



# **Processor Incentive Program (PIP) Guidebook for Processors**

May 2014  
(Version 8.2)

## Introduction: About This Guidebook

This Guidebook for Processors (“Guidebook”) has been prepared for RQO-approved, OES-contracted Primary Processors<sup>1</sup> (“Processors”) who have elected to participate in the Processor Incentive Program (“PIP”) of Ontario Electronic Stewardship (“OES”). This Guidebook does not supersede any legal requirements of Processors or any legal obligations that are set out in any agreements between the Processor and OES. OES reserves the right to modify the Guidebook at any time to provide the most current information regarding OES policies, processes and procedures.

This Guidebook describes the policies, processes and procedures relevant to PIP. PIP is a supplemental incentive program under Ontario’s diversion program for Waste Electronics and Electrical Equipment (“WEEE”). The program provides financial support for Processors providing collection, transportation and processing services to their clients.

The intent of this Guidebook is to assist Processors in understanding their responsibilities and the activities they need to complete in order to participate in this program and to be eligible to receive PIP incentives offered by OES.

---

1

RQO-approved Processors are primary processors who have registered and contracted with OES, and have been verified to the Recycler Qualification Program (RQP) by the *Recycler Qualification Office* (RQO). For more information on this process, please visit:

<http://www.ontarioelectronicstewardship.ca/your-role/service-provider/recycler-processor/qualification-program>

## Table of Contents

|   |    |
|---|----|
| Introduction: About This Guidebook .....                                      | 2  |
| Table of Contents .....   | 3  |
| Generator Site Registration .....   | 4  |
| Requesting a Generator ID number.....   | 4  |
| Generator IDs for Public-facing Generators.....                               | 5  |
| Public-facing Generator Site Checklist .....                                  | 5  |
| Completing the Generator Site Checklist for Public-Facing<br>Generators ..... | 6  |
| Generator Standards Declaration .....   | 7  |
| OES Waybill Requirements .....  | 8  |
| Claiming PIP Incentives .....   | 11 |

## Generator Site Registration

- All Processors who intend to claim PIP incentives with respect to Acceptable WEEE<sup>1</sup> shipped by or received from a Generator must register the Generator with OES and obtain a Generator ID number from OES prior to making an incentive claim. No incentives will be paid by OES unless a Generator ID number has been obtained and is stated on the OES Waybill.
- Each Generator will be assigned a unique ID number. Where a Generator deals with more than one Processor, each Processor will be assigned a unique ID number for dealing with that Generator.
- OES will not share Generator information with any other Processor.
- Processors with signed PIP Agreements (executed or in process) may add Generator sites to the OES database.
- During the transition period from October 1, 2012 to October 31, 2012, OES will register Generator sites and assign Generator ID numbers notwithstanding that OES may not yet have received a signed PIP Agreement from the Processor.
- Processors are responsible for providing Generator information to OES and must advise OES of any changes to such information.
- Collection events hosted by a Processor alone or jointly with a Generator require a Generator ID number and must<sup>2</sup> not be claimed as self-generated material.
- Generator IDs should be assigned prior to the pick-up or delivery of materials
- Natural persons who are carrying on Generator activities in a private capacity may not register as Generators unless they are engaged in an active, *bona fide* business.
- Requests for Generator IDs will be processed in the order of date of receipt by OES.
- OES reserves the right to assign Generator IDs at its sole discretion. Where OES intends to reject an application, OES will notify the Processor.
- Processors may only accept a maximum of 50 units per customer drop-off if claiming under self-generated material. All claims must be accompanied by an identification sheet with customer contact information, to be made available to OES at its discretion.

## Requesting a Generator ID number

To request a new Generator ID, Processors must complete and submit a *New Generator ID Request Form*. This form is available from OES.

---

<sup>1</sup> Acceptable WEEE is defined in the Processor Incentive Agreement as Ontario-sourced material listed in Schedule A of the Rules for Stewards, as amended by OES from time to time. Examples, including photographs, of Acceptable WEEE are provided on the OES website (Tab "The Program": Acceptable Electronics).

<sup>2</sup> Exceptions may apply, however, subject to OES approval.  
© Ontario Electronic Stewardship

## Generator IDs for Public-facing Generators

A public-facing Generator is a Generator who accepts Ontario-sourced WEEE from the public.

Public-facing Generators are required to carry out their activities in accordance with environmental, health and safety and operating standards established by OES. These standards (the Generator Standard) are set out in the Appendix.

To request an ID for a public-facing Generator, Processors must complete the New Generator ID Request form as above. Processors must also complete and submit a signed copy of the Generator Site Checklist and the Generator Standards Declaration Form.

