

此为《OBP-NEU-STD-V2.2 OBP NEUTRALIZATION SERVICES PROVIDER STANDARD》的中文译本。
英文原版文件已附在译本之后。

趋海塑料 (OCEAN BOUND PLASTIC) 中和子计划



OBP 中和服务提供商标准

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参考文件

本标准应与以下补充文件一起使用：

- OBP-DEF-GUI: 趋海塑料计划定义与附录
- OBP-TEM-GUI: 趋海塑料计划模板
- OBP-LOG-GUI: 趋海塑料标识使用和声明指南
- OBP-FAQ-GUI: 趋海塑料常见问题解答
- OBP-REM-GUI: 趋海塑料远程和监督/见证审核指南
- OBP-ROS-GUI: 趋海塑料对其他标准和审核的认可
- OBP-FEE-CON: 趋海塑料费用结构
- 所有文件均可在趋海塑料计划网站 (<http://www.obpcert.org>) 的“文档中心”部分获取。

修订和更新

如有需要，本标准将进行修订，以纳入不会实质性改变标准内容及其要求的改进或澄清。进一步的重大修订计划将在趋海塑料计划网站上公布。请将您对本标准的任何意见发送至 contact@obpcert.org

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1. 引言

Zero Plastic Oceans 的目标是通过制定激励措施和模型，促进收集趋海塑料¹(OBP)，以保护海洋免受来自陆基活动的塑料废物持续泄漏的影响。

趋海塑料认证计划旨在通过增加价值，鼓励在趋海塑料到达海洋之前对其进行有效收集和处理，从而将其从环境中清除。该计划由两个子计划组成：趋海塑料回收子计划和趋海塑料中和子计划。

当趋海塑料具有商业可回收性²时，可以通过认证其来源和可追溯性来鼓励其收集和回收，通过趋海塑料回收子计划赋予其更高的市场价值。该监管链根据组织在链中所处的环节，使用趋海塑料收集组织标准、趋海塑料回收组织标准和趋海塑料品牌标准进行认证。

当趋海塑料不具有商业可回收性³时，可以通过趋海塑料中和子计划认证其收集和最终处理过程来鼓励该行为。在此模型中，塑料生产者或用户可以通过购买趋海塑料信用额，从自然环境中清除确定数量的塑料废物，从而为改善环境做出贡献。该模型使用趋海塑料中和和服务提供商标准和趋海塑料塑料生产者和用户标准进行认证。

组织可以为一个或两个子计划进行认证，因为它们是互补的解决方案。同时使用两个子计划在经济效率方面是合理的，因为所有趋海塑料可以一次收集和出售。从环境角度来看也是如此，因为只有同时处理商业可回收和不可商业回收的趋海塑料，我们才能产生真正的影响。

愿意为员工和非正式收集者（独立收集者）提供增强社会效益的收集趋海塑料的组织，可以额外认证社会+趋海塑料组件。

¹ 趋海塑料，如 OBP-DEF-GUI 中所定义，是指将被水流、风、河流或潮汐作用带入海洋的塑料垃圾。

² 商业可回收趋海塑料，如 OBP-DEF-GUI 中所定义，意味着趋海塑料在技术上是可回收的，并且可以在当地以对拾荒者或收集组织有吸引力的价格出售给回收商。目前，特别是在趋海塑料泄漏入海洋的国家，相当一部分技术上可回收的趋海塑料不幸地不具备商业可回收性。

³ 不可商业回收趋海塑料，如 OBP-DEF-GUI 中所定义，意味着趋海塑料无法以有吸引力的价格出售，但也包括技术上不可回收的产品或包装（因为使用的树脂、不同材料的混合或因为它们损坏严重）。

2. 术语和定义

本档中大写字母用于标示包含在 OBP-DEF-GUI 中可用定义的词语。缩写的含义也可在同一 OBP-DEF-GUI 文件中找到。

3. 范围

本标准适用于任何参与或希望参与为中和目的而进行废弃塑料收集和环境清理的组织（营利性、非营利性、政府或非政府），以证明其收集的塑料来源为趋海塑料，并能够发行趋海塑料信用额。趋海塑料信用额是经第三方验证的证据，证明该组织已根据本标准的要求，有效地从环境中清除了特定重量的不可商业回收趋海塑料。

本标准涵盖与趋海塑料收集直至其通过批准的处理方式进行处理相关的活动。这些活动可能包括以下部分或全部内容：

- 收集（通过自有方式或向独立收集者或供应商集团成员购买）。
- 原始或已准备趋海塑料的搬运和存储。
- 趋海塑料的准备：清洁、分拣、干燥、压缩、粉碎、打包...
- 运输。
- 移交至批准的处理设施或由组织自行处理。

在全国或国际范围内运营、拥有由中央办公室管理的多个独立法律实体站点并希望认证多个运营点的组织，

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可按照 OBP-DEF-GUI 文件附录 III 中提到的要求申请多站点认证。

