

## **SRI Roundtable Advisory Committee (AC)**

### **5<sup>th</sup> Teleconference Meeting**

**Date and hour:** August 22, 2016. From 14h00 to 15h00.

#### **AC Participants** (alphabetical order by last name)

- Giulia Carbone (IUCN)
- Christian Hagelüken (UMICORE)

#### **WRF/Empa Team**

- Sonia Valdivia (WRF). Secretariat, teleconference chair and minutes' taker.
- Mathias Schluep (WRF)
- Maria Sureda (WRF). Minutes' taker.
- Bas de Leeuw (WRF)
- Christine Carey (CAREY Research & Consulting)
- Sébastien Haye (E4tech)

#### **AC excuses**

- Urs Fischer (SNV)
- Jaco Huisman (UNU)
- Maria Amelia Rodrigues (ECOECO)
- Simonne Rufener (BAFU)
- Fiona Solomon (ASI)
- Chiara Venturini (GeSI)
- Rolf Widmer (SNV)

#### **WRF/Empa Team excuses**

- Rolf Widmer (Empa)

#### **Aims of the Teleconference Meeting**

- Present the highlights of the ISO IWA Session #3 (7&8 July 2016)
- Obtain specific comments on Draft 2 of the Guidance Principles.
- Discuss the scope of the ISO IWA Session #4 (15 September 2016).
- Introduce the field testing of the Guidance Principles (2017) for feedback.

## 1. Highlights of the ISO IWA Session#3

The ISO IWA 19 Session #3 took place on 7-8 July 2016 at the International Union for Conservation of Nature (IUCN) Conservation Centre in Gland, Switzerland. Around 30 participants joined the Session, including participants from the Basel Convention, UNEP, SRI participating countries and industrial associations. The Meeting Report is available on the SRI website.<sup>1</sup> The discussions focused on open issues requiring feedback such as Child Labour, Shall vs Should, Assurance Systems and Worst Practices. Agreements and action items resulting from the discussions are in the Session report (for a quicker reading, see the executive summary of this document).

Concerning the time frame to complete the Version 1.0 of the Guidance Principles, its finalization was confirmed by the end of 2016.

## 2. Remarks on the Draft 2 of the Guidance Principles

### Focus on proper recycling and disposal

According to Christian, it is not clear how Original Equipment Manufacturers (OEMs) could know if their products contain secondary metals or not. He explained that more important than knowing what metals are contained (primary or secondary) in products, should be to ensure that this product has a proper end-of-life. Christian also alerted on possible situations where using secondary metals in new products might become an excuse for not taking proper care of the end-of-life of products.

Mathias agreed that the main focus should be on ensuring that used products are adequately recycled or disposed of and noted that this should be better reflected in the Guidance Principles.

### Due diligence: Roles of OBA

Christian advocated for reasonable guidance without putting too much of a burden on actors (Economic Operators involved in OBA) that are trying to do the right thing. He agreed that OBA need to find ways to properly check their suppliers but they should not be expected to go throughout the entire supply chain which might consist of thousands of collectors in case of large companies and make this task unmanageable. He suggested sharing the burden with other Economic Operators and requiring each of them to check their own (first-tier) suppliers.

### Due diligence: compatibility with existing systems

To ensure that recommendations on due diligence aspects are compatible with due diligence approaches already in place and to avoid adding new auditing requirements, Christian suggested referring the core auditing requirements to

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<sup>1</sup> Link to the Meeting Report of the ISO IWA Session #3: [www.sustainable-recycling.org/970-2-2/](http://www.sustainable-recycling.org/970-2-2/)

those established in well-spread international standards and keeping in the Guidance Principles only the specific ones related to recycling activities.

Sonia echoed the requests of some SRI participating countries representatives who expressed their need to keep a minimum guidance in the Guidance Principles considering that not all Economic Operators have due diligence approaches in place.

Giulia highlighted that while traceability schemes are important to track and proof the origin of materials used, it is also key to find a good balance and fit for the specific industry since each one has different needs and responds differently.

Sonia agreed with the message raised by Giulia. In order to address valid comments raised by Christian, Sonia proposed to improve the Guidance Principles by clarifying that proposed assurance systems are indicative and may be considered fulfilled if another equivalent existing one is used.

### **3. ISO IWA Session #4**

The ISO IWA Session #4 was planned to be held on 15 September 2016. Its aim was to present a revised version of the Guidance Principles (Draft 3) and identify any remaining sustained or major objections in order to move towards finalization of Version 1.0 of the Guidance Principles for the Sustainable Management of Secondary Metals in 2016. Following the debates of the Session #3, discussions in relation to Implementation and Assurance and Traceability (section 5) are foreseen.

Depending on the number of open issues, a follow-up call might be scheduled later.

### **4. Field testing of the Guidance Principles**

Sonia explained that the field testing of the Guidance Principles is expected to start in 2017 with the aim to test the feasibility of the Guidance Principles. Terms of Reference (TORs) are being developed to guide its implementation which will be shared with the AC members for feedback. She also mentioned that several expressions of interest have been received and preference will be given to SRI partners and SRI participating countries organizations that are already working in the field and have a very good understanding on the Guidance Principles.

Mathias noted that in order to learn how the Guidance Principles can be implemented in a variety of cases, and to identify what is doable and what is not, the field testing will cover different entry points and supply chains. He added that taking into account that the Guidance Principles require a revision within the next 3 years after publication, the field testing will provide valuable input to improve the existing version.

To Christian’s question on whether the field testing exercise will be only a theoretical one or a practical exercise too, Mathias answered that no solutions will be practically tested as this is not possible in the short period foreseen. This would require the existence of a supply chain willing to check that materials recovered are compliant with the Guidance Principles and can be traded in the market. He explained that the TORs aim to better clarify the methodology to be followed.

Concerning the possible participation of UMICORE in the field testing exercise, Christian explained that UMICORE would be open to this possibility and offered to consult internally provided the approach proposed is a reasonable one.

## 5. Any other business

In order to ensure industry’s buy-in of the Guidance Principles, Sebastien asked participants for inputs and advice on the potential added value for industries and how this could be communicated.

Christian explained some of the benefits from UMICORE’s perspective:

- The Guidance Principles are contributing to creating a level playing field for responsible stakeholders along the recycling value chain.
- The implementation of the Guidance Principles will facilitate support for actors in developing countries towards responsible recycling by closing uncompliant clauses and recovering materials in compliance with the Guidance Principles.

On the other hand, Christian noted that a critical mass of key players in the market willing to use the Guidance Principles is needed to extend the benefits to more Economic Operators.

## Action items

1. *SRI Secretariat to develop the TORs for the field testing and share these with AC members for feedback.*
2. *Christian Hagelüken to consult with his organization the possibility of a field testing in any of its value chains.*
3. *SRI Secretariat to better reflect in the Guidance Principles following aspects:*
  - *More focus on ensuring that used products are adequately recycled or disposed and less on knowing/tracking where materials sourced come from.*
  - *Sharing the burden among all Economic Operators during the due diligence implementation meaning that each of them checks its first-tier suppliers.*
  - *Proposed assurance systems are indicative and may be considered fulfilled if another existing one is used, provided this is considered equivalent.*



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