OES will review the Generator Site Checklist and New Generator ID Request form. Processors will be contacted if there are any errors or omissions in these forms or OES may contact the Generator as necessary to validate the application.

## Public-facing Generator Site Checklist

The Generator Site Checklist is intended to ensure that public-facing Generators operate to the same standards as collection sites operating under the OES collection program.

All new applications for public-facing Generators registered with OES after November 1, 2012, must include a completed Generator Site Checklist. Processors will be allowed a grace period of 120 days from October 1, 2012 to complete a site assessment for existing public-facing Generators.

The Generator Site Checklist must be completed by the Processor during an onsite inspection of the Generator's facility.

- The top copy of the form, including the original signature of the Generator site representative, is to be retained by the Generator
- The second copy is to be retained by the Processor
- The third copy is to be provided to OES with the *New Generator ID Request form*

# Completing the Generator Site Checklist for Public-Facing Generators

The following guidelines will assist Processors in completing the Generator Site Checklist for public-facing Generators.

The Generator Site Checklist is **NOT** required for Generators who do not operate as Public-facing Generators.

*Date:* Date of site assessment.

*Gen #:* Generator ID number assigned by OES. Only to be used if a Generator ID number has been previously assigned to the location.

*Generator Name:* Name of organization applying to become a Generator site.  
*Address:* Address of the physical facility/location where WEEE will be collected.

*Site Approval section:* Please complete each box with a 'Y' for Yes and 'N' for No. Please add comments as required.

*Accessibility:* There should be adequate space for the site to be serviced in an efficient and safe manner. Where WEEE is collected in a roll-off bin, there will need to be adequate space to deliver and retrieve bins.

*Site Configuration:* The facility should have adequate resources to receive, store and handle the WEEE that is collected. To the extent possible, collected WEEE should be protected from inclement weather and to prevent pilferage. (Note that this does not mean that WEEE put to curbside by municipal residents must be covered at that point: the standard is intended to apply only when the WEEE is in the care and custody of the Generator). For Section 6 please provide detail in the comments field regarding the collection method.

*Safety, Security and Ops Procedures:* Public-facing sites should be safe and secure for the general public to visit. Material received from the public should be stored in a safe and secure manner. Pilfering and stripping of valuable materials should be prevented as much as possible. Adequate evidence of site safety and security must be provided. OES requires "privacy" language at approved Generators which informs the public about their responsibility to ensure their data is removed from devices dropped off at the Generator.

*Trainer:* The Generator site must clearly understand which WEEE material is eligible under the OES PI program. (Note that this does not prevent them from collecting non-program materials, provided such materials are clearly deducted from weights reported to OES). Information regarding eligible WEEE is available on the OES website. The Generator should have sufficient training to ensure the safety of its employees and the public in placing WEEE into the container at the collection site. (PPE refers to Personal Protective Equipment such as safety glasses and gloves).

*Documentation:* Documentation is required from the facility owner if different from the Generator to ensure the owner is aware that WEEE is being collected and stored at the facility. For example, where a collection event is held at a shopping plaza jointly with an event host, consent of the landlord would normally be required. To provide basic protection to the site and the public visiting the site, the Generator must carry general liability insurance which should cover risks associated with collected WEEE.

*Advertising & Promotion:* If the site wishes to be advertised on the OES public website—[www.recycleyourelectronics.ca](http://www.recycleyourelectronics.ca)—Generator hours of operation and any restrictions on access must be provided to OES by the Processor, and be kept current by the Processor. If the generator site wishes to promote itself as affiliated with the OES network, the *OES Affiliate logo identifier* for that purpose is available from OES. The OES and RECYCLE YOUR ELECTRONICS marks are the property of Ontario Electronic Stewardship; unauthorised use is prohibited.

Once complete, both the Generator and the Processor representative must sign the top copy of the Checklist.

## Generator Standards Declaration

The Generator Standards declaration must be signed by an individual capable of binding the Generator to the agreement. The Generator standard is similar to the OES collection site standard and helps ensure public-facing Generators are aware of their obligations under the program.

The Processor must submit the signed original to OES with the Generator Site Checklist.

OES reserves the right to review and inspect public-facing Generator sites. Generally, OES will contact Processors prior to contacting the Generator. Processors may accompany OES during a public-facing Generator site inspection, at its option. OES may review sites prior to approving a Generator ID application. Should a Generator site not demonstrate the requirements of the Generator Standard, the application may be rejected. Should an active Generator site be found not to be in compliance with the Generator standards then that site may have its Generator ID rescinded, terminated or suspended depending on the nature and severity of the of the non-conformance as determined by OES. No generator site shall be reinstated without a formal resolution to the non-conformance and re-approval by OES.

