



Teleconference Report 12 April 2016

ISO International Workshop Agreement (IWA)

Session #2

Guidance Principles for the Sustainable
Management of Secondary Metals



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The Roundtable on Sustainable Recycling Industries (SRI Roundtable) addresses sustainability criteria in secondary resources management in developing countries. The SRI Roundtable is convening an International Workshop Agreement (IWA) to consult with key and affected stakeholders the development of Guidance Principles for secondary metals. This activity is directed by the Swiss Association for Standardization (SNV) on behalf of the International Standards Organization (ISO) and supervised by the Secretariat of the SRI Roundtable which is hosted by the World Resources Forum (WRF). The IWA process consists of four ISO IWA Workshop sessions and several needs of stakeholder's contributions. The ISO IWA Workshop Session #2 was organized by the WRF and the SNV on 12 April 2016 via teleconference.

The SRI Roundtable is an initiative of the Sustainable Recycling Industries (SRI) programme, which has built on the success of implementing e-waste recycling systems with various developing countries for more than ten years. This programme is funded by the Swiss State Secretariat of Economic Affairs (SECO) and is implemented by the Institute for Materials Science & Technology (Empa), the WRF and ecoinvent.

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Executive Summary

On 12 April 2016 the **ISO IWA Session #2** was held to which ISO IWA 19 members were invited to participate for the discussion of comments received on the 'Draft 1' of the Guidance Principles for the Sustainable Management of Secondary Metals. About 480 comments were received from more than 30 organisations worldwide. Main agreements reached by the participants, which will be considered in the next Draft of the Guidance Principles ('Draft 2'), were as follows:

- More clarity is needed on the roles and responsibilities of the different actors. Roles and responsibilities of producers and manufacturers should be clarified as they also carry some responsibility of and local governments cannot be responsible alone.
- In certain no-go areas such as child labour, bribery, corruption and worst practices, the term "shall" should be used instead of "should".
- "Producer" should be substituted by "manufacturer" since the latter is clearer from the recyclers' perspective.
- Some debatable terms (e.g. recycling process vs recycling chain; pre-treatment vs treatment) should be brought back for discussion to the Definitions Working Group.
- The entire text should be revised to ensure that it is consistent with the latest international references and recommendations such as the Basel Guidelines, OECD, WEEE Directive, CENELEC, etc.
- The urban mining approach considered in the circular economy should be better reflected in order to avoid the perception that the Guidance Principles are focused on extraction of primary metals.
- More references and examples of other wastes that contain metals should be included in order to avoid giving the impression that the Guidance Principles only refer to e-waste.
- More research should be carried out, with support of SRI participating countries, on how the issue of child labour should be addressed.
- More clarity is needed on the roles of government agencies involved in the formalisation processes. Need to bear in mind that that these processes and potential delays depend on countries contexts and policies.
- Consistence regarding the issue of exports and imports of e-waste should be ensured by looking into the latest international discussions on this topic. Also, the expression "export of products" should be substituted by "export of waste".
- Extended Producer Responsibility (EPR) should also include importers as well other actors involved in the value chain, such as retailers or distributors.

1. Background

The following is a report from the ISO International Workshop Agreement (IWA) Session #2 on the “Guidance Principles for Sustainable Management of Secondary Metals” (hereafter, Guidance Principles). It was organized by the World Resources Forum (WRF) and the Swiss Association for Standardization (SNV) via teleconference on 12 April 2016.

The Workshop Session #2 was addressed to the ISO IWA 19¹ members. Two different time slots² -of two hours each- were offered to facilitate the participation of the largest number of members worldwide. Overall, the teleconference was attended by 25 participants (see Annex A).

The aim of the Workshop Session #2 was threefold:

- To provide ISO IWA 19 members with an update of the results of the Public Review and Local Consultations on the Draft 1 of the Guidance Principles.
- To obtain ISO IWA 19 members’ input for the Comments Resolution Meeting³ as the basis for revision of the Draft 1 of the Guidance Principles.
- To provide the space and time for discussion on open issues.

The Workshop Session #2 was the second of four Sessions foreseen in this process and in line with the ISO IWA requirements and the ISEAL Standard-setting Code.⁴ The Version 1.0 of the Guidance Principles is expected to be completed by November 2016.

