



Processor Incentive (PI) Guidebook

May, 2011

Edition 3

Processor Incentive (PI) Guidebook

Confidential Disclosure

The second edition of the *OES Processor Incentive (PI) Guidebook* is in effect from November, 2010 until such time as a revised version is issued. This edition replaces the original, which was posted on October 4, 2010.

The Guidebook provides guidance for OES-Approved Primary Processors¹ (Processors) but does not supersede any legal requirements of Processors or any legal obligations that are set out in any agreements between the Approved Processor and Ontario Electronic Stewardship (OES). OES reserves the right to modify the Guidebook at any time.

About this Guide

In this guide you will find the following information:

- OES Contact Information
- Generator Registration
- Reporting Requirements including Rules, Data requirements, and Instructions for Completing the Waybill Process
- Sample of Completed Waybill
- Invoicing Procedure

For any questions regarding the **WEEE** (Waste Electrical and Electronic Equipment) Program, please contact Ontario Electronic Stewardship:

P.O. Box 17022
69 Yonge Street
Toronto Ontario
M5E 1Y2

FAX: 416-594-3463

TEL: **1-888-646-1820 EXT 2**

E-mail: services@ontarioelectronicstewardship.ca

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Edition 2: Posted November, 2010
Edition 3: Posted May, 2011

¹ OES-Approved Processors (Processors) are primary processors who have registered with OES and completed the ERS third-party audit for their own facility as well as their downstream facilities until the end of life for each WEEE sub-component. For more information on this process please visit [Recycler or Processor](#) page of our website.

Introduction

This guidebook describes the new Processor Incentive (PI) program under Ontario's diversion program for Waste Electronics and Electrical Equipment (WEEE). The program provides financial support for OES Approved Primary Processors (Processors) to provide collection, transportation and processing services to their residential as well as IC&I WEEE clients.

The intent of this guide is to provide a roadmap that helps Processors understand their responsibilities and the activities that they need to complete in order to participate in this program and be eligible to receive the PI incentive from Ontario Electronic Stewardship.

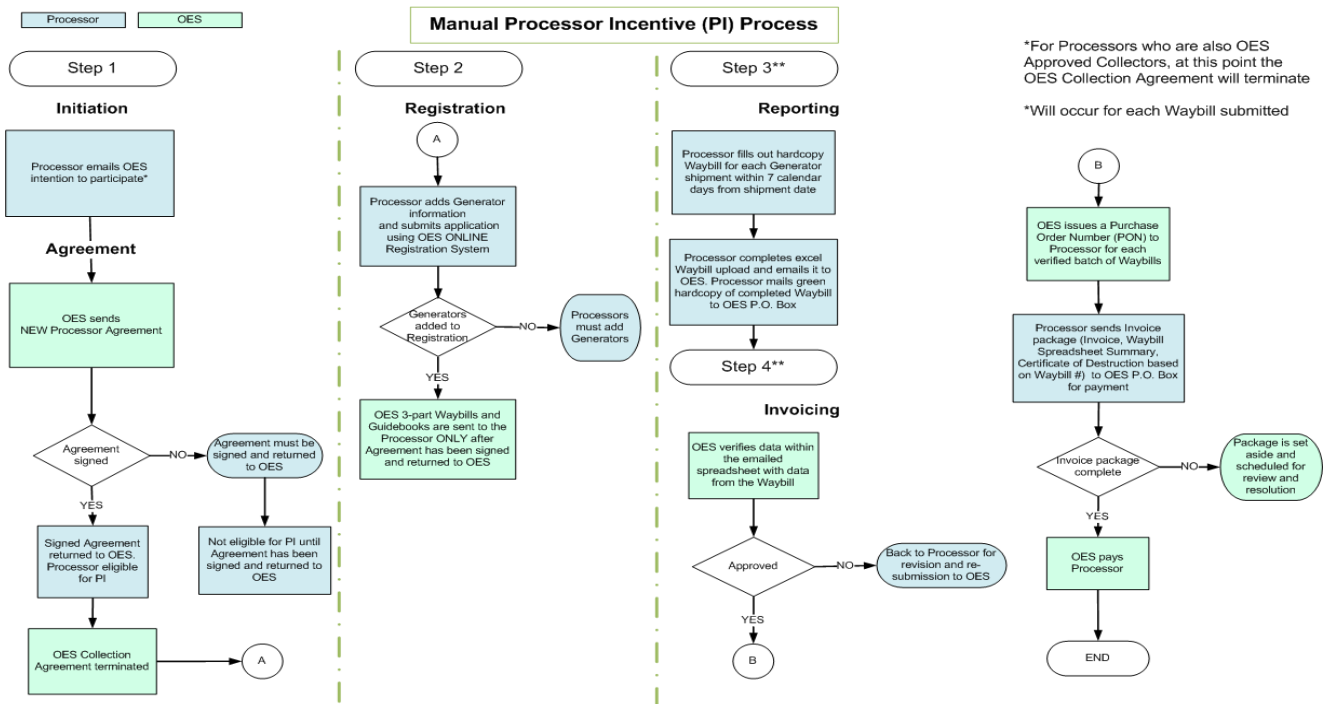
Processor Incentive (PI) Process Flow Overview