本标准在全球范围内适用。

4. 生效日期

本认证标准自发布之日起生效，并应于 2025 年 12 月 8 日起强制使用。新的认证申请者和已认证组织应自此日期起根据本版本的标准接受评估。

5. 项目发行趋海塑料信用额的资格

项目要符合发行趋海塑料信用额的资格，必须同时满足以下四个条件：

1. 项目基于 OBP-DEF-GUI 文件中定义的不可商业回收趋海塑料 (NCR OBP)。
2. 项目非法律或法规强制要求 (见第 5.1 节)。
3. 项目收集 NCR OBP 并使用批准的处理方式 (见第 5.2 节)。
4. 可发行的信用额未在另一个塑料信用计划或延伸生产者责任 (EPR) 计划下使用/出售 (见第 5.3 节)。
5. 下图总结了确定项目资格的步骤

5.1. 法律额外性

趋海塑料的定义包括其被废弃的性质，因此收集的塑料废物应排除在当前的当地废物管理实践之外。这意味着，要么在收集区域 100% 收集塑料废物尚不是强制性的法律要求，要么对塑料废物收集法律的遵守不足。因此，趋海塑料的收集意味着一种法律额外性条件。

然而，组织需要证明趋海塑料信用额是在法律 EPR 框架或任何其他法律义务（例如法院强制要求收集塑料废物的裁决）之外发行的。

5.2. 批准的处理方式

一种处理方式要被视为批准的处理方式，需要满足 4 个基本条件：i) 处理设施需要拥有相关当局颁发的环境许可证，ii) 处理设施的运营方式确保塑料不会从厂区泄漏到环境中，iii) 处理技术和方法确保进入处理过程的塑料不会泄漏回环境，iv) 处理设施符合本标准规定的最低社会和环境要求，并按照 OBP-TEM-GUI 文件中提供的模板签署自我声明。

批准的处理方式可分为以下几类：

废物转化能源：

任何允许将趋海塑料中包含的潜在能量转化为热、燃料或电力的废物处理过程，如带有能量回收的焚烧、气化或热解，或其他类似技术。这也包括制备 RDF 用于水泥窑或发电厂的协同处理。

处置：

在符合以下最低要求的垃圾填埋场进行填埋：(i) 有围栏，(ii) 有下部防渗层和渗滤液处理设施，(iii) 定期（最好）或至少在填埋单元满时上层土壤材料覆盖，(iv) 位置、地形和结构确保塑料废物没有进入水体的风险。

回收：

不可商业回收趋海塑料可以作为处理方式出售到回收价值链中。但是，组织要能够在此基础上发行趋海塑料信用额，必须证明其对该趋海塑料的收集成本高于或等于 300 美元/公吨⁴。如果不同 NCR OBP 流的收集成本不同，组织可以按流区分这些成本，并仅对收集成本高于阈值的部分申请趋海塑料信用额。

其他处理方式：

将各种类型的塑料混合在一起或使用分拣后的塑料通常形成用于建筑行业或城市家具的新坚固材料（塑料

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木材、砖、瓦、长椅等)。

直接再利用塑料制造新产品，如时尚物品、室内设计产品和艺术品/雕塑（不包括临时艺术）。

直接再利用塑料作为建筑行业的填料。仅当所使用的方法/技术能够保证结构中的塑料废物不会导致塑料泄漏到环境中时才被接受。

在受控条件下，将分拣和预处理的塑料废料直接用于沥青混合物中，使塑料熔化并与沥青结合，避免未混合的塑料颗粒产生微塑料风险。

注：上述示例和过程列表并非详尽无遗。快速涌现的大量技术创新可以增加批准处理方式的选择。符合上述 4 个基本条件并可归类于上述批准处理方式类别的处理选项，均可被视为有效。

5.3. 防止重复计算风险

一个组织可能参与其他塑料信用计划（第三方认证或非认证），或在 EPR 框架内参与塑料废物的收集和处理。在这种情况下，应有非常明确的物理和行政流量隔离，以便已在其他塑料信用或 EPR 计划中核算过的塑料吨位不能再作为发行趋海塑料信用额的吨位进行核算。组织应声明其参与的所有计划，并展示其运营的质量平衡，以证明不存在重复计算。

⁴ 此要求旨在确保：

- 趋海塑料中和子计划不会激励一个已经运行的商业回收价值链。
- 趋海塑料中和子计划不会通过排除回收此趋海塑料的可能性而惩罚回收方式（相对于其他批准的处理方式）。
- 成本收集阈值是基于当前成本估算和潜在的趋海塑料信用额市场价格计算的。未来可能需要根据这两个参数的演变进行调整。

6. 要求

6.1. 法律合规、童工、公平工作条件

a) 组织应证明其运营符合国家法律和要求。对于新项目的第一个认证周期，组织也可以提供已向主管当局提交所有所需信息和文件的证明。

b) 组织不得以任何形式使用童工。组织应证明符合国家最低就业年龄和/或完成义务教育的年龄，以较高者为准。在任何情况下，组织都不得依赖 14 岁以下儿童完成的工作。

c) 组织不得使用国际劳工组织第 29 号公约所定义的强迫或强制劳动，并应特别禁止自身创造任何会导致工人对组织产生不公平依赖的条件（例如扣留身份文件、工资、产生债务）。