¹ ISO has assigned the number 19 to the current IWA process, i.e. Working Draft (WD) IWA 19: www.iso.org/iso/home/store/catalogue_tc/catalogue_detail.htm?csnumber=69354

² Morning slot from 9h00 to 11h00 Central European Time (CET) and afternoon slot from 15h00 to 17h00 Central European Time (CET).

³ The Comments Resolution Meeting consists of the ISO IWA Secretariat. See “*Resolution on the publication of comments to the Guidance Principles by the general public*”, agreed on 16 October 2015. Available at: http://sustainable-recycling.org/sustainable-recycling/wp-content/uploads/2015/06/151016_Resolution-Comments-Public.pdf

⁴ ISEAL Standard-setting Code: <http://www.isealalliance.org/sites/default/files/ISEAL%20Standard%20Setting%20Code%20v6%20Dec%202014.pdf>

2. Introductory information

Bas de Leeuw, Managing Director of the WRF, **welcomed the participants** to the Workshop Session #2 on the Guidance Principles on behalf of Mathias Schluep, ISO IWA 19 Chairperson.

An **update of the timeline** of the Guidance Principles (see slide 5 PPT) was provided by Sonia Valdivia, ISO IWA 19 Vice Chairperson. She also referred to the Meeting Report of the Workshop Session #1, which is available on the SRI website.⁵

Rolf Widmer, Secretariat at SNV, explained that ISO has assigned the number 19 to the current IWA process and referred to the 6 years of **validity of the Guidance Principles** after their publication (see slide 8 PPT).

Sébastien Haye, consultant of the process, introduced the agenda (see Annex 2) which was approved by participants.

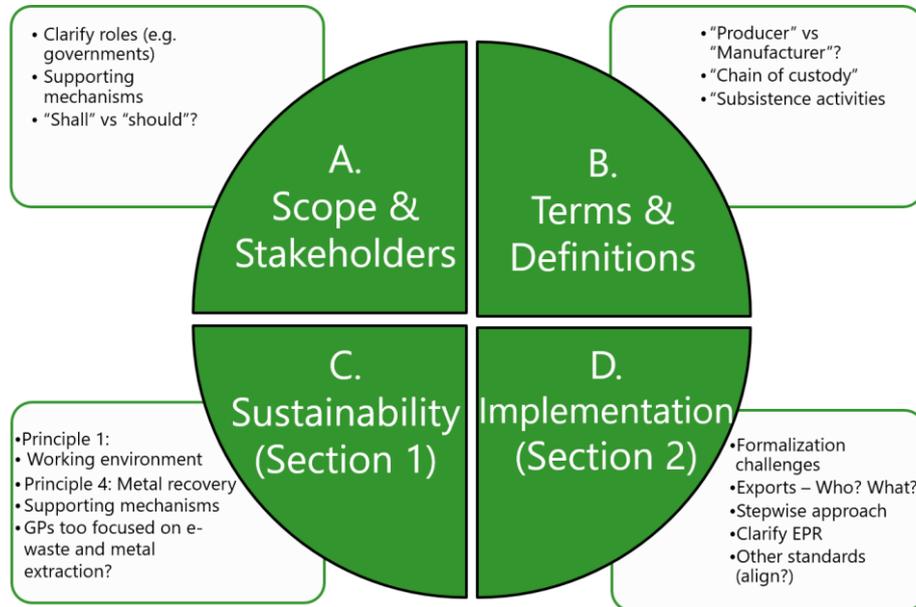
Sonia Valdivia reminded participants that the **Guidance Principles are structured in four parts** (see slide 10 PPT): (i) the background, which introduces the motivation, aim, stakeholders, target audience, beneficiaries and scope of the Guidance Principles as well as relevant definitions; (ii) Section 1, which refers to the 5 principles and 17 associated objectives; (iii) Section 2, which includes recommendations for compliance, assurance and traceability to support the implementation of the Guidance Principles; and (iv) the governance, which contains the governance aspects for future revisions and interpretations of the Guidance Principles.

