



Specific Rules of AENOR Certificate of Conformity for the program

“OPERATION CLEAN SWEEP®”

OCS

Note: This document is a translation of the Spanish document RP E21.01. Spanish version always prevails over this translation.

RP E21.01

Revision 0

Date 2021-03-12

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0 Introduction

The certification scheme developed in this document is part of a set of certifications developed at AENOR to facilitate the plastics industry to demonstrate/guarantee the application of the principles of the circular economy and achieve the objectives of the European Plastics Strategy.

The environmental awareness of society means that consumer demand is driving not only quality responsible production but respecting the environment and available natural resources.

For this reason, AENOR, in collaboration with the Spanish Association of Plastics Industrialists (ANAIP) has developed several certification schemes focused on advancing and ensuring the transition of the sector towards a Circular Economy and closing the loop on transforming plastic waste into new resources.

These "circular" certifications currently range from the reception of plastic waste for treatment and re-market in the form of recycled material, the characterization of that recycled material in the form of pellets for use and, finally, the declaration of the percentage of that post-consumer recycled material in a new product.

But they also include the prevention of plastic discharge into the environment throughout the value chain of the plastics sector, through the certification of the Operation Clean Sweep OCS scheme, defined to prevent involuntary emission of plastics into the environment, in the form of pellets, dust or microplastics.

Related certifications are as follows:

- Traceability of waste in the plastic recycling process, in accordance with UNE-EN 15343.
- Characterization of recycled material, in accordance with UNE 53978.
- Percentage of recycled material used in a product, in accordance with UNE-EN 15343.

1 Purpose and scope

The purpose of this Regulation is to establish and describe the certification process according to the scheme "OPERATION CLEAN SWEEP®", hereinafter "OCS", an international initiative of the plastics industry to reduce possible leakage of microplastics, in the form of pellets, flakes or powdered resin, into the environment.

The OCS scheme has been adapted to the methods of the plastics value chain for the use of good practices focused on reducing the losses of raw materials during the processes of production, transport, storage and transformation into final products.

This program is owned by the Plastics Industry Association (PIA) and the base material of PIA and the American Chemistry Council.

The owner of the rights to this scheme in Spain is ANAIP, the Spanish Association of Plastics Industrialists, with whom AENOR develops this certification.

2 Field of application

This Regulation applies to any organization involved in the production, transport, storage and processing of plastic raw materials which has voluntarily adhered to the OCS scheme as established by the rules of the program.

3 Reference documents

- General Regulations on Certificates of Conformity (2020-12-15).
- Operation Clean Sweep® - Program Manual, Plastics Industry Association & American Chemistry Council.
- Options for Reducing Emissions of Pre-production Plastics, Eunomia Research & Consulting Ltd.

4 Management of the certification scheme

The management of this certification scheme has been entrusted by ANAIP to AENOR.

AENOR assumes the competences related to the planning, implementation and management of the certification process in accordance with this Regulation, from the reception of new applications to the completion of the process, including, where

appropriate, the issuance of the final evaluation report and the corresponding certificate for each center included in the application, as well as the subsequent maintenance of the certification.

5 Granting of the certificate

5.1 Application

When an organisation expresses its intention to obtain certification under the OCS scheme using this Regulation, it must complete the application form provided by AENOR, along with Annexes A and B of this document and evidence of the organisation's adherence to the OCS initiative through the rights holder.

A different application must be made for each production center.

5.2 Study of the documentation

AENOR will study the information provided by the organization (Annex A of this document) together with all the documentary evidence that supports the information provided.

AENOR may request additional information from the organization if it deems it necessary for the correct definition of the request.

5.3 Initial visit

Once all documents have been verified, AENOR will contact the organization, informing it of the audit plan, dates to visit the production center and the audit team designated for the activity.

AENOR will verify, based on the formats established for this purpose by the OCS program, that the organization has correctly implemented the best available techniques to achieve the OCS commitment. During this verification, AENOR will review the adequacy of the organization to the requirements demanded by the OCS in terms of documentation and the application of on site measures:

Documentary evaluation

- Identification of risks: Any area/department that may be a risk for the fulfillment of the final OCS commitment identified during internal audits., AENOR will verify the internal audit report carried out by the organization, ensuring that all possible points of pellet loss have been identified in compliance with legal discharge requirements.
- Risk analysis: on site verification that the identified risks are representative and appropriate considering the activity of the organization. In this case, the methodology used to identify the risks will be reviewed, assessing whether it allows quantifying the risk (high, medium or low) and the frequency of pellet loss.
- Review of the action plan: It will be verified that the action plan defined by the organization is in accordance with the identified risks, effectively reducing and repairing them if they occur.
- Verification of the existence and execution of a detailed training plan that covers all areas of the organization identified in the risk analysis. Evidence from training records will be evaluated.
- Review of internal audits, their scope and effectiveness to meet the requirements of the OCS. It will be verified that the organization has the necessary tools to monitor the effectiveness of the measures involved in the reduction of pellet discharge.
- Determination of indicators that allow a quantification of the discharges in the different areas of the organization and its follow-up.
- Verification of the existence and execution of a communication plan to the rest of the members of the plastic value chain (raw material producers, transporters, logistics companies, processors, recyclers) of the meaning of adherence to the OCS scheme and the commitments acquired. The evidence of diffusion, both internal and external, of adherence to the OCS scheme will be evaluated.