The flow of WEEE under the PI program is unique. The flowchart below provides a visual overview of the PI program. Included within this guide are procedures for completing the PI Agreement, registering Generators, reporting on WEEE collected and PI invoicing.

This guidebook covers each step of the process in detail. The four main steps include:

- Step #1 Initiation and PI Agreement
- Step #2 Registration Process for Clients (known as Generators)
- Step #3 OES Reporting Requirements and Waybill Process, and
- Step #4 OES PI Invoicing Procedure

Each section of this guidebook provides further detail on these steps.



Step #1: Initiation and PI Agreement

The Processor expresses their interest to participate in the PI program by emailing services@ontarioelectronicstewardship.ca. Upon receipt of this request, OES provides a copy of the new Processor Agreement to the Processor who reviews and signs the contract. After the Agreement is completed and signed it must be returned to OES.

It is important to note that participation in the PI program will result in the termination of any existing Collection Agreement between the Processor and OES.

The existing Collection Agreement will terminate upon the signing of the New Processor Agreement. Furthermore, the Processor is not eligible for the PI until the Agreement is completed, signed and returned to OES.

Step #2: Registration Process for Generator Sites

After expressing interest in participating in the PI Program, the Processor's application is updated with a Generator information tab.

Any Processor who operates a self-managed collection site where material *is moved* from collection to processing will need to register as a self generator on the Generator Information Tab. Clients who drop off material at the Processor's site in excess of 50 units must be registered as a Generator by the Processor.² Materials that are dropped off at a Processor's Self Collection Site that *fall below* the threshold (i.e. less than 50 units) are to be included on the Processor's Self Collection Site Waybill that is described in Step #3.

The Processor is responsible for entering the Generator's site address and contact information into the system to receive an OES Generator Site Number which is necessary to complete the Waybill material tracking. This site number will be generated by and displayed in the Online Registration System.

A Generator Site must be registered by the Processor and an OES site number created in the system within 7 calendar days of any pickup.


To register your clients as Generators:

1. Email services@ontarioelectronicstewardship.ca to provide OES with your Application Number, Name and Contact Information. This will signal your intention to participate in the PI Program. Please use the Application Number generated by OES when your company registered as a Primary Processor.
2. Connect to <https://mtsreg.oesdatasystem.ca/login.aspx>
3. Log on using your Application Number, Email Address and Password (If you forgot your Application Number or Password please email services@ontarioelectronicstewardship.ca)
4. Click on the **Service Provider** tab
5. Click on the **Primary Processor** tab
6. Click on the **ICI Generators** tab: add the following site information for each Generator (shown below):
 - Generator Site Name: Customer name where the pick-ups will be made. If pick-ups are made from more than one location for the same company, please enter each location on a separate row.
 - Address: Site address for the Generator

² A unit is characterized as an individual WEEE item. Each unit is to be reported separately regardless of its ability to enhance or expand functionality of another unit. Example: within a computer system each unit must be reported separately such as a computer monitor, CPU, mouse, keyboard, external optical drive, printer, etc.