Sonia Valdivia explained that about 480 **comments on the Draft 1** of the Guidance Principles were received from different stakeholders during the Public review (1 Feb – 31 March 2016), the local consultations in Peru (9-11 Feb 2016) and in Kenya (27 Feb 2016), and from both webinars for ISO IWA 19 members (10 Feb 2016) and the General Public (10 March 2016). She also mentioned that the **aim of the Workshop Session #2** was to offer the opportunity to ISO IWA 19 members to express their opinion on some of the comments received to serve as a basis for and input to be discussed at the Comments Resolution Meeting before the elaboration of the 'Draft 2' of the Guidance Principles, which is expected to be completed by June 2016 (see slides 11-12 PPT).

⁵ Meeting Report of the Workshop Session #1 available at: http://sustainable-recycling.org/sustainable-recycling/wp-content/uploads/2015/12/151217_ISO-IWA_MeetingReport_Session1.pdf

3. Discussion

ISO IWA 19 members were encouraged to participate in the discussion of comments received on the Draft 1 of the Guidance Principles. Comments received were divided in four groups (see figure below).



During the discussion, participants were requested to provide their thoughts and suggestions about specific comments that were highlighted and introduced by the facilitators. A summary of these discussions is provided in the next sections.

3.1 Scope & Stakeholders

- **Clarification of roles:** Participants were requested to share their viewpoints on whether there was enough distinction between the roles of the supply chain players (i.e. waste collectors and processors), who are expected to really implement the Guidance Principles, and the governments, local authorities and civil society organisations (in supporting mechanisms of Section 1 and Section 2), who are outside of the supply chain, but who could still play a role to make the implementation of the Guidance Principles easier and more efficient.

Participants agreed on the fact that local governments cannot be the only ones responsible. Producers and manufacturers should also carry some responsibility. In this regard, the text of the Guidance Principles needs to be revised to ensure clarity when expressing these ideas.

- **Shall vs should:** Participants were invited to express their opinions on how these terms ('shall' and 'should') should be used in the Guidance Principles. As reference, it was mentioned that although the Guidance Principles were not a technical standard, hence

nothing in them should be compulsory, some stakeholders felt that certain critical areas should really be stressed a bit stronger (i.e. child labour).

There was overall consensus among participants on the fact that both terms “should” and “shall” should be consistently used along the document. It is recommended to avoid being weaker than international recommendations when applying the terms. Regarding the no-go areas, there was agreement on adopting a stronger position in some areas such as child labour, bribery, corruption and worst practices.

3.2 Terms & Definitions

- **Producer vs manufacturer:** Participants were asked to express their standpoint on whether the term “producer” would be clearer than the term “manufacturer” in the context of the supply chain.

An agreement was reached on the fact that the term “manufacturer” is clearer than the term “producer”, especially from the recyclers’ perspective. It was agreed to expand the discussion to other terms (e.g. recycling process vs recycling chain; pre-treatment vs treatment) and bring it back to the Definitions Working Group.

In general terms, it was decided that the Guidance Principles need to be revised to ensure that they are consistent with the latest international references and recommendations (e.g. Basel Guidelines, OECD⁶, WEEE Directive, CENELEC 50625, etc.).

3.3 Sustainability (Section 1)

- **Guidance Principles too focused on extraction of natural resources:** Participants were requested to express their opinions on whether the Guidance Principles are too focused on extraction of natural resources, as mentioned in some comments received.

In order to avoid the perception that the Guidance Principles are indeed too focused on extraction of primary metals, it was decided to better reflect the urban mining approach considered in the circular economy as well as making clear that recycling is not side-specific.

- **Bias towards primary metals and e-waste:** Participants were asked to provide advice on whether they thought the way that the Principles and Objectives are written seemed to give the impression that they are just focused either on primary metals or on e-waste.

Although one participant expressed that the word “e-waste” appears only once along the text of the Guidance Principles, it was suggested to include more references of other

⁶ OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas

wastes that contain metals in order to avoid giving the impression that the Guidance Principles only refer to e-waste. Also, more balance between different wastes that contain metals will be taken into account when providing examples.

