# Audit Program UNE-EN 15343 of Control Union WG Spain S.A. for the Certification of the Traceability of Recycled Plastic.

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# 1. INTRODUCION

The certification of the Audit Program UNE 15343 Traceability of Recycled Plastic developed by Control Union to facilitate the plastics industry to demonstrate and ensure the application of the principles of the circular economy.

The growing environmental awareness in our society is fostering a demand from consumers that not only seeks high quality products, but also that these are produced in a responsible manner with the environment and the sustainable use of natural resources.

Given this reality, Control Union has implemented a certification scheme designed to promote and guarantee the transition of the sector to a Circular Economy. This approach focuses especially on completing the production cycle, transforming plastic waste into new resources.

Our certifications fully cover the traceability of recycled material. From the reception of plastic waste, through its processing, to its reintroduction into the market as recycled material. This includes the characterization of this recycled material, its conversion into grain for later use and, finally, the certification of the percentage of this recycled material incorporated in new products.

# 2. OBJECT AND CERTIFICATION SCOPE

The objective of this certification is to **Recognize the use of recycled plastics in products throughout the plastics value chain.** The certification focuses on the traceability of recycled plastics within a process and the verification of recycled content (pre/post-consumer) quotas of plastic products or product families. Certified products and processes may make claims about recycled content in accordance with the "CERTIFICATION MARK USAGE REGULATIONS" document.

The traceability of material at different steps of the process must be verified throughout the entire material custody chain to enable a declaration of recycled content in final products. Therefore, certification can be individually granted to various companies participating in the value chain and overseeing recycled plastics, including, among others, compounders, converters, blow molders, fillers, etc.

The scheme is developed in accordance with standard EN 15343:2007 and the principles of a controlled mixture chain-of-custody model as described in ISO 22095:2020.

# 3. REFERENCE STANDARDS

EN 15342 Recycled plastics. Characterization of recycled polystyrene (PS)

EN 15343 Plastics. Recycled plastics. Traceability and conformity assessment of plastic recycling and recycled content

EN 15344 Recycled plastics. Characterization of recycled polyethylene (PE)

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EN 15345 Recycled plastics. Characterization of recycled polypropylene (PP)

EN 15346 Recycled plastics. Characterization of recycled poly (vinyl chloride) (PVC)

EN 15347 Recycled plastics. Characterization of plastic waste

EN 15348 Recycled plastics. Characterization of recycled poly (ethylene terephthalate) (PET).

EN 15353:2006 Plastics - Recycled Plastics - Guidelines for the development of standards on recycled plastics.

EN ISO 14021 Eco-labels and environmental declarations. Environmental self-declarations (Eco-labelling Type II).

EN 17615 Plastics - Environmental Aspects - Vocabulary

ISO 22095:2020 Chain of custody - General terminology and models

ISO 9001- Quality management systems. Requirements

# 4. TERMS AND DEFINITIONS

**Applicant**
Organization applying for Certification for a Process and Product(s), Component(s) or Family(s) of Products.

**Organization**
[ISO 22095:2020, 3.4.1]
An entity or group of persons and facilities with an arrangement of identifiable responsibilities, authorities and relationships and objectives.

**Site**
[ISO 22095:2020]
Location with geographical boundaries in which defined activities are carried out under the control of an organization.

**Certification**
Certification under this Audit Scheme.

**Supplier**
Company that provides Recycled Input, Product(s), Family(s) of Products or Components.

**Supplier certificate**
Certificate of Traceability of Recycled Plastics under a Certification recognized by Control Union WG Spain SA.

**Product Code**

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Unique transaction code for an incoming batch of material.

**Traceability**
[ISO 22095:2020, 3.6.1]
Ability to track the history, application, location or source(s) of a material or product along the supply chain.

**Batch**
[EN 17615:2020, 3.17]
Quantity of material considered as a single unit and having a unique reference.

**Recycled Input**
Lots of Recycled Plastics certified with a unique transaction code. Certification must be granted by Control Union, or a Control Union recognized scheme based on UNE EN 14353:2007.

**Recycled Input Not Controlled**
Lots of recycled material originating from an uncertified Supplier and/or without traceability.

**Output**
Plastic products that leave the Process for which the Certification is being requested.

**Plastic**
A material consisting of a polymer as defined in point 5 of Article 3 of Regulation (EC) No 1907/2006, to which additives or other substances may have been added and which may function as the main structural component of the final products, except for natural polymers which have not been chemically modified.

**Product**
Material, object, or semi-finished product made entirely or partially from recycled plastics.

**Family of products**
Group of products manufactured using the same processing technology, within the same line, of similar formulation, for similar applications and containing materials of the same waste origin.

**Component**
Specific elements of the output product when it contains different parts of plastic, other materials, or others.

**Recycled Plastic**
[EN/ISO 472:2013, 2,612]
Plastic prepared by processing into a production process from plastic waste materials for the original purpose or other purposes, but excluding energy recovery. In a broad sense, plastic recycling covers any reuse of waste material or discarded items, including pyrolysis

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to recover useful organic chemicals. Recycled plastics may or may not be reformulated by adding loads, plasticizers, stabilizers, pigments, etc.

