessment level	Minor Non-conformity	Evidence required
2	y	n

7.7 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 *Recycling 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 Non-conformity	Evidence required
1	n	y

Section 8: Subcontracting

9.1 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 Non-conformity	Evidence required
1	n	y

9.2 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 Non-conformity	Evidence required
1	n	y

9.3 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.

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	Minor Non-conformity	Evidence required
2	n	n

9.4 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	Minor Non-conformity	Evidence required
1	n	y

9.5 Evidence of subcontractor's 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	Minor Non-conformity	Evidence required
2	n	y

Section 9: Quality Management

10.1 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 Non-conformity	Evidence required
2	n	n

10.2 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 Non-conformity	Evidence required
1	y	y

10.3 Quality testing during Recycling Process

Samples 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 Non-conformity	Evidence required
2	n	n

10.4 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 Guidelines³”.

Assessment level	Minor Non-conformity	Evidence required
1	n	y

10.5 Permitted range in Recycled Output product specifications

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

Assessment level	Minor Non-conformity	Evidence required
2	n	n

10.6 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 *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	Minor Non-conformity	Evidence required
2	n	n

³ PRE Flakes and Pellets Characterisation Guidelines available at [Downloads | Plastics Recyclers Europe](#)

10.7 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 Non-conformity	Evidence required
2	n	n

10.8 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 Non-conformity	Evidence required
1	n	y

10.9 REACH

Recycler has documentation in place according to REACH Regulation (when applicable). Additionally, Recycler has a procedure to control the presence of substances of concern in a broad sense must be in place (e.g. REACH SVHC list) such as PRE-1000⁴. It must be noted that a full assessment as to whether *Recycler* is compliant with REACH Regulation is out of the scope of this audit.

Assessment level	Minor Non-conformity	Evidence required
1	y	y

Section 10: Annexes to the Audit Report

11.1 Circular Plastics Alliance: Data Generator verified tonnages

Annex detailing the verified tonnages to be reported to a CPA compliant Data Collector to count towards the monitoring of recycling and uptake of recyclates in the EU.

⁴ Please get in touch with EuCertPlast at info@eucertplast.eu

The period of evaluation within a natural year must be specified for verification against the reported data in the Data Collector system.

11.2 Detailed Volume Reconciliation Calculation

The main report will contain a short description and overview of the volume reconciliation. The detailed information will be found in an Annex detailing the calculation. The Recycler can choose whether to disclose the annexes together with the Report to stakeholders or customers.

11.3 Additional requirements for German Waste

Recycler(s) receiving waste from Germany must fill in this Annex.

XIII. Annex 1: Definitions

Organisation

[ISO 22095:2020, 3.4.1]

Entity or group of people and facilities with an arrangement of responsibilities, authorities and relationships and identifiable objectives.

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 Audit 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 covering⁵ waste generated by households. Usually a synonym for 'garbage/rubbish' and 'domestic waste'. Household waste is the fraction of municipal waste 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 facility⁶. Commercial waste is a synonym for trade waste.⁷ 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

⁵ OJ L 310, 25.11.2011, p. 11–16.

⁶ ISO 6707-1:2017 Buildings and civil engineering works.

⁷ *Ibid.*

The recycler applying for *Certification*.

Recycling Process

[art 3(17) OJ L 312 22.11.2008, p. 3]

Any recovery operation by which waste materials are reprocessed into products, materials or substances whether for the original or other purposes. It includes the reprocessing of organic material but does not include energy recovery and the reprocessing into materials that are to be used as fuels or for backfilling operations. A *Recycling Process* produces 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.

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*.

XIV. Annex 2: Circular Plastics Alliance

EuCertPlast is a Certification Scheme compliant with CPA Audit Framework. The audit includes a verification of the recycler's tonnages to be reported to a CPA compliant Data Collector.

The data points verified and recorded according to Traceability level 1 or 2.

1. Recycler's Total Input

Definition of Recycler's Input: The total weight of sorted waste received by Recyclers in Europe during the previous calendar year.

Specify the Recycler's Total Input value and the period assessed below to be declared.

Assessed period	Polymer type	Country of origin	Type of material (Pre-/Post-consumer)	Tonnage
e.g. January 2021 – December 2021				

Detail how the calculation was done to obtain the value and verify it is plausible.

Verify that the tonnage declared does not contain waste that has been declared by another recycler. Check the list of suppliers to cross check that none of them reports to a CPA compliant Data Collector.

2. Input into Recycling Operation

Definition of Input into Recycling Operation: Plastic separated by polymers that does not undergo further processing before entering pelletisation extrusion, or moulding operations. Or, plastic flakes, regrind, micronized powder that do not undergo further processing before their use in a final product. CPA Note 1: This definition is fully set out for municipal waste in Commission Implementing Decision (EU) 2019/2004 and for packaging waste in Commission Implementing Decision (EU) 2019/665. CPA Note 2: this definition does not currently cover all recycling technologies and will be updated.

Specify the recycler's Input into Recycling Operation value and the period assessed below to be declared.

Assessed period	Polymer type	Country of origin	Type of material (Pre-/Post-consumer)	Tonnage

e.g. January 2021 – December 2021				

Detail the internal procedure the recycler has in place to determine the contamination of the input per polymer/supplier. This can be done by following the *PRE Guidance to calculate the Processing Load Rate*.

3. Recycler's Output

Definition of Recycler's Output: The total weight of Recycled Plastic as output from the recycling process, either sold or used within the same legal entity, during the previous calendar year. CPA Note: some recycling processes may involve more than one actor.

Specify the Recycler's Total Output value and the period assessed below to be declared.

Assessed period	Polymer type	Country of origin	Type of material (Pre-/Post-consumer)	Tonnage
e.g. January 2021 – December 2021				

XV. Annex 3: 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]

XVI. Annex 4: Table of Changes

Version	Date	Section	Update description
4.2	December 2021	I	Update on the wording.
4.2	December 2021	V	Update on the wording.
4.2	December 2021	VI	New section.
4.2	December 2021	IX	New section.
4.2	December 2021	X	New section.
4.2	December 2021	XI	New section.
4.2	December 2021	XII, Section 1, 1.6	Update on the wording.
4.2	December 2021	XII, Section 1, 1.7	Update on the wording.
4.2	December 2021	XII, Section 1, 1.8	Modification.
4.2	December 2021	XII, Section 1, 1.9	Change of category type.
4.2	December 2021	XII, Section 3, 3.2	Modification.
4.2	December 2021	XII, Section 3, 3.6	New requirement.
4.2	December 2021	XII, Section 4, 4.3	Change of category type.
4.2	December 2021	XII, Section 7, 7.1	Modification.
4.2	December 2021	XII, Section 7, 7.3	Update on the wording.
4.2	December 2021	XII, Section 7, 7.5, 7.6	Modification and change of category type.
4.2	December 2021	XII, Section 9, 10.4	Modification.
4.2	December 2021	XII, Section 10, 11.1	New section.
4.2	December 2021	XII, Section 10, 11.1	New section.
4.2	December 2021	XIII Annex	Definitions modified.
4.2	December 2021	XIV Annex	New section in compliance with CPA Audit Framework.