- **Elimination of child labour and bribery more gradual:** Participants were requested to discuss and provide standpoints on whether child labour or bribery should be really eliminated or be approached in a more gradual way. As a reference, it was mentioned that the ILO definition on child labour offers some flexibility over children in e.g. helping parents under some conditions.

Taking into account that no agreement was reached on how the issue of child labour should be addressed, more research will be carried out with support of SRI participating countries (Egypt, India, Ghana, Colombia and Peru). However, regarding the stepwise approach as a pathway to eliminate child labour, it was suggested that a stronger position should be taken but also provide options (i.e. non formal education).

3.4 Implementation (Section 2)

- **Appropriate timeline for formalisation:** Participants were asked to express their opinions on whether the timeframe of 5 years for Subsistence Activities (SA) to be considered as Official Business Activities (OBA) was appropriate. They were also asked if it was necessary to add more supporting mechanisms from the governments to help stakeholders form SA to reach the status of OBA in terms of the Guidance Principles.

As already perceived during the local consultations, agreement was reached on the fact that formalisation would probably not be an issue, but the different levels of compliance (i.e. levels of informality) might be, especially since there are a number of requirements in the countries that need to be addressed. In this regard, it was agreed that reaching full compliance is an issue, such as on fulfilling regulations when issuing working contractual agreements.

On the matter of the appropriate time for formalisation and the support needed, especially concerning government support, it was highlighted that it was essential to bear in mind that formalisation processes are dependent on contexts and policies in countries as well as the need to clarify what the roles are of the different government agencies involved.

- **Responsible for exporting waste that contains metals:** Participants were requested to provide their views on whether or not the role of exporters was sufficiently clear. As reference, it was mentioned that when looking at Figure 4 in Section 2 of the Guidance Principles, the exports are included between product manufacturers and importers. It was highlighted that the figure refers to exporters of manufactured products, which includes secondary metals, but not to exporters of waste. In that sense, participants were asked if they had any suggestion on how to capture the existence of specific

requirements to address issues around the export of waste, which most of the time goes from the northern countries down to developing economies.

There was agreement on looking into latest international discussion to ensure consistency regarding the issue of exports and imports of e-waste. It was also decided to refer to export of waste and not to export of products.

- **Inclusion of importers in the Extended Producer Responsibility (EPR):** Participants were asked to provide guidance on whether EPR should be extended to other actors of the supply chain such as importers of products.

Agreement on the fact that EPR, as a mechanism, also includes importers but also others involved in the value chain, such as retailers or distributors. It was also mentioned that there was a need to inform the consumers about their obligation to take e-waste back to producers and that the producers are obliged to accept it.

- **Clarification on supporting mechanisms (Section 1) vs implementation (Section 2):** Participants were asked to provide additional suggestions on other supporting mechanisms which could be added in order to encourage governments and civil society organisations to facilitate the implementation of the Guidance Principles.

Due to no immediate reactions participant were offered to send additional feedback after this Session.

4. Next steps

Sonia Valdivia summarised the next steps in 2016 of the development process of the Guidance Principles as follows:

- A list with all comments received, including the results of the Comments Resolution Meeting, will be circulated to ISO IWA 19 members by the end of April.
- A Working Group on worst & alternative practices will be setup in May to support the development of Annex D of the Guidance Principles.
- A Guidance Principles Workshop will be held in @WRF in Costa Rica on 18 May.
- Comments raised during the Session #2 will be considered in “Draft 2” of the Guidance Principles, which will be shared with ISO IWA 19 members in June.
- Local face-to-face consultations on ‘Draft 2’ of the Guidance Principles will take place in India (June) and Egypt (July).
- The ISO IWA Session #3 will be held on 7-8 July 2016 in Gland, Switzerland, at the IUCN venue. Invitation will be sent to IWO IWA 19 members by the end of April.