Generators that have their Generator ID rescinded terminated or suspended will not be eligible to participate in the program until the suspension is removed. Suspension periods may vary depending on the severity of the default. Suspensions may range from 6 months to permanent. Applications for reinstatement after the suspension period will require an OES onsite audit and subsequent OES approval. Processors may not claim for OES processor incentive reimbursement any supply of WEEE that is sourced from, or passes through, suspended generators or businesses associated with the suspended generator.

OES reserves the right to recover all incentives paid to processors for material generated by a non-compliant or terminated generator.

Under the terms of the PIP contract **all** generator sites are to provide processors with written consent providing OES access to the premises upon one days' notice to review and copy necessary supporting documents. OES may access publicly accessible locations at any time to confirm the site is operational and in accordance with the generator standard.

## OES Waybill Requirements

All Processors must use and complete an OES Waybill for each shipment of WEEE received into the Processor's facility. The Waybill is intended to verify and track eligible WEEE materials from the point of collection at the Generator through to the Processor.

### A.) *Waybill Requirements*

1. OES supplies pre-numbered Waybills to approved Processors.
2. Processors must use Waybills for every Generator shipment for which the Processor intends to claim PIP incentives.
3. A separate Waybill must be used for each unique pick-up or shipment from each Generator. One Waybill cannot include information for more than one Generator shipment.
4. All transactions between the Generator and the Processor must be recorded on a unique Waybill.
5. The Processor will be responsible for storage of Waybills provided by OES.
6. All parties must ensure the information provided is **accurate** and **all fields are complete**.
7. Waybills **MUST** be **signed and dated** by **both parties** to be considered complete (**Generator** and **Processor**). Waybills missing data or required signatures are invalid.
8. OES is not responsible for any lost, missing, illegible or unsigned Waybills.

**Note:** OES will not accept other documentation as proof of collection and shipment in lieu of an OES Waybill.

### B.) *Requesting Waybills*

OES will provide pre-numbered OES Waybills to Processors upon request. Processors should indicate the number of Waybills they require. OES requires two weeks' notice to provide Waybills to Processors.

OES will not distribute Waybills directly to Generator sites, or carriers.

*Waybill description*

- The Waybill is a three-part form. The forms are carbonless forms that allow for information to transfer to all 3 copies. Fields completed by a Generator should only be completed in pen on the Generator's copy.
  - **Top copy** is kept by the Generator.
  - **Middle copy** is sent by the Processor to OES with the Invoice package.
  - **Bottom copy** is kept by the Processor as its record of the Invoice package.
- Waybills are **pre-numbered**.
  - The Waybill number is located at the top right corner.
  - Waybills should be used in sequential order.
- All fields are numbered: instructions relating to a particular field are printed on the back of the Waybill.

C.) *How to Complete a Waybill*

The Processor must ensure completion of the following information on each Waybill:

- **Field # 1: Date:** Date when the WEEE was physically picked up from the Generator site, dropped off at or shipped to the Processor's site. This should correspond to the date on the relevant bill of lading, transport manifest, or pick-up order. This date must **not** be the processing date. Any Waybills dated after the date reported on the Processor's Certificate of Destruction will be rejected and will not be eligible for PIP incentive.
- **Field # 2: Generator:** OES Generator Site ID number assigned by OES (See section above Requesting a Generator ID Number), Site Name, Address, City, Province and Postal Code of where the WEEE was collected. Where amounts are reported as self-generated in accordance with the guidelines for self-generated WEEE, this information would include the Processor's self-Generator ID and information.
- **Field # 3:** Processor ID Number assigned by OES, Site Name, and Name of the Processor that receives WEEE from the Generator.
- **Field # 4: Generator** to supply the number of Shipping Containers used to transport each Category (i.e. Display Devices - one number for all 4 types of Display devices). This must be completed at time of shipment.
- **Field # 5:** Completed by the Processor that:
  - Supplies the *Net Weight* in kg (this is the weight of the material less

the shipping container and/or pallet weight) per each *Material Type* (i.e. Display Devices - one number for all 4 types of Display Devices);

- Identifies the *Number of Units* by WEEE Material type for each sub-material WEEE
  - For A and B Items specify unit count for each type listed
- Is required to weigh and allocate mixed material to each material type net weight category listed above, within the Mixed Program WEEE section of the Waybill.
- **Field # 6:** To be used for any comments by the Generator or the Processor, including a description of Mixed Program WEEE and/or Non-Program Material (consolidated amount). Non program material accompanying the shipment must be described and quantities provided and excluded from any PIP incentive claim.

