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1. Introduction
The SRI Programme addresses this situation through an integrated approach in three areas:

### SRI Roundtable (global)
- **India**
  - Hazardous substances in WEEE: plastics
- **South Africa**
  - Recycling of cooling equipments
- **Colombia, Egypt, Ghana, Peru**
  - Sustainable management of e-waste

### Recycling Initiatives
- **EMPA**

### Life Cycle Inventories
- **(Brazil, Egypt, India, South Africa)**
Scope - Waste that contains metals

- Consumer waste (examples):
  - E-waste
  - Batteries and accumulators
  - End-of-life vehicles cars and ships
  - Waste metals in construction
  - Waste metal in packaging
  - Etc.

- Production waste
SRI Roundtable – Structure

Assembly

- Secretariat
- Advisory Committee

- Developing the Guidance Principles
- Testing in SRI Participating Countries
- Supporting standards initiatives
- Communication & outreaching

Roles Activities
ISO Documents

1. International Standard
2. Technical standard
3. Guide
4. International Workshop Agreement (IWA)
ISO International Workshop Agreement 19

WD IWA 19
Guidance principles for addressing sustainability criteria in secondary resources management - Focus on metals
Are current standards allowing informal sector products in the market?

CENELEC 50625, R2, eSteward, Fairtrade Gold; Aluminum Stewardship Initiative (ASI) standards; Responsible Jewellery (RJC) Council standard
The ISO Guidance Principles for the Sustainable Management of Secondary Metals aim to close this gap!
2. Structure of the Guidance Principles
Sections 1 and 2

Section 1
Principles & Objectives
Draft 0: Oct. 2015

Section 2
Assurance & Traceability
Draft 0: Dec. 2015

Complete and agreed version: October 2016
Version 1.0: November 2016
We would like you to comment on Draft 1

Guidance Principles for the Sustainable Management of Secondary Metals

Draft ‘1’

ISO IWA 19 Working Draft (WD) Stage

Warning for Working Drafts and Committee Drafts

This document is not an ISO International Standard. It is distributed for review and comment. It is subject to change without notice and may not be referred to as an International Standard.

Recipients of this draft are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation.
3. Scope
Scope – Target beneficiaries & Intended users

■ Application of the Guidance Principles
  - Apply to economic operators involved in Subsistence Activities (SA), Unofficial Business Activities (UBA) and Official Business Activities (OBA)

■ Beneficiaries
  - Vulnerable and disadvantaged workers involved in Subsistence Activities (Target beneficiaries)
  - Economic operators involved in Unofficial Business Activities (UBA) and Official Business Activities (OBA) in secondary metal value chains

■ Intended Users
  - Potential agents of change along the secondary metal value chain
Scope - Actors and beneficiaries

Actors required to apply the GP in their activities. This includes transporters/traders of waste that contains metals and transporters/traders of materials produced by OB A, UBA, and SA.

- **Official business activities (OBA)**
- **Unofficial business activities (UBA)**
- **Subsistence activities (SA)**

**Possible interactions**

- Dedicated to metal recycling
- Earning more than thresholds established to be exempted of taxes **of materials that contain metals**
- **Buying / using metal recovered usually from traders or recycling industries**

UBA and SA are part of the informal sector.
4. Section 1 – Principles & Objectives

Introduction to the 5 Guidance Principles and 17 associated objectives
The 5 Guidance Principles for the Sustainable Management for Secondary Metals

1. Enabling safe, healthy and equitable working conditions
2. Building and strengthening local community relations and resilience
3. Conserving and protecting the environment and natural resources
4. Improving recovery of secondary metals
5. Implementing a sustainable management approach
## Principles & Objectives

| Principle 1 | Enabling safe, healthy and equitable working conditions |
| Principle 2 | Building and strengthening local community relations and resilience |
| Principle 3 | Conserving and protecting the environment and natural resources |
| Principle 4 | Improving recovery of secondary metals |
| Principle 5 | Implementing a sustainable management approach |
What are the main issues you are facing and under which principles do they fall?