d) 组织应制定社会政策，确保工人至少获得适用的法定最低工资。

e) 当向独立收集者购买趋海塑料时，组织应通过公平的商业实践确保满足上述标准，例如不向儿童购买，并且支付高于所收集趋海塑料的最低参考可回收市场价格。

f) 组织应识别项目实施可能对利益相关者和环境产生的负面影响因素，以确保不会造成或可能造成意外伤害。当识别出可能的有害后果时，组织应设计并实施补救计划。

6.2. 质量管理体系

a) 组织应拥有或创建一个专门的管理体系，以确保能够持续符合本标准的要求。组织内应指定一人担任质量经理，负责监督标准要求的实施。此人 also 应是审核及其准备期间与认证机构 (CB) 的主要联系人。

b) 组织应制定程序，可供认证机构查阅，以证明其符合本标准的要求。

c) 实施程序的责任应在质量经理的监督下分配给组织内已确定的关键人员，这些人员应接受充分的培训，以确保他们理解最新版本标准的要求。

d) 组织应保存文件以证明符合标准要求。以往的审核文件必须至少保存 4 年，并应审核员要求出示。需

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保存的记录非详尽列表包括：方法和程序、收集点列表、收集活动记录、运输登记册、最终处置登记册、年度重量和体积摘要、销售记录、签发的中和证书、不符合项记录、培训材料、商标使用批准文件。

6.3. 收集点的识别

- a) 组织应确定并说明其将开展工作的收集点（选定的海滩、河岸、地区和社区或任何其他站点类型的名称和地理位置）。
- b) 组织应能够首先根据环境影响，然后根据其他标准（如社会影响、可达性、物流方面、运营安全等）来证明选址的合理性。

6.4. 估算待收集的年趋海塑料总量

- a) 组织应计算其可以收集和/或购买的潜在年趋海塑料总量 (TAOBPW)。计算 TAOBPW 的模板可在 OBP-TEM-GUI 文件中找到。
- b) 组织可以使用不同类型的证据来证明其 TAOBPW 计算的合理性，例如研究、报告、类似运营的推断、过往经验、收集者数量等。
- c) 组织可以在认证日历年内出售趋海塑料信用额，最多可达范围证书中包含的 TAOBPW 估算值。年度审核允许调整此 TAOBPW。但是，如果需要，如果组织能够证明为何以及如何能够收集更多趋海塑料，可以请求认证机构在年内评估增加 TAOBPW。

6.5. 收集系统的实施与监控

组织应制定协议和控制流程，以便能够计划、监控并证明其已根据认证要求执行了趋海塑料的收集。

- a) 对于海岸线趋海塑料和水道趋海塑料的收集，收集者的位置应在收集过程中受到监控，可以通过直接监督，或使用适当的技术。同样，仅当独立收集者或小型收集者的员工位置在收集过程中受到监控时，才允许从他们那里购买海岸线趋海塑料或水道趋海塑料。对于小型收集者，他们还必须是 OBP-DEF-GUI 文件附录 II 中定义的供应商集团的成员。
- b) 对于潜在趋海塑料的收集，允许从独立收集者处购买，前提是购买地点距离海岸线 45 公里以内，并且识别出独立收集者操作的站点。通过供应商集团认证，允许从 OBP-DEF-GUI 文件附录 II 中定义的小型收集者处购买潜在趋海塑料。
- c) 对于渔具趋海塑料的收集，允许从被视为独立收集者的渔民处购买，前提是购买地点在海岸或河岸上。如果地点在河岸上，该河流应直接或通过其干流与海洋相连。按照 OBP-DEF-GUI 文件附录 II 中定义的要求，允许作为供应商集团的一部分从被视为小型收集者的渔民处购买。
- d) 组织需要证明已与收集者（员工、志愿者和独立收集者）进行了充分的研讨会/培训，以证明他们理解趋海塑料的定义，从而正确收集。这包括 i) 说明其被废弃的性质（参考 OBP-DEF-GUI 文件），ii) 确定距离海岸、河流或潮汐线的距离（除非另有说明），iii) 说明不被接受为趋海塑料的废物类型，以及 iv) 说明尽可能去除非塑料废物（沙子、泥土、水、金属、非合成纺织品、有机废物、木材、纸张等）的最大可能性，以免产生包含其他材料的虚假吨位。
- e) 对于受监控的海岸线趋海塑料和水道趋海塑料收集活动，组织应为每个收集点保存日常收集活动记录。日常收集活动记录需要包括以下信息：i) 日期，ii) 收集点名称，iii) 所有参与收集者的姓名、电话号码和收集者类型（员工或志愿者），iv) 主管姓名，v) 收集活动类型（常规或特殊），vi) 收集的袋子、大袋...总数，vii) 可能情况下的精确重量和体积或每袋的大致重量和体积，viii) 按最终目的地类型（如适用）分类的袋子数量或重量和体积，ix) 可能情况下的收集活动前后图片。参考收集记录模板可在 OBP-TEM-GUI 文件中找到。如果组织使用技术跟踪收集者的工作，应能提供同等信息。
- f) 对于从独立收集者处购买趋海塑料，组织应保存日常购买记录，包括：(i) 独立收集者的姓名和联系方式详情，(ii) 购买的重量和体积，(iii) 收集地点。组织应有一份与其合作的独立收集者名单，至少包括(i) 全名，(ii) 联系方式详情，(iii) 工作区域。参考收集记录模板可在 OBP-TEM-GUI 文件中找到。
- g) 组织应监控收集者在趋海塑料定义方面的符合性，并制定应急计划以处理不符合要求的收集者（例如警