- City: City for the Generator
- Province: Province for the Generator
- Postal Code: Postal Code for the Generator
- Main Contact Name: Generator
- Contact Phone #:for the Generator's Main Contact
- Contact Email: Email address for the Generator's Main Contact
- Location Type: Generator site regional location. There are two options: 1 = Southern Ontario and 2 = Northern Ontario (the divide is the French River)
- Secondary Generator Type: Identify the Generator's business type. Options outlined below.
 - Municipal
 - Provincial
 - Federal
 - Institutional (hospital, university, college, schools)
 - Reuse/ Refurb/ Recycler For profit
 - Reuse/ Refurb/ Recycler Not for profit
 - Retail
 - OEM
 - Property manager for building
 - Industrial/Office/WarehouseWaste management hauler/logistics
 - Unknown
 - Processor self-collection

Generator Registration Tab in OES Online Application and Registration System


 Ontario Electronic Stewardship


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Please fill out the applicable forms:

Registrant ID: 3216 [Log Out](#)

Revised (Phase 1 and 2) WEEE ICI Generators for Site - Primary Processing Site 1

| Site Name | Address 1 | Address 2 | City | Province | Postal Code | Phone | Main Contact Name | Active |
|------------------------|-----------|-----------|------|----------|-------------|-------|--------------------------|--------|
| ▼ | ▼ | ▼ | ▼ | ▼ | ▼ | ▼ | ▼ | ▼ |
| No records to display. | | | | | | | | |
| Add Another Site | | | | | | | Deactivate Selected Site | |


[Download PDF file of Application](#)

Generator Site Information Entry Screen

| | | | |
|---|--|---------------------------|-------------|
| Site Name: | | Phone: | |
| Address 1: | | Main Contact Name: | |
| Address 2: | | Email Address: | |
| City: | | Location Type: | Select ▾ |
| Province: | | Secondary Generator Type: | Municipal ▾ |
| Postal Code: | | | |
| <input type="button" value="Insert"/> <input type="button" value="Cancel"/> | | | |

7. The online system generates a unique OES Site Number for each Generator location. The Processor is responsible for disseminating the Generator Site number to each Generator.
8. Click on the Insert button to save entered data in the system.
9. If Processors have a large list of companies to upload, please email them to OES in the following format:

Template for Generator Information Upload

| List for Waybill | Material Type | | | | | | | | | | | | | Units | | | | | Origin of Material (%) | | | | | | |
|----------------------------|---------------|--------------------------------------|-----------------------------|--|---------------|--------------|---------------|--------------|---------------|--------------|---------------|--------------|---------------------------|-------------------------------------|-------------------------|------------------------|----------|-----------------|------------------------|----------------|---------|----------|-------------------------|-------------|------------|
| Processor Applicant number | Waybill # | Date (DD-MM-YYYY) Ex: 01-Jan-2011 | Generator Site # (4 digits) | Processor Applicant Number and Generation Site # | A - # of SC's | A - # of KGs | B - # of SC's | B - # of KGs | C - # of SC's | C - # of KGs | F - # of SC's | F - # of KGs | Mixed Program - # of SC's | Mixed Program - # of material 1 KGs | Non-Program - # of SC's | Non-Program - # of KGs | TV (CRT) | TV (Flat Panel) | Monitor (CRT) | Monitor (Flat) | Desktop | Portable | Floor standing printers | Residential | Commercial |

- Please use the Excel template for Generator Site Worksheet found on the OES Stakeholder Forum website (<http://forum.ontarioelectronicstewardship.ca/wp-content/uploads/2010/10/Meeting2Sept27Documents.pdf>).
- To protect your data, **please encrypt and password protect** the Excel Spreadsheet prior to sending to OES.