### Recycled Content
[CEN/TR 15353:2004, adapted]
Percentage by weight of recycled plastics in a product. Percentage by weight of Recycled Entry Certified at the Exit. It must be defined between Pre-consumer Material and Post-consumer Material.

### Post-consumer material
[ISO 14021:2016]
A descriptive term covering material generated by end-users of products, which has served its intended purpose or can no longer be used (including material returned within the distribution chain). Note that the term "post-use" is sometimes used as a synonym.

### Pre-consumption
[ISO 14021:2016]
Descriptive term that covers material diverted from the waste stream during a manufacturing process. Note that this term excludes reused material, such as re-working, re-grinding or scrap that has been generated in a given process and is capable of being reclaimed within that same process. The term "post-industrial material" is sometimes used as a synonym.

### Waste, scrap, shredded material
[EN/ISO 472:2013, 2.1707]
Recovered plastic material crushed and/or granulated in the form of free-flowing material. The term is often used to describe plastic material in the form of scrap generated in a plastics processing operation and reused internally. The term is also used to describe fine plastic powder used as filler in plastics recover.

### Residue
[EN/ISO 472:2013, 2.1710]
Any material or object that the possessor discards, intends to dispose of, or is obliged to dispose of.
### YI
### Process
[ISO 22095:2020, 3.2.10]
A set of interrelated or interacting activities that use inputs to deliver an expected outcome.

### Outsourced processing
Recycled Ticket delivered to the Site which is produced by a third party company also certified under the Certification where the Applicant retains ownership of the third Organization Result.

# 5. CERTIFICATION TYPES

## 5.1 INITIAL CERTIFICATION

The Initial Certification must be conducted at a Site that must provide production records from the preceding 12 months of production. This Certification is valid for 1 year.

## 5.2 RECERTIFICATION

Recertification must be conducted at a Site that must provide production records from the preceding 12 months of production. Recertification will be granted to the Site when the Certification from the previous year is available. This Certification is valid for 1 year.

## 5.3 MULTI-SITE CERTIFICATION

The Multi-Site Certification should be issued when a production process is carried out in two or more separate locations under the same Site ownership. The site must designate one location as the main address and contact for Certification purposes. Both locations must be visited during the audit, listed in the report, and traceability between the two locations verified. This Certification is valid for 1 year.

# 6. ELIGIBILITY FOR CERTIFICATION

Any Plastic Product containing Recycled Plastics can apply for Certification. This includes compounds, semi-finished or finished products, or components that are ready for commercialization or are still under the control of the value chain and are sold from one company to another.

Audited processes include, among others, compounding, conversion, storage, marketing, or other activities within the plastics value chain.

# 7. OBJECT OF CONFORMITY

The certification allows all stakeholders in the plastics value chain to demonstrate transparent use of recycled plastics within products. Conformity assessment focuses on the traceability of recycled plastics within a process and verification of the declaration of a certain percentage of recycled plastic content in products. Certification is available to all stakeholders in the value chain involved in the use of recycled plastics and enables demonstration of compliance under Control Union's Recycled Plastic Traceability audit scheme in line with the requirements of EN 15343:2007.

# 8. CERTIFICATION PROGRAM MANAGEMENT

Control Union WG Spain S.A. will be responsible for the tasks associated with planning, conducting, and managing the certification process for traceability in the plastic recycling

process, covering from the reception of the certification request to the completion of the process, including the issuance of the final evaluation report and certificate.

# 9. AUDIT OF THE TRACEABILITY PROCESS FOR RECYCLED PLASTIC

## 9.1 APPLICATION

When an organization contacts Control Union WG Spain SA to request certification, a request form is sent to them to complete with the necessary information. With this information, the commercial proposal will be prepared. Once the client accepts the offer, the audit date will be coordinated, then the audit plan will be sent, and through it, information, and documentation that the client must send before the audit will be requested. The audit plan will also inform the client of the visit date and the assigned audit team.

## 9.2 DOCUMENTATION REVIEW

Control Union WG Spain SA will review and analyse the documentation provided by the company.

The following will be requested:

- Supplier certificates (percentage of post-consumer / total percentage of recycled plastic).
- Product codes of the materials for which certification is required.
- Calculations of recycled material content incorporated into the products. The calculation methodology will be validated during the audit and could be used for possible scope extensions of the certificate.
- Technical data of the products within the scope of certification (product specifications, list of materials, formulation).
- Metrology of relevant equipment, flow meters, and test equipment records.
- Production records for the last 12 months.
- Quality control records for the last 12 months.
- Description of the stock management system. Annual stock control records.
- List of subcontractors used (if applicable).
- Records of subcontracted production (if applicable).

If necessary, part of the documentation may be reviewed during the on-site visit. Additional information may also be requested.

