

Treatment operator: **AURUBIS AG**

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**WEEELABEX**  
CONFORMITY & VERIFICATION

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## WEEELABEX

### Audit Summary Report (Certification scheme - Operators EU Ro B1801)

Name of  
Treatment  
Operator

**AURUBIS AG**

Location

*Kupferstrasse 23, 44523 Lünen*

Type of audit

*General Audit*

Date of Audit

*25 November 2020*

Date of report

*22 April 2021*

0

Report before corrective actions (Part 1)

x

Definitive document after corrective actions (Part 1 & 2 - Conclusions)



With the financial support of the LIFE  
programme of the European Community

**1,1 Audit Details**

<b>The conformity verification process has been initiated by: (add X or name of member system)</b>	<b>Treatment Operator</b>	<b>x</b>	<b>Member System</b>	<b>0</b>
<b>Treatment operator</b>	<i>AURUBIS AG</i>			
<b>Location</b>	<i>Kupferstrasse 23, 44523 Lünen</i>			
<b>Type of audit</b>	<i>General Audit</i>			
<b>Date of audit</b>	<i>25 November 2020</i>			
<b>Language of Audit</b>	<i>German</i>			

<b>Participants in Audit</b>	<b>Treatment operator representatives</b>	<i>Andreas Nolte ESR Manager</i>		
		<i>Thorsten Pockrandt Director RRM</i>		
		<i>0</i>		
		<i>0</i>		
	<b>Contact details of the audit contact person</b>	<i>Andreas Nolte ESR Manager</i>		<i>+492306108244</i>
		<i>0</i>		
	<b>Audit team</b>	<i>Ullrich Didszun Lead Auditor</i>		
		<i>Christoph Becker Auditor</i>		
<i>0</i>				
<b>Contact details of the Lead Auditor</b>	<i>ullrich.didszun@udz-consult.de</i>		<i>004915115630027</i>	

<b>Audit history</b>	<b>First audit of facility</b>	<i>13./14.11.2018</i>	<i>18-0078</i>	<i>General Audit</i>
	<b>Last audit of facility</b>	<i>20.11.20219</i>	<i>18-0078</i>	<i>Surveillance Audit</i>

## Brief description of the facility:

*The operator "Aurubis Recycling Zentrum" is a 100 percent subsidiary of the AURUBIS AG that is one of the biggest Producer of copper products in the world. The Recycling Zentrum is located in Lünen, the Headquarter of the Company is located in Hamburg. The Objective of this Audit conclude 2 Facilities: MV - ZS (Material Preparation - Dismantling and Sorting) and the SAmpling, Smelting and REfining as a second unit. The Operator proceed around 120.000 tons of different WEEE Appliances and Components per year as Pretreated or intermediate Material for the Smelting and refining process. Around 30 employess are involved in this process.*

**1,2 Activities conducted at the site and WEEE Treatment Process included in audit**

<b>WEEE Treatment Process Stream</b> (as per the WEEELABEX document B02 Eligibility of Treatment Operators)	<b>Treatment Operator Type</b> (Type 1 or 2 or 3 or combined)	<b>Exclusions / Details</b> (e.g. particular categories or equipment that are not in scope of the audit; or detailed description of the audited stream)	<b>Included in Audit</b> (Yes/No)
Large appliances	NA	0	No
Temperature exchange equipment	NA	0	No
Mixed equipment	NA	0	No
CRT display appliances	NA	0	No
Flat panel display equipment	NA	0	No
Gas discharge lamps	NA	0	No
Photovoltaic panels	NA	0	No
Other	Type 3 inclusive Type 4	<i>Advanced Mechanical Treatment of selected depolluted WEEE Fractions (IT, CE ) with a follow up end processing of pure fractions (smelting and refining)</i>	Yes

## Further details

*In compliance with the general and company-specific COVID-19 rules, the administrative part of the audit takes place as a remote session. The physical inspection of the operation and the obligatory batch test will take place on a different date (promptly). The focus of the audits is extended to type 4 of the handling processes (final processing).*

**2 Batch and performance test results**

<b>WEEE Treatment Process Stream</b> (as per the WEEELABEX document B02 Eligibility of Treatment Operators)	<b>Date of the batch test(s)</b>	<b>Is the batch test validated by a WEEELABEX Auditor?</b> (Yes/No/NA)
Large appliances		NA
Temperature exchange equipment		NA
Mixed equipment		NA
CRT display appliances		NA
Flat panel display equipment		NA
Gas discharge lamps		NA
Photovoltaic panels		NA
Other	03 March 2021	Yes
	<b>Date of the CFA performance test</b>	<b>Is the CFA performance test performed by a WEEELABEX CFA Lead Auditor?</b> (Yes/No/NA)
Temperature exchange equipment		NA

