Teleconference Report
15 September 2016

ISO International Workshop Agreement (IWA) 19
Session #4
Guidance Principles for the Sustainable Management of Secondary Metals
Background

The Sustainable Recycling Industries (SRI) Roundtable addresses sustainability criteria in secondary resources management in developing countries. 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 Swiss Institute for Materials Science & Technology (Empa), the World Resources Forum (WRF) and ecoinvent.

The SRI Roundtable is convening an International Workshop Agreement (IWA) to consult with key and affected stakeholders in the development of Guidance Principles for the Sustainable Management of Secondary Metals (Guidance Principles). This activity is hosted by the Swiss Association for Standardization (SNV) as ISO IWA 19 on behalf of the International Standards Organization (ISO) and supervised by the SRI Roundtable which is hosted by the World Resources Forum (WRF). SNV and WRF conform the Secretariat of the ISO IWA 19 process which consists of a series of workshops as well as local and public consultations.

The ISO IWA 19 Workshop Session #4 was organized on 15 September 2016 via teleconference. The organization of the ISO IWA 19 Workshop Session #4 and the drafting of its report were done by the WRF and SNV with support from E4tech and CAREY Research & Consulting (CRC).

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1 Available at: [www.iso.org/iso/home/store/catalogue_tc/catalogue_detail.htm?csnumber=69354](http://www.iso.org/iso/home/store/catalogue_tc/catalogue_detail.htm?csnumber=69354)
Executive Summary

The ISO IWA 19 Session #4 was held via teleconference on 15 September 2016. Twenty ISO IWA members participated. The main aim was to identify any remaining sustained or major objections to the Principles and Objectives (including Introduction and Terms and Definitions), and to get feedback on the Section 4 on ´Assurance and Traceability´ in order to move towards finalization of Version 1.0 of the Guidance Principles for the Sustainable Management of Secondary Metals in 2016. Participants reached consensus over several aspects of the Principles and Objectives (including Introduction and Terms and Definitions), including:

- Keep the prohibition of Child Labour as a key objective (Objective 1.3).

- Keep Freedom of Association (Objective 1.4). When applying this Objective, in the case of contradiction with any laws, the latter always prevails. If the latter, Economic Operators must find legally-compatible negotiation alternative.

- All Economic Operators including Unofficial Business Activities (UBA) and Subsistence Activities (SA) have to equally comply with Principles and Objectives related requirements. There was agreement not to wave any requirement to UBA or SA. Due to their differentiated capacities, a gradual implementation was recognized as helpful.

Objection was raised by one participant regarding the definitions of ´preparation´ and ´metallurgical processing´. They require clarification in terms of how manual and mechanical separation and depollution are considered. The definition of ´recycling´ requires a clear reference to ´preparation (hence, also shredding)´.

Since no other sustained or major objection was raised, it is considered that, as long as the above-mentioned issue is addressed, ISO IWA members achieved consensus on Sections 1, 2 and 3 of the Guidance Principles.

The following remarks were raised on ´Assurance and Traceability´ and on Worst

- Clarification is needed in Section 4.4 (‘Assurance systems’) on how EPR can be applied in the context of assurance. The EPR definition needs to be contextualized and used consistently. The role of consumers needs to be defined.

- The definition of Worst Practices needs to include practices with actual and potential negative impacts.

- The ‘better practices’ term in Annex C has to be renamed to ‘good practices’. Clearly prohibit the ‘open burning’ in reference to the Basel and Stockholm Conventions.

To finalise Version 1.0 and submit to ISO for publication, the following steps are required:

- ISO IWA 19 members to send any sustained opposition to major issues with the ISO IWA 19 Secretariat (deadline: 15 October 2016). Minor issues may be shared as well.

- Objections to be addressed by the ISO IWA 19 Secretariat prior to publication.

- ISO IWA 19 members to confirm their agreement to include their names in the Contributors list of the Guidance Principles.

- ISO IWA 19 Secretariat to submit complete version to ISO in December 2016.

1. About the ISO IWA 19 Session #4

The following is a report from the ISO International Workshop Agreement (IWA) 19 Session #4 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 15 September 2016.

Twenty ISO IWA 19 members from Industrial Associations, Intergovernmental Organisations and SRI participating countries attended the Session #4.

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2 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
The aim of the Workshop Session #4 was to identify any remaining sustained or major objections on the Principles and Objectives (including Introduction and Terms and Definitions) and to obtain comments on Section 4 on ‘Assurance and Traceability’ in order to move towards publishing and launching Version 1.0 of the Guidance Principles.

The Workshop Session #4 is foreseen to be the last Session in this process in line with the ISO IWA requirements. If need be, and if agreed by ISO IWA 19 members, a Session #5 could be held in November 2016.