Special Notes


- Only Approved Processors with signed PI Agreements (executed or in process) may add Generator sites. As a Processor, you will not see the required tab until you have completed an ERS audit and received OES approval as an OES Approved Primary Processor (Processor).
- Only Processors with complete PI Agreements who follow the OES Reporting and Waybill requirements are eligible to receive PI payments. OES will not process any payments until the Processor submits completed Certificates of Destruction (COD) for each Waybill that was processed.
- Processors MUST update any and all changes to Generator site information in the online system in the month that the processor became aware of the change.

Important!

**Each Processing site has its own unique list of Generators.
This information will not be shared with any other Processor.**

Step #3: OES Reporting Requirements and Waybill Process

All Processors must use and complete a Waybill for each shipment. The Waybill is intended to verify and track eligible WEEE³ materials from the point of collection at the Generator through to the Processor.

| | | | | |
|---|--|---|----------------------------------|---------------------|
|  | | 26 Wellington Street East, Suite 601 Toronto, Ontario M5E 1S2 Tel: 1-888-646-1820 ext. 2 email: services@ontarioelectronicstewardship.ca | | |
| | | Date ¹ : NOVEMBER 12, 2010 OES WAYBILL NUMBER: W000003 | | |
| GENERATOR² | | PROCESSOR³ | | |
| OES Site Number MS 6655 - 0012 | | OES Site Number MS 6655 | | |
| Site Name Gen Site Name | | Site Name PROCESSORSITE1 | | |
| Address 123 Main St. | | Processor Name WELLINGTONLANE | | |
| City KITCHENER | | | | |
| Province/Postal Code ON - N4J 1G0 | | | | |
| GENERATOR⁴ | | PROCESSOR⁵ | | |
| Shipping Container | WEEE Material Type | Net Weight in KGs | # of Units by WEEE Material Type | |
| # of Pallets/Gaylords/Units | | | | |
| 2 | Display Devices TVs (CRT) TVs (Flat Panel) Monitors (CRT) Monitors (Flat Panel) | A | 1062 | 7 22 13 15 |
| 1 | Computers Desktop Computers Portable Computers | B | 459 | 22 45 |
| 2 | Other Eligible WEEE Keyboards, Mice, Hard/Optical Drives Modems, Desktop Printers Telephones and Answering Machines Cellular Devices and Pagers Image, Audio and Video Devices | C | 1057 | X |
| 3 | Floor-Standing Printing, Copying and Multi-Function Devices Printing Devices Copying and Multi-Function Devices | F | 891 | 10 |
| 2 | Mixed Program WEEE (Please identify composition in the Comment Box.) | | | X |
| 2 | Non-Program Material (Total Amount) | | 456 | X |
| Please provide comments. ⁶ FOR MIXED PROGRAM MATERIAL: 40% are Peripherals + 60% are CPU's | | | | |
| GENERATOR⁷ Declaration: I declare that: 1) the information that is provided on the Generator part of this Waybill is accurate and complete; 2) material has been used in Ontario and is eligible under the current WEEE Program Plan except where noted in Non-Program Material above; 3) I have authority to bind the organization identified above as the Generator. | | | | |
| ORIGIN OF Material⁸: Residential <input checked="" type="checkbox"/> 60% Commercial <input checked="" type="checkbox"/> 40% | | | | |
| Date NOV. 12, 2010 | | | | |
| Name and Title of Authorized Person STAN SMYTH - OPERATIONS MANAGER | | | | |
| Signature of Authorized Person <i>S Smyth</i> | | | | |
| PROCESSOR⁹ Declaration: I declare that: 1) the information that I have provided on the Processor part of this Waybill is accurate and complete; 2) I have authority to bind the organization identified above as the Processor. | | | | |
| Date NOV. 13, 2010 | | | | |
| Name and Title of Authorized Person DEBBIE DELISCE | | | | |
| Signature of Authorized Person <i>Debbie Delisale</i> | | | | |

³ Please visit <http://www.ontarioelectronicstewardship.ca/program/accepted-electronics> for a list of Eligible Phase 1 and Phase 2 WEEE materials.