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告、终止合同或等效雇佣协议、停止购买...))。

6.6. 材料检验、准备、供应链模型

组织应制定协议和控制流程，以确保从收集点到趋海塑料最终去向的可追溯性。组织应能够证明以下内容：

- a) 在收集结束时或 upon receipt at a logistic center，所有收集的趋海塑料应经过视觉检查、测量体积、称重并按趋海塑料类别登记。如果塑料已被压缩，应予以说明。此信息可包含在收集或购买期间填写的日常记录中。
- b) 组织可根据其去向对收集的趋海塑料进行分类。这种分离可能仅适用于将趋海塑料出售给第三方进行回收或增值处理，或者，如果组织自行回收或增值处理全部或部分趋海塑料。在这种情况下，组织应分别测量每个流的体积和重量。
- c) 组织应选择至少一种 OBP-DEF-GUI 文件附录 I 中定义的供应链模型，并遵循该附录中规定的要求。

6.7. 分包商

对于其涉及趋海塑料但非收集本身的过程部分，组织可以使用一个或多个分包商。

- a) 组织应拥有这些分包商的最新列表，详细说明他们代表组织执行哪些操作。最终处理设施不应被视为分包商，这些活动需要符合第 5.2 和 6.8 节的要求。
- b) 每个分包商应与组织签订合同。这些合同应规定，分包商必须遵守与所选供应链模型相关的内部可追溯性要求，以处理涉及操作趋海塑料的分包过程。
- c) 分包商应签署符合本标准规定的最低社会和环境要求的自我声明。已签署的分包商自我声明副本应由组织保存。自我声明模板可在 OBP-TEM-GUI 文件中找到。
- d) 分包商没有义务根据本标准进行认证，但他们的生产场所在组织审核期间可能会被访问。认证机构将对分包商进行风险评估，如果任何分包商被视为高风险，将对其中的一部分进行检查。以下因素被视为分包商的高风险因素：

1. 分包商在其设施中处理经认证的趋海塑料和其他塑料。
2. 分包商未获得任何监管链标准的认证。
3. 分包商是流程的最后一步，不将产品返回给经认证的组织，而是直接发送给供应链中的下一个参与者或最终处理设施。
4. 分包商处理组织处理的所有趋海塑料体积的 30% 以上。
5. e) 不允许分包商将其与趋海塑料相关的任何部分工作进一步分包。
6. f) 组织与其分包商之间的每次趋海塑料物料交易都应记录，在发生体积/重量变化或进行混合的情况下，应为每次交易附上证明差异合理的质量平衡系统。
7. g) 仅当组织保留趋海塑料的所有权时，才被视为分包。

6.8. 收集的趋海塑料的去向，年度摘要

组织应制定协议和控制流程，以确保收集后直至趋海塑料最终去向的可追溯性。组织将仅能为去向是批准处理方式的趋海塑料签发中和证书及相应的趋海塑料信用额。

组织自然可以出于回收目的出售收集的商业可回收趋海塑料或自行回收，但此重量将不计入发行趋海塑料信用额。这是因为商业可回收趋海塑料已经具有经济价值和市场，因此不需要为其收集付费。希望出售趋海塑料信用额并出售经认证的商业可回收趋海塑料的组织，可以通过本标准和趋海塑料收集组织标准同时认证两个子计划。

- a) 批准的处理方式可由组织自身或由第三方执行。
- b) 组织应拥有其与承运人、买家和/或批准的处理设施就收集的趋海塑料所达成协议副本。

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- c) 组织应拥有每次收集的趋海塑料交易的运输/批准处理证明/销售文件的副本。
- d) 运输/批准处理设施的证明/销售文件必须包含重量和体积的参考信息。如果塑料已被压缩，应予以说明。
- e) 批准的处理设施应签署符合本标准规定的最低社会和环境要求的自我声明。已签署的批准处理设施的自我声明副本应由组织保存。自我声明模板可在 OBP-TEM-GUI 文件中找到。
- f) 组织应有一个分项表格摘要，以便于核对全年进行的所有收集活动，显示：i) 年度总体积和重量摘要，ii) 收集活动类型，iii) 经批准处理方式处理的趋海塑料的年度总体积和重量摘要。
- g) 如果组织将其部分 NCR OBP 作为经认证的趋海塑料出售给回收商，则应按照 OBP-COL-STD 标准第 5.9 章的要求签发交易声明。

6.9. 趋海塑料商标和标签使用

- a) 有资格发行趋海塑料信用额的组织可以使用趋海塑料推广标签，前提是它们已根据本标准获得认证。
- b) 组织作为证书持有者提供中和服务和趋海塑料信用额的身份，可以通过趋海塑料推广标签在网站、社交网络、名片、印刷材料、促销物品（T 恤、帽子、横幅等）或组织认为合适的任何其他企业传播中进行推广。
- c) 组织在进行任何公开使用趋海塑料标识之前，应参考参考文件 OBP-LOG-GUI。不遵守这些指南的组织可能会失去使用趋海塑料商标的权利。
- d) 组织应请求其认证机构批准预期的设计稿，并应保存认证机构发送的所有已批准的趋海塑料推广标签和产品上标签使用的登记册。
- e) 趋海塑料 (OBP) 和 ZPO 商标不得用于：(a) 可能引起混淆、误解或导致趋海塑料认证计划信誉损失的方式；(b) 暗示 ZPO 认可、参与或对组织在认证范围外进行的活动负责的方式；(c) 宣传趋海塑料认证未涵盖的产品质量方面。

