



Guidebook for Processors
Processor Incentive Program (PIP)

(Version 8.3)

Introduction: About This Guidebook

This Guidebook for Processors (“Guidebook”) has been prepared for RQO- approved, OES-contracted Primary Processors¹ (“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 (“W EEE”). 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.

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>

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Generator Site Registration

To be eligible to participate in the PIP program generators must register online using the Material Tracking System (MTS) Processors have been provided User Manuals for generators and received training on how to register a generator. Please reference this material.

- All Processors who intend to claim PIP incentives with respect to Acceptable WEEE 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 the claim transacted thru MTS.
- Each Generator will be assigned a unique ID number.
- OES will not share Generator information.
- Processors are responsible for maintaining the accuracy of Generator information and must ensure Generators update and maintain the MTS system as necessary
- Collection events must be registered within the MTS system and must not be claimed as self-generated material.
- Generator IDs must be assigned prior to the pick-up 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.
- Generator setups will be processed in the order of date of receipt by OES. OES may from time to time require additional information from generators prior to the issuance of the Generator ID. It is the generators responsibility to ensure all information provided is complete, accurate and current. The site and processor are responsible for meeting and exhibiting its ability to meet the requirements of the generator standard. Any site that does not meet these requirements may not be issued a generator ID or access to the MTS system. Those that cannot meet the requirements or do not provide usable accurate information will be rejected and may be reviewed at a future date.
- 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.

Please reference the Generator Guidebook for a step by step description of the registration process including definitions and explanations.

<http://ontarioelectronicstewardship.ca/wp-content/uploads/2015/01/OES-generator-guidebook.pdf>

Processors are responsible for training and educating generators on the specific requirements of the PIP program. The requirements of the PIP program are outlined in the Processor Incentive Agreement each processor has entered into with OES.

Acceptable WEEE” means waste electrical and electronic equipment (WEEE) that has been designated by the Minister of the Environment for end-of-life management by OES. For greater clarity, only Ontario-Sourced material (per 1.1 s) originating in the province of Ontario and items identified by the Minister as eligible in Appendix A of the program plan is acceptable. Among other things, this continues to exclude any materials in the Floor Standing Printing Device or Floor-standing Copying Device or Floor Standing Multi- Function Device sub-categories within the Printing, Copying and Multifunction Devices category. Only WEEE proven by the Processor to be generated in Ontario and on the list of acceptable material may be processed under the OES program.

Generators

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 Processor Incentive Agreement.

The Generator Site Checklist is intended to ensure that all Generators operate to the same standards as collection sites operating under the OES collection program. It is the responsibility of both the processor and the generator to ensure the processor attends and inspects the site to ensure all requirements are met. If an application for a generator is made and it is found the processor did not attend the site perform an onsite inspection the generator may not be granted a generator ID. If this is found to be the case after a generator ID has been granted OES may suspend the generator.

The Generator Site Checklist must be completed by the Processor during an onsite inspection of the Generator’s facility. OES at its sole discretion may wave this requirement for some situations.

The following guidelines will assist Processors in completing the Generator Site Checklist.

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. (PPE refers to Personal Protective Equipment such as safety glasses and gloves). It is a requirement of the processor to exhibit that material meets the eligibility requirements under the program if requested. Data and traceability requirements should be outlined to the generator to ensure compliance to the program.

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.

Generator Declaration, Registration or Transactions in MTS.

Processors must register all sites that generate WEEE, each individual location must be registered that collects e-waste that is related to a PIP claim.

Only representatives of the generator site should be registering or completing transactions in MTS on behalf of their site. It is a requirement of the program that the Generators complete their own transactions and declarations. The password that is assigned to the generator is for the sole use of the generator to access the MTS system and should never be shared with other organizations. Processor cannot complete transactions on the generators behalf as this is a conflict of interest. Any processor caught performing transactions for a Generator will be in breach of the PIP Contract and the generator suspended immediately.

Generator Approval

OES reserves the right to request additional information regarding any applicant to the PIP program to assess eligibility. OES may from time to time perform on site reviews of new applicants to confirm the site meets the requirements of the program and that the processor has provided on site awareness training regarding the program and completed a physical assessment of the site. Sites that do not meet the requirements of the program will not be provided a generator number. The processor may request a re-visit of a site that has failed the original site review. This re-visit may occur when OES has completed all other generator requests and resources are available. Any site that fails two pre-registration reviews will not be eligible to be reviewed again.

Site Review

OES reserves the right to review and inspect Generator sites. Generally, OES will contact Processors prior to contacting the Generator. Processors may accompany OES during a Generator site inspection, at its option. Should an active Generator site be found not to be in compliance with the program plan the Generator ID may be 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.

As per the PIP contract sites are granted a 24hr cure period for a default related to the Generator standard. Should OES return to the site and find another Generator Standard default the site will be suspended immediately.

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. Waybills are available thru MTS as part of the shipping process.
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. All parties must ensure the information provided is accurate and all fields are complete.
6. 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 system generated waybill.

Waybill description

- The Waybill is a system Generated form. Each party in the shipping process is responsible for printing a waybill and completing it. Once completed it must be uploaded back into the MTS system.

The Generator Guidebook provides a detailed description on how to initiate, complete and upload a generator waybill, please review this document.

Claiming PIP Incentives

Approved Processors (who have executed a Processor Incentive Agreement with OES) who have received Acceptable W EEE 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 follow the process outlined in the Processor MTS Guidebook to ensure claims are entered correctly.

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.

As per the processor incentive contract incomplete, illegible, inaccurate or inordinately delayed claims will result in delays or non-payment of incentives. Processors will be notified of any rejections and given the opportunity to correct minor discrepancies at OES's discretion.

To be eligible for payment a PIP claim package within MTS must contain the following:

- An invoice on Processor letterhead
- Processor and Generator copies of the Waybill
- A transportation BOL from the actual carrier
- Completed and signed Certificate of Destruction

For freight incentive claims, a copy of the 3rd 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).

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.

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.

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. OES may contact processors and generators of WEEE to validate claims.

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 on 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

Affiliate (Generator) Assistance operations@ontarioelectronicstewardship.ca

OES Program / Other customerservice@ontarioelectronicstewardship.ca