**3 Results**

**3,1 Priority 1 questions**

Number of Priority 1 Non Conformances	General	Large appliances	Temperature exchange equipment	Mixed equipment	CRT display appliances	Flat panel display equipment	Gas discharge lamps	Photovoltaic panels	Other
<b>Fail</b>	<b>0</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>0</b>
<b>Pass</b>	<b>8</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>NA</b>	<b>20</b>

**3.1.1 Priority 1 Non Conformances and Improvement opportunities**

# Question	Clause of relevant standard(s) *	Non conformance (NC) / Improvement opportunity (IO)	Description of Non Conformance / Improvement Opportunity (including description of the implemented corrective action in case of NC)	Deadline to meet the requirement and provide evidence**	Corrective action required (Yes/No)	Non conformance solved? (Yes/No/NA)
			<i>no NCs are considered</i>			

\*Relevant standards are the following:  
 - EN 50625-1:2014 (referred as "EN")  
 - WEEELABEX normative document on Treatment V10.0 (referred as "WX")  
 \*\*of date of reception

The Operator is required to address the above non-conformances and then provide evidence of the implemented corrective action(s) to the Lead Auditor that it has been concluded within the given deadlines. Failure to respond to Priority 1 non-conformances noted within the given timeframe may result in a negative conformity verification.

**3,2 Priority 2 Questions**

Average score in priority 2 questions	Large appliances	Temperature exchange equipment	Mixed equipment	CRT display appliances	Flat panel display equipment	Gas discharge lamps	Photovoltaic panels	Other
SCORE	NA	NA	NA	NA	NA	NA	NA	98%

**3.2.1 Priority 2 Non Conformances and Improvement opportunities**

# Question	Clause of relevant standard(s) *	Non conformance (NC) / Improvement opportunity (IO)	Description of Non Conformance / Improvement Opportunity (including description of the implemented corrective action in case of NC)	Non conformance solved? (Yes/No/NA)
			<i>one partly NC was considered according to Q33 (Identify and label each listed component), but it is not core of the process</i>	Yes

\*Relevant standards are the following:

- EN 50625-1:2014 (referred as "EN")
- WEEELABEX normative document on Treatment V10.0 (referred as "WX")

**Failure to obtain more than 75% of the score on Priority 2 questions (see 3.2) within THREE MONTHS AFTER DATE OF RECEPTION shall result in a negative conformity verification. The Operator is required to address as many as the above non-conformances and then provide evidence of the corrective action to the Lead Auditor that it has been concluded within the given deadlines.**


**3,3 Audit Results**

	Large appliances	Temperature exchange equipment	Mixed equipment	CRT display appliances	Flat panel display equipment	Gas discharge lamps	Photovoltaic panels	Other
<b>Fail</b>								
<b>Pass</b>								<b>pass</b>

**4 Audit Communication**

The Operator has 2 days on reception of this document to communicate the Lead Auditor spelling mistakes, permit numbers or similar errors detected on review.

<b>Audit communications</b>	The Treatment Operator has submitted comments to the Lead Auditor regarding the audit report.	Yes
	The comments expressed by the Treatment Operator have been taken into consideration in this summary document, or have been noted.	Yes

<b>Name of WEEELABEX Lead Auditor</b>	Ullrich Didszun Lead Auditor
<b>Signature:</b>	
<b>Date of Summary Report:</b>	18 May 2021
<b>Contact details of the Lead Auditor</b>	ullrich.didszun@udz-consult.de

**Notes:**

The audit has been carried out on behalf of the client (party mandating and financing the audit) for the purposes of assisting them in their analysis of the services provided to them by the Operator (the subject of this Audit). No party shall pass the Report to any other third party without the express written permission of the WEEELABEX Organisation and the Lead Auditor named in this document. No duty, responsibility or liability to any party, other than to the WEEELABEX Organisation is accepted. A copy of this summary report will be provided to the Operator.

The audit was carried out in accordance to the "WEEELABEX requirements" (as defined in the B04 WEEELABEX Guidance Document) to audit the Operator's services, licenses and permits and the plant and equipment at the facility. The scope of our work in preparing this Report was limited solely to those procedures and to the audited treatment streams. Accordingly, the Lead Auditor does not express any opinion or overall conclusion that may affect any services contract. The client is responsible for determining whether the scope of the work specified is sufficient for its' purposes and the Lead Auditor makes no representation regarding the sufficiency of these procedures for their purposes. The procedures performed were not designed to and are not likely to reveal fraud. The Report should not be taken to supplant any other enquiries and procedures that may be necessary to satisfy the requirements of the Report.

This assessment was conducted on a limited sampling and therefore non conformities may exist that have not been identified. Other areas of concern may become apparent when any necessary research is concluded (e.g. for specific information / operations assessed during the audit) or when the missing documentation (if any) is received. The results of the audit are based on sampling and the observations done by the audit team during the audit, therefore the audit report may not identify the totality of the (potential) non conformances incurred by the auditee. That the conformity verification performed by the auditor does not exempt the auditee from the responsibility to observe and know the legislation applicable to all its activities.