Annex A – List of participants

Morning slot: 09h00 – 11h00 (CET)

		Name	Organisation	Country
1	Mr.	Bartley, Ross	Bureau of International Recycling – BIR	Global
2	Ms.	Carey, Christine	CAREY Research & Consulting	Global
3	Mr.	De Leeuw, Bas	World Resources Forum – WRF	Global
4	Mr.	Haye, Sébastien	E4tech	Switzerland
5	Mr.	Huisman, Jaco	United Nations University – UNU	Global
6	Mr.	Kamal, Mohamed	Plastic Technology Center	Egypt
7	Mr.	Kasser, Ueli	Umwelt Chemie	Switzerland
8	Mr.	Kern, Matthias	UNEP Secretariat of the Basel, Rotterdam and Stockholm Conventions	Global
9	Ms.	Peña, Claudia	Addere Research and Technology	Chile
10	Ms.	Solomon, Fiona	Aluminum Stewardship Initiative – ASI	Global
11	Ms.	Stillhart, Ruweyda	World Resources Forum – WRF	Global
12	Ms.	Sureda Serra, Maria	World Resources Forum – WRF	Global
13	Ms.	Valdivia, Sonia	World Resources Forum – WRF	Global
14	Ms.	Venturini, Chiara	Global e-Sustainability Initiative – GESI	Global
15	Mr.	Widmer, Rolf	The Swiss Federal Laboratories for Materials Science and Technology - EMPA	Switzerland
16	Mr.	Widmer, Rolf	Swiss Association for Standardization – SNV	Switzerland

Afternoon slot: 15h00 – 17h00 (CET)

		Name	Organisation	Country
1	Mr.	Bartley, Ross	Bureau of International Recycling – BIR	Global
2	Ms.	Carey, Christine	CAREY Research & Consulting	Global
3	Mr.	De Leeuw, Bas	World Resources Forum – WRF	Global
4	Ms.	Deepali, Sinha	United Nations University -UNU	Global
5	Mr.	Edelmann, Xaver	World Resources Forum – WRF	Global
6	Ms.	Enríquez, Maria Amelia	Brazilian Society for Ecological Economics – ECOECO	Brazil
7	Mr.	Hagelüken, Christian	Umicore	Global
8	Mr	Halada, Kohmei	National Institute for Materials Science – NIMS	Japan
9	Mr.	Haye, Sébastien	E4tech	Switzerland
10	Mr.	Hernández, Carlos	Centro Nacional de Producción más Limpia – CNPML	Colombia
11	Ms.	Iskandar, Laila	Ministry of Environment	Egypt
12	Ms.	Karcher, Susanne	Southern African e-Waste Alliance - SAEWA	South Africa
13	Ms.	Moghny, Ghada	Centre for Environment and Development for the Arab Region and Europe - CEDARE	Egypt
14	Ms.	Stillhart, Ruweyda	World Resources Forum – WRF	Global
15	Ms.	Sureda Serra, Maria	World Resources Forum – WRF	Global
16	Ms.	Valdivia, Sonia	World Resources Forum – WRF	Global
17	Mr.	Widmer, Rolf	Swiss Association for Standardization – SNV	Switzerland

Annex B – Agenda

The same agenda was used for both the morning and afternoon slots (09h00 – 11h00 & 15h00 – 17h00 CET)

Time	Item	Presenter
09:00 - 15:00	Welcome & Instructions for participation	Sébastien Haye (E4tech) & Christine Carey (CRC)
09:05 - 15:05	Welcome by ISO IWA 19 Secretariat	Bas de Leeuw, Managing Director of WRF (on behalf of Mathias Schlupe, ISO IWA 19 Chairperson) & Rolf Widmer, Secretariat at SNV
09:10 - 15:10	Introduction of the Agenda and adoption	Sébastien Haye (E4tech) & Christine Carey (CRC)
09:15 - 15:15	Background and summary of comments received on the Draft 1 of the Guidance Principles	Sonia Valdivia, ISO IWA 19 Vice-Chairperson
09:25 - 15:25	Facilitation of discussion of each group of comments received on the Draft 1 of the Guidance Principles	Sébastien Haye (E4tech) & Christine Carey (CRC)
10:45 - 16:15	Wrap-up of discussions	Sonia Valdivia, ISO IWA 19 Vice-Chairperson
10:55 - 16:55	Next Steps & Closing remarks	Sonia Valdivia, ISO IWA 19 Vice-Chairperson (on behalf of Mathias Schlupe, ISO IWA 19 Chairperson)