[use the post-its]
Scope - Processes and flows considered

- Waste that contains metals
  - Landfilling/incineration
  - Use/Manufacture
  - Collection
  - Pre-treatment
  - Metallurgical Processing

Non-hazardous waste including metals
Hazardous waste including metals
Metal losses
Low quality metal alloys

Processes in the scope of the GP

The scope includes transportation/trade of waste that contains metals and transportation/trade of materials produced from the collection of waste that contains metals until the recovered metals reach the use/manufacture stage.
What are the worst practices you think should be eliminated?

How could they be avoided?

[please, use post its]
5. Section 2 – Assurance & Traceability

Recommendations for compliance, assurance and traceability to support the effective and efficient implementation of the Guidance Principles
Overview

Sustainable Management Approach (SMA) – *Towards compliance*

**How to implement a SMA?**

- Stepwise Approach

**How to evaluate compliance?**

- Assurance System

**Who is responsible for the claim?**

- Chain of custody
## A. Stepwise approach - Towards compliance (Proposal)

<table>
<thead>
<tr>
<th>Operation Type</th>
<th>Timeline (target)</th>
<th>Level of compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subsistence Activities (SA)</td>
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<td>Full compliance at cooperative / association / enterprise level.</td>
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<td>Year 5</td>
<td>Full compliance at individual economic operator level</td>
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<tr>
<td>Unofficial Business Activities (UBA)</td>
<td>Year 1</td>
<td>Partial compliance (50%)</td>
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<td></td>
<td>Year 3</td>
<td>Legal registration. Full compliance</td>
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<tr>
<td>Official Business Activities (OBA)</td>
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<td>Full compliance at business level</td>
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</table>
In Peru, informal workers and associations said:

we [want/do not want] get formalized
We think that the rich informal activities do not want to get formalized and poor ones cannot....

What is the situation in your country? [stand up, please]
## A. Stepwise approach - Towards compliance (Proposal)

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How can you help the informal sector in the transition period of 3-5 years?

[Please use the post its]
C. Traceability (Chain of Custody) - Concept

- **What is the aim?**
  - Distinguish secondary metals with demonstrated origin and compliance with the Principles from secondary metals of unknown origin and/or primary metals.
  - Ensure product manufactures that the claims in relation to the Guidance Principles are substantiated and verifiable.
Suppliers of materials vs outputs

- Formal operations
- Subsistence activities
- Non official business activities
- High quality metals (examples: gold, silver, copper, platinum)
- Low quality metal allows
- Wastes and losses
Are you able to distinguish the origin of your metals recovered? tons or % coming from subsistence or unofficial business activities or from formal recyclers? If you can’t, how could it work?
[please, stand up]
6. Objectives of the local consultation and next steps
Objectives of the local consultation

- Allow your participation from now onwards to ensure a geographically and sectoral balanced consultation process!
- Understand your main issues of concern giving priority to the informal sector
- Verify that your perspectives are considered in the development of the Guidance Principles.
Sections 1 and 2

Section 1

Principles & Objectives

Draft 0: Oct. 2015

Section 2

Assurance & Traceability

Draft 0: Dec. 2015

Complete and agreed version: October 2016
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Principles & Objectives

**Principle 1** Enabling safe, healthy and equitable working conditions

- **Objective 1.1** Implement measures to enable safe and healthy work places along the secondary metal value chain.
- **Objective 1.2** Promote decent working terms and conditions.
- **Objective 1.3** Implement measures to eliminate child labour, forced labour, harassment and all forms of discrimination.
- **Objective 1.4** Promote and support freedom of association, the right to collective bargaining and grievance mechanisms for workers.
- **Objective 1.5** Establish clear channels for communication, transparency and dialogue with workers.

