

Lead Auditor: **Ambra Morelli**

Audit Team: **///**

Audit Report Date: **22/12/2017**

SCOPE (Statement that specifies the focus, extent and boundary of the audit):

Audit Type:

- Initial Assessment
 Continuous Assessment
 Follow-Up
 Extraordinary

Audit Type:

- On-Site
 Desktop

Waste Type:

- WEEE
 Batteries
 Packaging

Type of Operations:

- Transport (2A)
 Storage/Sorting (2B)
 Recycling and/or Recovery (2C)
 Preparation for Re-Use (2D)
 Management, (2E)
 Downstream Vendors (3C, 4C, ...), Specify:

OBJECTIVES:

- Evaluate the compliance with legal and contractual obligations
 Review the fulfilment with ERP requirements
 Confirm the adequate implementation and improvement of the operations/activities
 Evaluate the performance of the operation processes
 Assess the control of the Downstream Vendors and traceability until final destination
 Review and Conclude the CARs closure and effectiveness

CRITERIA (Set of policies, standards and other requirements that support the audit process. Each audit can be conducted against to more than one criteria):

- ERP Requirements
 TS.EW.001 - "WEEE Technical and Management Requirements"
 TS.EW.003 - "WBA Technical and Management Requirements"
 Code of Conduct, Specify: _____
 Waste Legislation/Regulation
 Others, Specify: _____

METHODOLOGY:

- Interviews
 Documentation Review
 Simulations/Calculations
 Direct Observation
 Records Analysis

AUDIT PLAN/OBJECTIVES:

Did the audit proceed according to the audit plan previously sent?

- Yes
 No. If No, Specify what was not covered by the audit: _____

Were the audit objectives accomplished as expected?

- Yes
 No. If No, Specify what was not accomplished: _____

EVOLUTION (Please report the significant changes noticed in the organization since the last audit (e.g. size; processes for waste treatment; number of workers; responsibilities and authority; infrastructures; management system; ...))

Activities performed by Stena Technoworld Srl can be summarized as follows:

- transport and treatment processes finalized to the indirect recovery of hazardous and non-hazardous waste; preliminary storage of hazardous and non-hazardous waste;
- intermediation of hazardous and non-hazardous waste without possession
- proprietary transport service for some particular waste categories
- intervention services for de-pollution, environmental remediation, or asbestos containing materials removal.

Technology development:

- new line for metal separation (optical separation)

SDA-FPD other fractions , aluminium, power supply boards, lamps , plastic terminals

PREVIOUS AUDIT RESULTS:

The results of the previous audit of this auditee have been reviewed, in particular to assure appropriate correction and corrective action has been effectively implemented to address any corrective action request identified. This review has concluded that:

- Any corrective action request identified during the previous audit has been corrected by the Auditee and the corrective action continues to be effective.
- The Auditee has not adequately addressed all corrective action requests identified during the previous audit and the specific issue(s) have been redefined in the Corrective Action Request Section of this report.

FINDINGS SUMMARY:

Number of Critical CARs	///
Number of Major CARs	///
Number of Minor CARs	3
Number of Recommendations for Improvement	3

CORRECTIVE ACTION REQUEST - CAR (Add as many tables as needed):

CAR N.º 1 / 2	<input type="checkbox"/> Critical <input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor		
Description	Storage of FPD have to be improved		
CAR N.º 2 / 3	<input type="checkbox"/> Critical <input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor		
Description	It's necessary to verify the apposition of correct identification on waste container especially after emptying or handling activity.		
CAR N.º 3 / 3	<input type="checkbox"/> Critical <input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor		
Description	Even if information and data are available, a annual reports on FPD/SDA have been not send to ERP.		

RECOMMENDATIONS FOR IMPROVEMENT:

- 1- Housekipping: C&F areas and storage maybe improved (considering the available/authorized area)
- 2- It is recommended to update in the training register registration on training activity done in 2017 for all employee involved
- 3- It is recommended to follow the procedure agreed with competent body for disposal of the soil (related to the on going reclamation)

AUDIT CONCLUSIONS:

Categorization	Description	How to Proceed	Colour Code
<input type="checkbox"/> Apt Without Reserves	When no finding were raised or only were reported RFI.	Recommendations for Improvement don't need to be followed up by the auditee but can be used by to improve overall efficiency.	
<input checked="" type="checkbox"/> Apt With Reserves <i>(With minor CARs)</i>	When the audit findings are all categorized as minor CARs. Operator acceptance or maintenance in ERP supply chain is subjected to the approval from the lead auditor of the Actions Proposed by the operator.	The auditee has to present within 1 month , after the audit date, an Implementation Plan (FORM.EW.009) for the CARs. The actions have to be agreed upon by the lead auditor. The closure and effectiveness of the corrective actions taken are review during the next audit.	
<input type="checkbox"/> Apt With Restrictions <i>(With Major CARs)</i>	When the conclusion of the audit as at least one major non-conformity. Operator acceptance or maintenance in ERP supply chain is subjected to the resolution and closure of the Major CARs.	The auditee needs to present within 2 week days an Implementation Plan (FORM.EW.009) for the CARs. Resolution of the Major CARs needs to be close within 2 weeks . After closure of the Major CARs the auditee has to send the lead auditor their objective evidences. It may be necessary to conduct a follow-up audit. Extension of the closure period for the Major CAR's has to be requested to the lead auditor and approved by ERP.	
<input type="checkbox"/> Fail <i>(With one or more Critical CAR or >15 Major CAR's)</i>	Not acceptable according with ERP minimum requirements.	The auditee has to solve all the CARs detected and has to be subject to another audit to be accepted as an ERP operator. The purchase will suspend meanwhile.	

Note: The Implementation Plan can be done by using the FORM EW. 009 (Supplier Audit Findings - Implementation Plan & Progress).

FINAL REMARKS (Describe auditor overall impression and please report the significant changes noticed in the organization since the last audit (e.g. size; processes for waste treatment; number of workers; responsibilities and authority; infrastructures; management system, ...)).

During the audit was not possible to see the manual dismantling of FPD and SDA.

Compliance with the ERP's requirements does not indemnify you from legal obligations or against legal actions.

I confirm that I took acknowledge and fully understand the content of the present summary audit report.

Signed By: _____