The development process of the Guidance Principles is in line with the ISO IWA requirements and the ISEAL Standard-setting Code. Version 1.0 of the Guidance Principles is expected to be completed by 2016 when this will be submitted to ISO for publication.

2. Introduction

Mathias Schluep, Program Director of the WRF and ISO IWA 19 Chairperson, welcomed the participants to the Workshop Session #4 and also introduced Rolf Widmer from SNV for any questions related to ISO.

Sonia Valdivia, ISO IWA 19 Vice-Chairperson provided, a quick overview of the previous Workshop Session #3 held on 7-8 July 2016, and explained the timeline to complete the Version 1.0 of the Guidance Principles. The report of the previous Workshop Session #3 is available in the SRI website.

She also referred to results of the public reviews and India stakeholder consultations held in July 2016. She continued explaining main changes introduced in the Draft 3 of the Guidance Principles.

The introductory part was followed by a presentation by Sébastien Haye (E4tech) of the open issues identified for discussion by the ISO IWA 19 Secretariat:

- Principle 1: WTO issue (Freedom of Association)
- Principle 1: Legal contradiction (Child Labour)
- Implementation: Suggested steps and differentiation among SA, UBA and OBA
- Assurance system and traceability: Recommendations vs requirements
- Scope of Annexes: Worst Practices and Monitoring & Evaluation Plan

4 ISO IWA 19 Workshop Session #3: sustainable-recycling.org/970-2-2/
3. Discussion

3.1 Principle 1: Child Labour and Freedom of Association

The ISO IWA 19 Secretariat suggested to keep the prohibition of Child Labour (Objective 1.3) and the requirement on Freedom of Association (Objective 1.4) in the Guidance Principles as currently worded. The reasons for this suggestion are as follows:

- In the case of child labour, some worries were expressed by ISO IWA 19 members over possible WTO-related issues. However, prohibition of child labour is already included in many international standards and supported by international companies. In addition, the protection of human health is generally not considered as a Technical Barrier to Trade.
- Whenever freedom of association is prohibited by law, economic operators should not put themselves in conflict with law. As stated in the introduction of the Guidance Principles, the law always prevails. However, it is the duty of economic operators to explore and implement alternative legally-compliant measures to ensure workers can negotiate their work conditions in a legally compliant way.
- No objection was raised to keeping the prohibition of Child Labour (Objective 1.3) and the requirement on Freedom of Association (Objective 1.4) in the Guidance Principles as currently worded.

3.1.1 Implementation: Suggested steps and differentiation among SA, UBA and OBA

Proposed time frame allows flexibility to Economic Operators involved in SA, UBA and OBA during the implementation of the Guidance Principles and especially more time to SA to reach full compliance. Due to the differentiated capacities of SA, UBA and OBA, the gradual implementation was recognized as helpful. However, based on a number of comments received during the public review, it was not clear if the gradual implementation would be sufficient for SA to reach full compliance.

Participants were asked for comments on maintaining equal Principle & Objective related requirements for all Economic Operators or the option to waive some of them for SAs and UBAs.

- Participants unanimously recommended not to waive any Principle & Objective related requirements to UBA or SA. It was stressed that all Economic Operators should pursue 100% compliance.

Two action items resulted from these discussions:
**Action item 1:** Clarify in the Guidance Principles that being or becoming a legal entity does not imply operating in full compliance with all laws.

**Action item 2:** Revise the Objectives in line with the recommendation not to waive any objective/requirement.

### 3.2 Definition of ‘metallurgical processing’ and ‘preparation’: consideration of shredding and depollution

Several comments were raised about the terms ‘recycling’, ‘preparation’ and ‘metallurgical processing’:

- It was requested to check the text whether all relevant processes have been adequately included in the scope. Rolf Widmer (Empa) and Sonia Valdivia asked the participants to read the three definitions together as they should complement with each other and be consistent. It was noted that ‘shredding’ is included under the ‘preparation’ definition which is within the scope of the Guidance Principles.

- It was also recommended to explain the need to depollute End-of-Life goods before any further processing in order to remove hazardous components and materials so they neither contaminate later processes or materials nor represent risks to workers’ health in subsequent processes.

- It was highlighted that in cases where definitions are in contradiction with national legislations, the latter will prevail.

- Mathias urged the participants to keep in mind that this document is not meant to become technical guidelines.

- While there was agreement on the fact that depollution can occur through manual or mechanical means, there was not consensus on considering depollution as a separate process different to ‘preparation’ or not.

- Objection was raised by one participant regarding the definitions of ‘preparation’ and ‘metallurgical processing’. They require clarification in terms of how manual and mechanical separation and depollution are considered. The definition of recycling requires a clear reference to ‘preparation (hence, also shredding).”

Resulting action items are the following ones.