- **Field # 7: Generator Declaration:** Date of signature, Name and Title of Authorized Person (print clearly), and Signature of the person representing the Generator Site. This must be completed at the time of pick up or shipment to the Processor. The individual making the declaration must be able to certify that they have physically have seen the material to provide a valid declaration. Note that the individual does not need to be an authorized signing officer of the Generator. Pre-stamped, pre-signed Waybills will no longer be accepted.
- **Field #8: Origin of Material:** the Generator must document if the WEEE is Residential (originating from single – family and/or multi-family residents) and/or Commercial (originating from non-residential sources). Please indicate a percentage of material originating from both residential and commercial sources (the sum must equal 100%).
- **Field # 9: Processor Declaration:** Date of the WEEE receipt, Name and Title of Authorized Person and Signature of the authorized person representing the Processor Site.

The OES verification process may include requesting copies of Waybills from both Processors and Generators or other documents evidencing the date of delivery to the Processor.

Only OES original Waybills will be accepted as evidence of eligibility for incentives. Please ensure that all Generators have OES Waybills at their disposal or that the carrier conducting the pick-up has original Waybills available to provide the Generator.

## Claiming PIP Incentives

Approved Processors (who have executed a Processor Incentive Agreement with OES) who have received Acceptable WEEE are eligible to claim PIP incentives. PIP incentive rates are specified in the OES PIP agreement, and subject to the terms of that agreement. Current PIP rates are also provided on the OES website.

Processors should submit invoices to OES twice per month.

Processors have 90 days to submit an invoice to OES from the date of pick-up stated on the OES Waybill. Waybills dated earlier than 90 days from the date of invoice to OES will not be accepted by OES.

## **A PIP claim package must contain the following:**

- An invoice on Processor letterhead
- OES invoice summary spreadsheet template
- OES copy of the OES Waybill
- Completed and signed Certificate of Destruction

For freight incentive claims, a copy of the 3<sup>rd</sup> party bill of lading, pro-bill, manifest, freight receipt or combined or multi-modal transport document, courier packing slip, daily trucking manifest or log book for Processor-owned vehicles.

(Note: OES does NOT require any information regarding the actual amount paid for freight)

A freight document to support a transportation incentive claim must provide detail supporting the location of pickup (Generator facility) and the destination (Processor facility).

### *Transport incentive claims with respect to Processor round trips (“milk runs”)*

Where a Processor collects WEEE from several Generator sites under a round trip (known as “milk runs”), the supporting transport document should list all of the locations in order of travel. Please combine the related bills of lading (BOLS) with the transport document. When entering this information on the Invoice Submission template please enter the same transport document number for each BOL and group them in order of pickup.

### *Submitting PIP Claims*

The claim package must be submitted in the following order:

1. Processor Invoice
2. OES Invoice Summary Template
3. Certificate of Destruction (COD) if for entire batch
4. Combine OES Waybill and associated Freight Document for each Waybill

If Processor issues a separate COD for each Waybill, please combine the following with a paper clip or staple:

- OES Waybill
- Associated COD
- Associated Freight Documentation

All supporting materials must be complete. Any claim packages submitted containing incomplete information, errors or discrepancies will be rejected in full and returned to the Processor for resolution. The Processor has up to the 90-day period to submit a corrected invoice package.

**Processors must submit claim packages to:**

Attention: PIP Claims  
Ontario Electronic Stewardship  
885 Don Mills Road, Suite 400  
Toronto ON M3C 1V9

The verification process which allows OES to confirm that the information submitted for payment meets OES requirements, and the terms and conditions outlined in the PIP Agreement, is dependent on the accuracy and completeness of Processor submissions. OES will process PIP claim packages in the order received.

Once OES is satisfied that the Processor's claim is complete and accurate in all respects, OES will process payment for the Processor.

## For More Information

An online version of this PIP Guidebook can be found in the Service Provider/Recycler or Processor section of the OES web site:

For questions regarding the policies and procedures described in the Guidebook, please contact the following:

*Processor Incentive Program*                      [operations@ontarioelectronicstewardship.ca](mailto:operations@ontarioelectronicstewardship.ca)

*Affiliate (Generator) Assistance*                      [operations@ontarioelectronicstewardship.ca](mailto:operations@ontarioelectronicstewardship.ca)

*Branding, Advertising & Promotion*                      [marketing@ontarioelectronicstewardship.ca](mailto:marketing@ontarioelectronicstewardship.ca)

*OES Program / Other*                      [customerservice@ontarioelectronicstewardship.ca](mailto:customerservice@ontarioelectronicstewardship.ca)

**1-888-646-1820**