## 9.3 AUDIT

After the completion of the documentary review, the Control Union audit team will conduct a visit to the production facility and verify that the organization has implemented the necessary processes and stages to ensure that the recycled material incorporated comes from pre-consumer and post-consumer sources. The processes of control over the recycled material and the certification of the recycled material content in the final product will be verified. For this purpose, the following will be checked:

- The organization has controls over the recycled material incorporated into the process, recording the Origin, Type of recycled material (post-consumer or pre-consumer), Source (Supplier certificates), History of the recycled product (e.g., contact with known hazardous substances), Tests conducted by the recycler, UNE EN 15347 Characterization of recycled plastics from plastic waste, or as appropriate for the final application.
- Purchase specifications (delivery notes, invoices, origin, source, etc.).
- Entry and reception records for the last 12 months (delivery notes, invoices, names, weights, and dates).
- Stock management.
- Production records for the last 12 months.
- Traceability of recycled material from origin to final product to confirm the percentage of recycled material. Exercises will be conducted.
- Formulas of manufactured products.
- Process control to ensure that during production, recycled materials are dosed in the indicated proportion.
- Calibration of the equipment used.
- Output records for the last 12 months.
- Mass balance.
- Calibration certificates of measuring equipment.
- Technical data sheets of products with recycled material.
- Records of subcontracted processes (if applicable).

Control Union recognizes other certificates issued by independent certification entities that have the corresponding accreditation for the certification of recycled plastic traceability.

## 9.4 REPORT

If non-conformities are detected, the organization must submit a corrective action plan and evidence of correction and implementation within 40 days after the audit to the audit team for evaluation and approval to address the non-conformities.

Control Union must inform the client of all non-conformities and observations.

The client must indicate if they are interested in continuing the certification process. If so, Control Union will provide information on the additional evaluation tasks necessary to verify that the non-conformities have been corrected.

## 9.6 CERTIFICATE ISSUANCE

Once all the necessary information is gathered, such as the audit report and, if applicable, a corrective action plan, a technical review will be conducted, and the decision to grant the certification will be made.

The issued certificate will be valid for one year. The annex will indicate the type of recycled material that has been audited along with its respective pre-consumer or post-consumer recycled material percentage.

Once the organization has its certificate, it may reference it by using the certification logo and mark, with the certify percentage.



35 %
Recycled Plastic
Control Union Standard
*4% origen pre-consumo

28 %
Recycled Plastic
Control Union Standard

If the decision is made not to grant the certification, the reasons will be explained in detail.

## 9.7 USE OF LOGO EXAMPLES

The Organization that has received the Certification may use the mark as shown below

For more details, please consult the Control Union Brand Usage Regulations.

# 10. CHANGES THAT AFFECT THE CERETIFIC ATION

Changes in the product, process, or quality management system that would affect conformity with the requirements of the Audit Scheme must be communicated to Control Union for information study. It will be decided whether an on-site audit is necessary before modifying the Certificate. If the visit is necessary, its scope will be limited to the certification of the requirements established in point 9.3. The scope of the visit will be limited to the certification of the following requirements:

- Quality management system
- Control processes over recycled material
- Certification of recycled material content in the final product

When the applicant wishes to extend the scope of conformity assessment, add or remove products, or change the percentage of recycled content in a certified product, this must be communicated to Control Union to modify the Certificate. The modifications will be indicated on the certificate without modifying the validity period.

Extending Certification to new products or changes in the percentage of recycled content will require Control Union to verify new recipes, product data sheets, and production records for the corresponding production batches.
After the technical review of the report with the results, Control Union will decide on the necessary modifications to the certificate, which will be in accordance with the current situation.

# 11. ECONOMIC MATTERS

CU WG Spain SA will determine and communicate to the organizations that request the certification the economic conditions corresponding to the activities related to the concession, monitoring and renewal of the Certificate in the offer for the service.

# 12. CHANGES CONTROL

| Date | Version | Changes summary |
|------|---------|-----------------|
| 15.02.2023 | 1.0 | Creación de documento |
| 02.02.2024 | 1.1 | The introduction is added |
| 02.02.2024 | 1.1 | The Provisional Certification option is removed from the Certification Types point. |
| 02.02.2024 | 1.1 | The text in point 9.3 is improved to refer to the need for accredited certification as the only option. |
| 02.02.2024 | 1.1 | Gradual acceptance of the Supplier Certificate was eliminated |
| 02.02.2024 | 1.1 | Text is improved and points 1 to 12 are indicated |
| 26.04.2024 | 1.2 | 9.1 It is clarified in the text that the necessary data will be requested for each product and production site that you want to request certification. It is also indicated that the audit plan reports the date of visit and the audit team assigned. |
| 26.04.2024 | 1.2 | 9.2 The wording on the Recycled Material Content Calculations is improved. |

| 26.04.2024 | 1.2 | 9.3 The wording is improved by indicating that the visit will be carried out after the document review and the on-site audits are described in greater detail. |
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| 26.04.2024 | 1.2 | 9.6 The text is completed with details indicating in the annex to the certificate the respective pre-consumption or post-consumption percentage of certified recycled material used. |
| 26.04.2024 | 1.2 | 10 It is clarified that if the visit is necessary, the scope of the visit shall be limited to the certification of the requirements set out in point 9.3. |
| 23.05.2024 | 1.3 | 9.2 The list of documentation to be requested is explained in more detail. |
| 23.05.2024 | 1.3 | 9.3 The requirements are described in more detail. |