7. 趋海塑料中和证书

中和证书是认证机构应组织要求签发的文件，向第三方证明该组织已根据本标准的要求，有效地从环境中清除了特定重量的不可商业回收趋海塑料，并且可以发行相应的趋海塑料信用额。

- a) 当组织想要发行和出售趋海塑料信用额时，应向其认证机构申请中和证书。组织可以与趋海塑料信用额买家做出财务安排以接收预付款，但趋海塑料信用额只有在所做工作的证据和符合性经认证机构验证后才能发行。
- b) 中和证书只能由向组织交付中和服务提供商范围证书且该证书在有效期内认证机构签发。
- c) 组织应向认证机构申请签发中和证书，并提供必要的文件证据（收集和批准处理的证明）以支持中和证书中声明的要素。中和证书模板及其要求的数据字段在 OBP-TEM-GUI 文件中提供。
- d) 在认证机构签发中和证书之前，必须将其提交给 Zero Plastic Oceans 进行验证、趋海塑料信用额的序列化以及在公共注册机构中的问责。
- e) 如第 6.4 章所述，组织不能出售超过其范围证书中声明的 TAOBPW 重量的中和服务。这意味着他们也不能请求签发超过此重量的中和证书及相应的趋海塑料信用额。
- f) 组织必须拥有已发行的趋海塑料信用额销售发票的年度摘要（附有相应的已签发中和证书），并且这些必须与第 6.8f 节中提到的年度摘要完全匹配。
- g) 对于第一个认证周期，组织可能在进行试点运营并在收到其趋海塑料中和服务提供商范围证书之前，已经收集和处理的特定体积的 NCR OBP。一旦组织获得认证，这些初始体积只有在满足以下条件时，才有资格应组织要求由认证机构发行趋海塑料信用额：
 - i. 组织拥有所有适当的文件证据，可根据本标准的要求支持发行趋海塑料信用额。
 - ii. 审核员能够在现场审核期间验证审核前试点运营的文件证据的符合性。

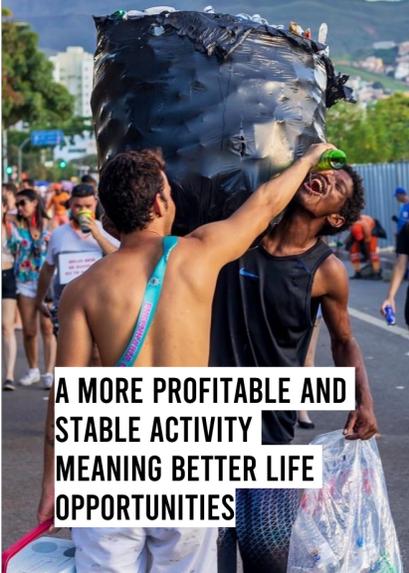
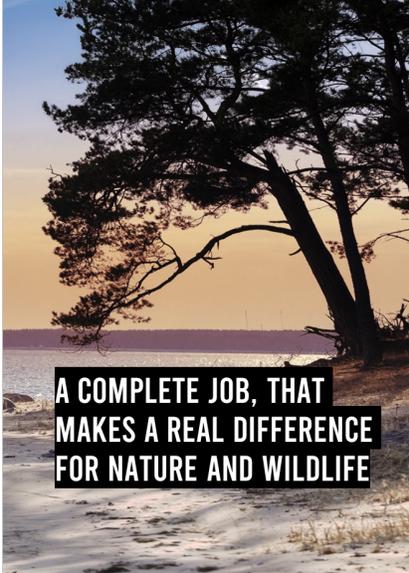
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- iii. 请求的体积不超过 TAOBPW 的 30% (此体积不会在后续年份的 TAOBPW 中扣除)。
- iv. 请求的体积基于收到其范围证书之前最多 6 个月的运营。

OCEAN BOUND PLASTIC



NEUTRALITY SUBPROGRAM OBP NEUTRALIZATION SERVICES PROVIDER STANDARD

FOR INDUSTRY & RETAIL	FOR WASTE COLLECTORS	FOR THE ENVIRONMENT
 <p data-bbox="240 1549 548 1738">SUPPORT OCEAN'S PROTECTION AND ACHIEVE SUSTAINABILITY GOALS WITHOUT RECYCLABILITY CONSTRAINTS</p>	 <p data-bbox="654 1549 963 1696">A MORE PROFITABLE AND STABLE ACTIVITY MEANING BETTER LIFE OPPORTUNITIES</p>	 <p data-bbox="1068 1549 1377 1665">A COMPLETE JOB, THAT MAKES A REAL DIFFERENCE FOR NATURE AND WILDLIFE</p>

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Reference Documents

This Standard shall be used together with the following complementary documents:

- OBP-DEF-GUI: OBP Program Definitions & Annexes
- OBP-TEM-GUI: OBP Program Templates
- OBP-LOG-GUI: OBP Logo Uses and Claims Guidelines
- OBP-FAQ-GUI: OBP Frequently Asked Questions
- OBP-REM-GUI: OBP Remote and Supervised/Shadow Audit Guidelines
- OBP-ROS-GUI: OBP Recognition of other Standards and Audits
- OBP-FEE-CON: OBP Fees Structure