**The Operator shall not disclose or reproduce this document in any format without the written confirmation of the Lead Auditor or the WEEELABEX Organisation.**

## WEELABEX

### CONCLUSIONS OF THE CONFORMITY VERIFICATION PROCESS

(Certification scheme - Operators EUro B1801):

### RECOMMENDATIONS FOR CERTIFICATION (OR WITHDRAWAL OF THE CERTIFICATION)

This document is the conclusion of the audit process and is completed after corrective actions (if any) have been closed.

#### 5 Audit Details

Treatment operator	<b>AURUBIS AG</b>
Location	<i>Kupferstrasse 23, 44523 Lünen</i>
Date of audit	<i>25 November 2020</i>
Name of WEELABEX Lead Auditor	<i>Ullrich Didszun Lead Auditor</i>

#### 6 Audit results

Treatment Process Stream	Large appliances	Temperature exchange equipment	Mixed equipment	CRT display appliances	Flat panel display equipment	Gas discharge lamps	Photovoltaic panels	Other
<b>Fail</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Pass</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>pass</b>

#### 7 Conclusions after corrective action(s)

Non conformances are noted on the summary report (section 3.1). At the time of this report, the conclusions for each treatment process stream (the subject of the audit) are:

Treatment Process Stream	Large appliances	Temperature exchange equipment	Mixed equipment	CRT display appliances	Flat panel display equipment	Gas discharge lamps	Photovoltaic panels	Other
Number of Priority 1 Non conformances	NA	NA	NA	NA	NA	NA	NA	<b>0</b>
Number of Priority 2 Non conformances	NA	NA	NA	NA	NA	NA	NA	<b>0</b>



**8 Recommendations for WEEELABEX certification (or withdrawal of the certification)**


WEEE Treatment Process Stream (as per the WEEELABEX document B02 Eligibility of Treatment Operators)	Treatment Operator Type (Type 1 or 2 or 3 or combined)	Exclusions / Details (e.g. particular categories or equipment that are not in scope of the audit; or detailed description of the audited stream)	Recommendations for certification(or withdrawal of the certification)
Large appliances	NA		
Temperature exchange equipment	NA		
Mixed equipment	NA		
CRT display appliances	NA		
Flat panel display equipment	NA		
Gas discharge lamps	NA		
Photovoltaic panels	NA		
Other	Type 3 inclusive Type 4	<i>Advanced Mechanical Treatment of selected depolluted WEEE Fractions (IT, CE ) with a follow up end processing of pure fractions (smelting and refining)</i>	<b>Recommended for certification for this treatment process stream</b>

Further details

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<b>Is there a proven evidence that the operator who performs Type 1 treatment operations is able to record the downstream treatment of WEEE and fractions thereof by subsequent Type 2 or Type 3 or another Type 1 operator in compliance with the requirements defined in the WEEELABEX document B 02 Eligibility of Treatment Operators, clause 2.4?</b>	<b>NA</b>
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Treatment operator: **AURUBIS AG**

<b>Name of WEEELABEX Lead Auditor</b>	Ullrich Didszun Lead Auditor
<b>Signature:</b>	
<b>Date of Summary Report:</b>	18 May 2021
<b>Contact details of the Lead Auditor</b>	ullrich.didszun@udz-consult.de

<b>The audit has been carried out based on the "WEEELABEX requirements" as defined in the clause 1.1 of the B 04 WEEELABEX Guidance Document - based on the accredited WEEELABEX Certification scheme - Operators no.:</b>	<b>EUro B1801</b>
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The audit was carried out in accordance to the "WEEELABEX requirements" (as defined in the B04 WEEELABEX Guidance Document) to audit the Operator's services, licenses and permits and the plant and equipment at the facility. The scope of our work in preparing this Report was limited solely to those procedures and to the audited treatment streams. Accordingly, the Lead Auditor does not express any opinion or overall conclusion that may affect any services contract. The client is responsible for determining whether the scope of the work specified is sufficient for its' purposes and the Lead Auditor makes no representation regarding the sufficiency of these procedures for their purposes. The procedures performed were not designed to and are not likely to reveal fraud. The Report should not be taken to supplant any other enquiries and procedures that may be necessary to satisfy the requirements of the Report.

This assessment was conducted on a limited sampling and therefore non conformities may exist that have not been identified. Other areas of concern may become apparent when any necessary research is concluded (e.g. for specific information / operations assessed during the audit) or when the missing documentation (if any) is received. The results of the audit are based on sampling and the observations done by the audit team during the audit, therefore the audit report may not identify the totality of the (potential) non conformances incurred by the auditee. That the conformity verification performed by the auditor does not exempt the auditee from the responsibility to observe and know the legislation applicable to all its activities.

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