Evaluation of the implementation of onsite measures

Additionally, AENOR will verify in the company's facilities the correct implementation of the measures described in the action plan, based on the procedures and decisions taken. Part of that verification will be to verify the implementation of all risk mitigation measures identified in the action plan, for example:

- The implementation of the necessary containment systems in the areas identified by the company as critical points, such as inclined areas, highlights, stops, containment trays, ...
- The availability in a fast and accessible way of the necessary cleaning equipment in case of a spill of pellets, (brooms, brushes, collectors, vacuum cleaners, sweepers, etc.)
- The absence of spilled pellets in the facilities that cannot be due to the usual daily activity and whose collection is foreseen within the guidelines defined by the company within a certain period.
- The existence of grids and retention meshes throughout the sewerage network of the plant defined by the company as susceptible to receiving pellet discharges.

Once the audit visit is over, AENOR will prepare a report where the non-conformities, observations, strengths and improvement options identified during will be recorded, and which will be signed by both AENOR and the representative of the organization.

In the event that deviations are detected, the organization will have a period of 30 days to correct them, and send a corrective action plan to AENOR, which will proceed to its study and evaluation.

5.4 Evaluation process and granting of the certificate

After studying the content of the audit report and, where appropriate, the plan of corrective actions provided, AENOR will review the application and decide on the granting of the certificate.

In case of concession, AENOR will send the organization a certificate with a validity of 3 years. That certificate shall refer to the code of adhesion to the scheme and the verification code assigned by the holder of the OCS rights (ANAIP) and the expiry date of the certificate (3 years).

Once the certificate has been granted, the organization will refer to the AENOR certificate by using the following logo:



In case of refusal, the reasons will be communicated to the organization, with a deadline for a new application.

6 Validity, maintenance and renewal of the certificate

6.1 Follow-up audits

The validity of this certificate will be 3 years and an annual follow-up audit will be carried out during the first two years of validity of the certificate and a renewal audit before the expiration of the certificate in the third year.

The follow-up audits will be carried out in order to verify that the conditions that granted the certificate are maintained and to ensure continuous improvement, through the correct implementation of the action plan proposed by the organization.

During these audits AENOR will check the sections mentioned in section 5.3 of this document, and issue a new audit report that will be signed by both AENOR and the representative of the organization.

In the event of non-conformities being detected, the organization will have a period of 30 days to correct them, and send a corrective action plan to AENOR, which will proceed to its study and evaluation.

6.2 Renewal audit

AENOR will carry out a renewal audit every three years in order to verify whether the conditions that granted the certificate are maintained.

7 Modifications in the scope of the certificate

The organization must keep AENOR duly informed of any changes in production processes that may affect compliance with the requirements of this certification.

AENOR will study the information provided, deciding whether a visit to the production site is necessary prior to the modification of the certificate, and after studying the file, AENOR will decide on the modification of the certificate, proceeding to adapt it to the new situation.

Annex A

Application for the concession of the AENOR conformity certificate for the "OPERATION CLEAN SWEEP®" OCS program

Mr./s., with identification n° or passport n° in name and representation of the Organization with the fiscal n° or VAT N° and address in

IT SETS OUT

- 1 That it knows, and it is committed to accept the General Rules on the Certificates of Conformity, the Specific Rules of the AENOR Conformity Certificate for the "OPERATION CLEAN SWEEP®" OCS program, as well as the commitments that in them are indicated.
- 2 That it is committed to pay the corresponding expenses accordingly with what it is established in the Certification Specific Rules Applicable.
- 3 That it is committed to accept, without any reservation AENOR agreements relative to the transaction of this request and the verifications and later controls that are consequently made.

By all it:

IT ASKS FOR

To be granted the AENOR Conformity for the program "OPERATION CLEAN SWEEP®" OCS, for the center located in

..... on of20.

Signature and Stamp

Annex B

General Information Questionnaires

Organization that requests the certificate

- 1.1 Business name:
- 1.2 Address:
- 1.3 Phone number:
- 1.4 Organization fiscal number (VAT):
- 1.5 Contact person:
- 1.6 Contact person e-mail:
- 1.7 Contact person phone number:
- 1.8 Contact person for invoicing:
- 1.9 Purchase order number required: No Yes

Centre company holder of the OCS certificate (one file per site)

- 2.1 Business name of the centre company:
- 2.2 Address of the centre:
- 2.3 Phone number:
- 2.4 VAT number:
- 2.5 Contact person in the centre:
- 2.6 Contact person e-mail:
- 2.7 Address of the centre (Street, city, country):

2.8 Does the company have an ISO 9001 and/or ISO 14001 certification? No Yes

2.9 If yes, indicate the certifying authority and the expiry date of the valid certificate:

2.10 Total number of employees of the centre:

2.11 Does the centre for which you apply for certification have any other certificate of conformity with standards?

The veracity of the data contained in this questionnaire is under the responsibility of the client

.....on..... of of 20....

SIGNED:

(Name, position, signature and stamp)