a) Waybill Requirements

- OES supplies Waybills to Processors with executed PI Agreements.
- Processors use Waybills for every Generator shipment that pertains to the PI.
- A separate Waybill must be used for each unique pick-up from each Generator. One Waybill cannot include information for more than one Generator shipment.
- All transactions between that Generator and the Processor must be recorded on a unique Waybill document.
- Each Waybill must be completed within 7 calendar days of shipment and submitted to OES.
- The Processor will be responsible for storage of Waybills provided by OES.
- Ensure that the information provided is **accurate** and **all fields are complete**.
- Waybills **MUST** be **signed by both parties** to be considered complete (**Generator [blue fields]** and **Processor [green fields]**). Waybills missing data or one or both signatures are invalid.
- OES is not responsible for any lost, missing, illegible or unsigned Waybills.
- **Note:** OES may not accept other documentation as proof of collection and shipment in lieu of an OES Waybill. This is solely subject to OES approval. Approval must be received in advance of using other forms.

b) Distributing Waybills

1) Waybill description

- The Waybill is a 3-part Form (**see page 7**).
 - White
 - Green
 - Blue
- Waybills are **pre-numbered**.
 - Waybill Number is located at the top right side.
 - Should be used in sequential order.
- All fields are numbered and defined on the back of the Waybill.

2) For completed and signed Waybills:

- **White copy** is kept by the Generator after signing to confirm that the shipment has been picked up by the Processor.
- **Green copy** is sent by the Processor to OES with the Invoice package. Please see Step #4 for invoicing procedure.
- **Blue copy** is kept by the Processor as its record of the Invoice package.

c) How to Complete a Hardcopy Waybill

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

- Field # 1: **Date** when the WEEE was picked up from the Generator site or dropped off at the Processor's site.
- Field # 2: Generator **OES Site #, Site Name, Address, City, Province and Postal code** of where the WEEE was collected.
- Field # 3: Add the **Site #, Site Name, Processor Name of the OES-approved Processor** which receives Eligible 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).
- Field # 5: Completed by the Processor who:
 - supplies the **Net Weight in kg** 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 (i.e. a unit count for TVs [CRT], TVs [Flat Panel]; Monitors [CRT] and Monitors [Flat Panel]); and
 - 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).
- Field # 7: Generator Declaration, Date of the WEEE pickup, Name and Title of Authorized Person (print clearly), and Signature of the authorized person representing the Generator Site.
- Field #8: Origin of Material: the Generator will determine 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 to 100%).
- Field # 9: Processor Declaration, Date of the WEEE pick-up, Name and Title of Authorized Person and Signature of the authorized person representing the Processor Site.

d) How to Submit a Hardcopy Waybill

- 1) After completing the hardcopy Waybill (see above) the Processor will create a Waybill spreadsheet using the Excel template for Waybill upload found on the OES Stakeholder Forum website (<http://forum.ontarioelectronicstewardship.ca/wp-content/uploads/2010/10/Meeting2Sept27Documents.pdf>).
- 2) The Processor will then email the password protected Waybill spreadsheet to services@ontarioelectronicstewardship.ca. The email should include the following in the subject line: name of processor; processor OES number MS****. The Processor will either provide a secondary email to services@email address or call 1 888 646 1820 ext 2 to provide a password verbally.
 - Processors will complete this process at least once a month. For those receiving a large volume of Waybills it is recommended that a weekly submission is performed.
- 3) Processors will mail the green hardcopy of the completed Waybills, for each shipment to:

**P.O. Box 17022
Ontario Electronic Stewardship
69 Yonge St.
Toronto, ON M5E 1Y2**

Please do not courier the Waybills. This P.O. Box accepts only Canada Post mail.

e) How to Complete a Waybill When the Generator does not have a Waybill in Time for the Pick-Up

When a remote Generator contacts the Processor, the Processor shall:

- Send the Waybill with the truck for the pick-up.

If this is not possible; then the Processor shall:

- Assign a Waybill document (provided by OES) to the shipment/pick-up.
- Fill out the Waybill document information in the Generator and Processor fields, including pick-up date.
- **Fax a copy of the Waybill to the Generator.**

The Generator shall:

- Complete the faxed copy as required – including number of shipping containers, comments, and completing the Generator declaration.
- Make a photocopy of the completed Waybill for your records.
- Fax a copy of the Waybill back to the Processor.