All documents are available on the “document center” section of the OBP Program website (www.obpcert.org)

Revisions and Updates

This Standard will be revised if required, to incorporate improvements or clarifications that will not change substantially the content of the Standard and its requirements. Further significant revision schedule will be communicated on the OBP Program website. Please send any comment you have regarding the Standard to [contact\(at\)obpcert.org](mailto:contact(at)obpcert.org)

Revision history

Date	Version	Changes
8 th Sept. 2020	V1	Initial Release
13 th May. 2021	V1.1	<ul style="list-style-type: none">• 2. Definition of OBP Credits and update of the OBP Neutralization Certificate definition (additions <i>in italic</i>).• 3. OBP Credit mention (additions <i>in italic</i>).• 6. Various updates (changes <i>in italic</i>).• Removal of the Neutralization Certificate template from the Standard Annex (now available online at www.obpcert.org).



8 th Sept. 2021	V2	<ul style="list-style-type: none"> • Changes from the previous revision (<i>in Italic</i> have been formatted in normal text), new changes are not tracked for legibility, but previous version is available upon request. Key changes are listed below: • Incorporation of section 5 for clarification of projects eligibility. • Incorporation of requirement 6.1e (already an existing requirement but only listed in the OBP-FAQCB-GUI document). • Definitions and annexes have been removed from the Standard and are now available in documents OBP-DEF-GUI and OBP-TEM-GUI. • Incorporation of requirements 6.8f and 6.8g. • Clarifications in section 7 (without changes in the requirements).
8 th Sept. 2024	V2.1	<ul style="list-style-type: none"> • Description of OBP Credits in section 3. Addition of requirements 6.1f and 7g.
8 th Sept. 2025	V2.2	<ul style="list-style-type: none"> • Modification of requirement 6.1a.

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1. INTRODUCTION

The aim of Zero Plastic Oceans is to protect oceans from the continuous leakage of Plastic waste from land-based activity by developing incentives and models that promote the collection of Ocean Bound Plastic¹ (OBP).

The **OBP Certification Program** was designed to encourage the removal of OBP from the environment by adding value in effectively collecting and treating it before it reaches oceans. The scheme is composed of two subprograms; the **OBP Recycling Subprogram**, and the **OBP Neutrality Subprogram**.

When OBP is commercially recyclable², its collection and Recycling can be encouraged by certifying its origin and traceability, giving it a higher market value with the OBP Recycling Subprogram. This chain of custody is certified using the OBP Collection Organization Standard, the OBP Recycling Organization Standard and the OBP Brand Standard depending on which step on the chain an organization is.

When OBP is not commercially recyclable³, its collection and final treatment can be encouraged by certifying the process with the OBP Neutrality Subprogram. In this model, Plastic producers or users can contribute to a better environment by removing a determined volume of plastic waste from nature through the acquisition of OBP Credits. This model is certified using the OBP Neutralization Services Provider Standard and the OBP Plastic Producers & Users Standard.

Organizations may certify themselves for one or both subprograms as they are complementary solutions. Working with both subprograms makes sense in terms of economic efficiency, given all OBP is collected and marketed at once. It also makes sense from the environmental perspective, since it is only by addressing both, Commercially and Non-Commercially Recyclable OBP, that we will be able to make a real impact.

Organizations collecting OBP willing to provide enhanced social benefits to their employees and informal collectors (Independent Collectors), may additionally certify to the Social+ OBP Component.

¹ *Ocean Bound Plastic, is, as defined in OBP-DEF-GUI, Plastic litter that will be carried away to oceans in particular by the effects of currents, winds, river flows or tides.*

² *Commercially recyclable OBP as defined in OBP-DEF-GUI, means that OBP is technically recyclable and that it can be sold locally to recyclers for a price that renders its collection attractive to waste pickers or collection organizations. Currently, especially in countries where OBP is leaking into the oceans, a significant portion of technically recyclable OBP is unfortunately not commercially recyclable.*

³ *Not commercially recyclable OBP as defined in OBP-DEF-GUI, means that OBP cannot be sold for an attractive price but also includes products or packaging which are technically not recyclable (because of the resin used, the mix of different materials or because they are too damaged).*



2. TERMS AND DEFINITIONS

Capital letters are used throughout the document to signal the words that are included in the definitions available in OBP-DEF-GUI. Acronym's significance is also available in the same OBP-DEF-GUI document.

3. SCOPE

This Standard is applicable to any Organization (for profit, not for profit, governmental or non-governmental) involved, or who wants to be involved in carrying out abandoned Plastic collections and environmental cleanings for neutralization purposes, to certify the origin of the Plastic they collect as Ocean Bound Plastic and be able to issue OBP Credits. OBP Credits are third-party verified evidence that the Organization has effectively removed from the environment a given weight of Non-Commercially Recyclable OBP within the requirements of this Standard

This Standard covers activities related to collection of OBP until it's treatment by means of an Approved Treatment. These activities may include some or all the following:

- Collection (by own means or by purchase to Independent Collectors or Supplier Group members).
- Handling & storage of raw or prepared OBP.
- Preparation of OBP: cleaning, sorting, drying, compacting, shredding, baling...
- Transport.
- Hand over to an Approved Treatment facility or treatment by the Organization itself.