**Action item 3:** Clarify how manual/mechanical separation and depollution are considered in the definitions of ‘preparation’ and ‘metallurgical processing’.

**Action item 4:** Improve the term ‘recycling’ by clearly mentioning that the term ‘preparation, hence, also shredding)’ is included in recycling.

**Action item 5:** Consider adding a definition on depollution.

**Action item 6:** Add ‘and end-of-life’ at the end of the sentence of page 6, line 34.
**Action item 7:** Organise a follow-up call for October 2016 (date tbc) to discuss concerns over definitions. Participants: Ross Bartley (BIR), Susan Karcher (SAEWA), Rolf Widmer (Empa) and other interested ISO IWA 19 members.

### 3.3 Assurance system and traceability

One participant raised the need to ensure the consistent use of the Extended Producer Responsibility (EPR) term. For example, in the EPR definition this is presented as a policy tool while later in 4.4 on ‘assurance systems’ this is considered as a verification mechanism. There was also a request to clarify further based on an existing example on how EPR could be applied. Consumers are part of an EPR so they would need to be defined.

**Action item 8:** Revise the EPR definition and the text of Section 4.4 on ‘assurance systems’ by reflecting comments raised.

### 3.4 Scope of Annex: Worst Practices

Participants suggested to revise the table on Worst and Better Practices.

- Participants agreed that ‘Better Practices’ should not be used when describing the alternative processes to Worst Practices and that ‘Good Practices’ would be a better term. References to the Stockholm Convention BAT/BEP (SECTION VI Guidance/guideline by source category: Part III of Annex C) should be considered.
- It was also agreed to clearly prohibit the ‘open burning’ and refer to the Basel Convention Guidelines.

**Action item 9:** Revise the Annex A on Worst Practices by reflecting comments raised.

**Action item 10:** Revise the definition of Worst Practices by including the term ‘actual or suspected’ after ‘those practices which are known for their …’

### 4 Next steps and closure

Mathias Schluep explained the next steps in 2016 and 2017

- ISO IWA 19 members to send any sustained opposition to major issues with the Secretariat (deadline: 15 October 2016). Minor issues may be shared as well.

- ISO IWA 19 members to confirm their agreement to include their names in the Contributors list of the Guidance Principles.

- ISO IWA 19 Secretariat to submit Version 1.0 to ISO in December 2016.


- Develop a Concept Note on the Field Testing of the Guidance Principles and share it with ISO IWA 19 members for feedback. Carry out the field testing in two or more SRI participating countries in 2017.

- Review the Guidance Principles within the next 3 years, or earlier as needed (e.g. following pilot testing).

Mathias Schluep and Sonia Valdivia thanked the participants for their continued and valuable cooperation. They also thanked Sébastien Haye and Christine Carey for their support with the facilitation of the ISO IWA 19 Session #4.

With no additional remarks, Mathias Schluep closed the meeting at 12h00.
## Annex A – List of participants

### ISO IWA members

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<th>Name</th>
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<tr>
<td>1</td>
<td>Mr. Bartley, Ross</td>
<td>Bureau of International Recycling – BIR</td>
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<td>2</td>
<td>Ms. Carey, Christine</td>
<td>CAREY Research &amp; Consulting (CRC)</td>
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<td>3</td>
<td>Ms. Carlson, Raul</td>
<td>Swerea Swecast AB (SWEREA)</td>
<td>Sweden</td>
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<td>4</td>
<td>Mr. Castrillo, Paola</td>
<td>Vertech Group</td>
<td>Europe</td>
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<td>5</td>
<td>Ms. Deepali, Sinha</td>
<td>United Nations University - UNU</td>
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<td>6</td>
<td>Mr. Haye, Sébastien</td>
<td>E4tech</td>
<td>Switzerland</td>
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<td>7</td>
<td>Mr. Hinchliff, Daniel</td>
<td>Gesellschaft fuer International Zusammenarbeit - GIZ</td>
<td>Germany</td>
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<td>8</td>
<td>Ms. Karcher, Susanne</td>
<td>Southern African e-Waste Alliance - SAEWA</td>
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<td>United Nations University – UNU</td>
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<td>Ms. Mathieux, Fabrice</td>
<td>European Commission, Joint Research Centre - ECJRC</td>
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<td>Mr. Nallathambi, Muthusezihiyan</td>
<td>Confederation of Indian Industry – CII</td>
<td>India</td>
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<td>Mr. P. Parthasarathy</td>
<td>Organization to be filled in.</td>
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<td>Mr. Reddy, Sukumar</td>
<td>Kranphs Recyclers Pvt.Ltd</td>
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**Observers**

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<td>Mr. Shahrzad Manoochehri</td>
<td>World Resources Forum – WRF</td>
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<td>Next Steps &amp; Closing remarks</td>
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