The Driver shall:

- Deliver the WEEE to the Processor.

The Processor shall:

- Complete the remainder of the original Waybill (weight and unit count).
- Complete the Processor Declaration section of the original Waybill.

f) How to Submit a Faxed Waybill

- 1) After completing the Waybill (see above) the Processor will create a Waybill spreadsheet using the Excel template for Waybill upload found on the OES Stakeholder Forum website (<http://forum.ontarioelectronicstewardship.ca/wp-content/uploads/2010/10/Meeting2Sept27Documents.pdf>).
- 2) The Processor will then email the password protected Waybill spreadsheet to services@ontarioelectronicstewardship.ca. The email should include the following in the subject line: name of processor; processor OES number MS****. The Processor will either provide a secondary email to services@email address or call 1 888 646 1820 ext 2 to provide a password verbally.
 - Processors will complete this process at least once a month. For those receiving a large volume of Waybills it is recommended that a weekly submission is performed.
- 3) The Processor will attach the Generator's faxed copy of the Waybill to all copies of the original Waybill and mail to OES.

**P.O. Box 17022
Ontario Electronic Stewardship
69 Yonge St.
Toronto, ON M5E 1Y2**

Please do not courier the Waybills. This P.O. Box accepts only Canada Post mail.

Step #4: OES PI Invoicing Procedure

Overview of Payment Process

Until further notice, Processors are asked to mail their Waybills and Certificates of Destruction to OES and email their Excel Waybill spreadsheet to services@ontarioelectronicstewardship.ca for verification and payment purposes. The email should include the following in the subject line: name of processor; processor OES number MS****. When emailing data to OES, ensure files are encrypted if possible. Once the online OES Material Tracking System (MTS) is launched this guidebook will be revised to provide instructions for using the OES Online Reporting System.

The verification process allows OES to confirm that the information submitted for payment meets OES requirements, and the terms and conditions outlined in the Processor Incentive Agreement.

Processor Incentive (PI) payment

The PI payment is calculated based on the net weight of eligible WEEE received and processed, and the recycling efficiency rate calculated for each category of WEEE. Incentive rates for each Processor are maintained by OES. Payment terms are identified in the PI Agreement.

- OES verifies the data within the submitted Waybill spreadsheet and hardcopy Waybills.

If there are NO discrepancies between data submitted and the backup documentation supplied by the Processor then:

- a) OES will assign a Purchase Order Number (PON) to each verified batch of Waybills.
- b) OES will forward a PON and Waybill spreadsheet summary to the Processor.

If there are discrepancies between the data submitted and the backup documentation then:

- a) OES will identify errors and omissions and make necessary changes to the Waybill spreadsheet.
- b) OES will then request the Processor to approve changes via email within 3 business days. If the Processor does not accept the corrections on the Waybill spreadsheet summary, OES will not compensate the processor for the disputed amount until a resolution is reached.
- c) OES will assign a Purchase Order Number (PON) to each verified batch of Waybills.
- d) OES will forward a PON and Waybill spreadsheet summary of the submission to the Processor.

After completion of the verification process:

- On receipt of a PON, the Processor will invoice OES in a timely manner. The invoice MUST reference the PON issued to the Processor.
- The Processor will attach the Waybill spreadsheet summary and provide OES with a copy of a Certificate of Destruction (COD) for each Waybill submitted.

- OES will only pay on Waybills submitted with a COD. The COD must assert that the materials listed on the Waybills were processed as per the Processing Incentive Agreement.
- Invoices supported by verified Waybill spreadsheet summaries are sent directly to Accounts Payable for processing and payment, as per the PI agreement Clause 8.3, 30 days from date invoice is submitted to OES – not the date of the invoice.
- Invoices without a PON and verified submission summary report are set aside and scheduled for review and resolution as per Clauses 8.1 & 8.2 of the PI agreement.