Organizations that work nation-wide or internationally, and, have multiple sites that are distinct legal entities administrated by a central office and wish to certify several operations, may apply for a Multisite Certification following the requirements mentioned in ANNEX III of the OBP-DEF-GUI document.

The Standard is applicable worldwide.

4. EFFECTIVE DATE

This certification Standard becomes effective on the release date and shall become compulsory to use on the 8th of December 2025. New certification applicants and already certified Organizations shall be assessed against this revision of the Standard from this date onwards.

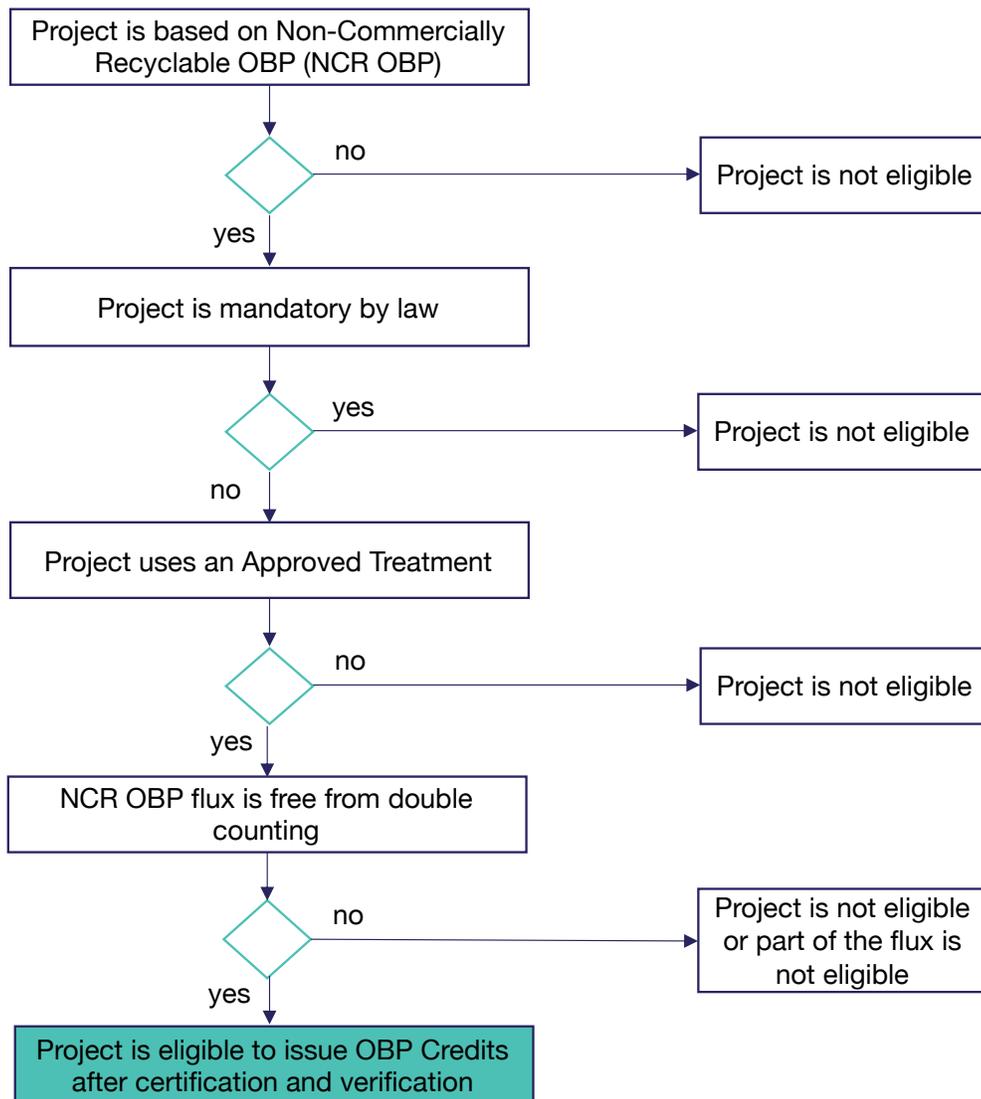


5. PROJECTS ELIGIBILITY TO ISSUE OBP CREDITS

Projects are eligible to issue OBP Credits under the requirements of this Standard if they comply with all four of the following conditions:

1. Projects are based on Non-Commercially Recyclable Ocean Bound Plastic (NCR OBP) as defined in document OBP-DEF-GUI.
2. Projects are not mandatory by law or regulations (see section 5.1).
3. Projects collect and use an Approved Treatment (see section 5.2) for the NCR OBP.
4. Issuable Credits have not been used/sold under another Plastic credits scheme or an Extended Producer Responsibility (EPR) scheme (see section 5.3).

The diagram below summarizes the steps to follow to determine project eligibility



5.1. LEGAL SURPLUS

The definition of OBP includes its abandoned nature, so collected Plastic waste will be excluded in the current local waste management practices. This means, either 100% collection of Plastic waste is not yet an enforceable legal requirement in the collection area, or compliance with the Plastic waste collection laws is insufficient. For this reason, the collection of OBP implies a legal surplus condition.