**Principle 2** Building and strengthening local community relations and resilience

- **Objective 2.1** Respect and foster local communities’ rights.
- **Objective 2.2** Implement measures to enable the social inclusion of workers in the community.
- **Objective 2.3** Establish clear channels for communication, transparency and dialogue with local communities and affected stakeholders.
**Principle 3**

**Conserving and protecting the environment and natural resources**

**Objective 3.1** Conserve and protect biodiversity, ecosystems, and ecosystem services.

**Objective 3.2** Conserve and protect water, air and land resources.

**Objective 3.3** Restore severely damaged areas due to previous and current metal recovery operations and demand the restoration caused by previous third parties' activities.

**Principle 4**

**Improving recovery of secondary metals**

**Objective 4.1** Develop, implement and promote technologies and strategies to increase secondary metal recovery related to quantity and quality.

**Principle 5**

**Implementing a sustainable management approach**

**Objective 5.1** Document and evaluate the existing baseline conditions of secondary metal operations in the four areas addressed by Principles 1 through 4.

**Objective 5.2** Develop, implement, and monitor to continuously improve a management plan that aims to mitigate negative impacts and strengthen positive impacts of secondary metal operations.

**Objective 5.3** Strengthen the organisational capacity of economic operators involved in secondary metal operations.

**Objective 5.4** Implement measures to ensure compliance with local and/or national laws, rules and regulations.

**Objective 5.5** Implement measures to eliminate bribery and corruption.
**Overview**

**PRINCIPLE 2 – Building and strengthening local community relations and resilience**

**Objective 2.1**
Respect and foster local communities' rights.

**Application Scope**
- Collection (waste that contains metals):
- Pre-treatment:
- Metallurgical process

**Involved Stakeholders**
- Official Business Activities (OBA)
- Unofficial Business Activities (UBA)

<table>
<thead>
<tr>
<th>Explanatory Notes</th>
<th>Supporting Mechanisms</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Community rights</strong></td>
<td><strong>Governments and local authorities should monitor transactions between economic operators and local communities and make sure that operations do not infringe on the rights of local communities, especially land rights, land-tenure rights, land-use rights, water-use rights.</strong></td>
</tr>
<tr>
<td>Economic operators should identify existing local communities' rights and concerns, focusing on the following but not limited to if necessary:</td>
<td><strong>Civil Society Organisations should support joint activities and facilitate the resolution processes towards the improvement of the local community conditions.</strong></td>
</tr>
<tr>
<td>- Right to health and security;</td>
<td></td>
</tr>
<tr>
<td>- Access to resources:</td>
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<tr>
<td>- Land rights, land-tenure rights, and land-use rights;</td>
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<tr>
<td>- Water rights.</td>
<td></td>
</tr>
</tbody>
</table>

**Strengthening relations and implementing improvement measures**

Improvement measures should be identified in consultation with the community and implemented, wherever feasible, and monitored to assess the acceptance and results.

In consultation and jointly with the community’s mechanisms should be enforced and activities implemented for resolving the issues of concern related to the operations. This should be done by taking into account the possible different cultural backgrounds.

<table>
<thead>
<tr>
<th>Suggested steps</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>- Organise awareness raising activities with the local communities and jointly with them identify issues of interest and concern dealing with health and security, access to resources, among others.</td>
<td></td>
</tr>
<tr>
<td>- Prepare and implement an action plan for addressing, wherever feasible, the issues of interest and concern.</td>
<td></td>
</tr>
<tr>
<td>- Organise a helpdesk or possibilities for local community representatives to raise and discuss issues of concerns or interests, whenever needed.</td>
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</tr>
<tr>
<td>- Monitor the number of complaints and cases resolved and assess the evolution over time.</td>
<td></td>
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</table>
Next steps

- Your suggestions and ideas will be included in a new version.
- Participation in workshops or virtual media (e.g. webinar for the general public on the 10\textsuperscript{th} of March).
- Setup of a working group on worst practices and alternative practices.
- In 2017, the Guidance Principles will be piloted in countries, such as Ghana, in order to improve the tool.
- ....................?
Thank you!