However, the Organization will need to demonstrate that the OBP Credits have been issued outside a legal EPR framework or any other legal obligation (for example a court ruling forcing the collection of Plastic waste).

5.2. APPROVED TREATMENTS

There are 4 basic conditions that need to be fulfilled for a treatment option to be considered an Approved Treatment; i) treatment facilities need to have an environmental license from relevant authorities, ii) treatment facilities operate in such a way that no leakage of Plastic to the environment may occur from the facility premises iii) treatment technology and methodology ensures that Plastic incorporated into the process cannot leak back into the environment, and iv) treatment facilities comply with the minimum social and environmental requirements specified in this Standard and sign a self-declaration following the template provided in the OBP-TEM-GUI document.

Approved Treatments can be grouped in the following categories:

Waste to Energy:

Any waste treatment process that allows conversion of the potential energy contained in the OBP into heat, fuel, or electricity, like incineration with energy recovery, gasification or pyrolysis, or other similar technologies. This also includes the preparation and use of RDF for co-processing in cement kilns or power plants.

Disposal:

Burial in a landfill with the following minimum requirements: (i) fenced, (ii) lower impermeable membrane and a lixiviates' treatment facility (iii) covered with an upper layer of soil material preferably on regular basis but at least once the cell is full, (iv) location, topography and structure ensure Plastic waste is not at risk of entering waterbodies.

Recycling:

Non-Commercially Recyclable OBP may be sold into the Recycling value chain as a way of treatment. However, for the Organization to be able to issue OBP Credits on top of the OBP sale, it shall demonstrate its Collection Costs for that OBP are above or equal to US\$ 300/metric ton⁴. If Collection Costs vary for different NCR OBP streams, the Organization may segregate these costs per streams and only apply for OBP Credits for the portion whose Collection Costs are above the threshold.

Other Treatments:

- Processes mixing various types of Plastics together or using sorted Plastics to usually form a new sturdy material for the construction industry or for urban furniture (Plastic lumber, bricks, tiles, benches...)
- Direct reuse of Plastic to make new products like fashion articles, interior design products, and art objects/sculptures (excluding temporary art).
- Direct reuse of Plastic as filler for the construction industry. Only accepted if the methodology/technology used can guarantee Plastic waste in the structure will prevent Plastic leakage into the environment.
- Direct reuse of sorted and pre-processed Plastic scrap into an asphalt mixture under controlled conditions so Plastic melts combining with the asphalt, avoiding the risk of microplastic generation from non-blended Plastic particles.

Note: the above list of examples and processes is not exhaustive. There are numerous technological innovations arising quickly which can increase the number of Approved Treatment options. A treatment option that complies with the 4 basic conditions mentioned and can be assimilated into one of the Approved Treatment categories above, can be considered valid.

5.3. PREVENTION OF DOUBLE COUNTING RISK

An Organization may be taking part in other Plastic credit schemes (third party certified or not), or be involved in the collection and treatment of Plastic waste in the framework of an EPR scheme. In that case, it should have a very clear physical and administrative segregation of fluxes so no tonnage of Plastic already accounted for in other Plastic credits or EPR schemes may be accounted for as tonnage for the issuance of OBP Credits. The Organization shall declare all schemes in which it is participating and show mass balances of its operations to evidence the absence of double counting.

4 This requirement is to ensure that:

- *The OBP Neutrality Subprogram does not incentivize a commercial Recycling value chain that is already working.*
- *The OBP Neutrality Subprogram does not penalize Recycling over other Approved Treatments by excluding the possibility of Recycling this OBP.*

The Cost Collection threshold is calculated based on current cost estimates and potential OBP Credit market prices. It may be necessary to adjust it in the future based on the evolution of these two parameters.



6. REQUIREMENTS

6.1. LEGAL COMPLIANCE, CHILD LABOR, FAIR WORKING CONDITIONS

- a) The Organization shall demonstrate compliance with national laws and requirements related with its operation. For the first Certification Cycle of new projects the Organization may alternatively supply evidence of submission of all the required information and documents to the competent authorities.
- b) The Organization shall not use child labor in any way. The Organization shall demonstrate compliance with the national minimum age for employment and/or the age of completion of compulsory education, whichever is higher. In no case shall the Organization rely on work performed by children under the age of 14.
- c) The Organization shall not use forced or compulsory labor as defined by ILO convention 29 and shall especially forbid itself to create any condition that will generate an unfair dependence of workers towards the Organization (such as retaining identity documents, salaries, generating debts).
- d) The Organization shall have social policies in place ensuring that workers are at least paid minimum legal wages applicable.
- e) When purchasing OBP to Independent collectors the Organization shall ensure the above criteria are met through fair business practices, like no purchasing to children and payments above the minimum reference recyclable market prices for the OBP collected.
- f) The Organization shall identify factors that could be negatively affected by the project implementation with stakeholders and the environment, to ensure that no unintended harm is caused or likely to be caused. When a possible harmful consequence is identified, the Organization shall design and implement a remediation plan.

6.2. QUALITY MANAGEMENT SYSTEM

- a) The Organization shall have or create a dedicated management system to ensure that it can maintain its compliance to the requirements of this Standard. One person within the Organization shall be appointed as quality manager to oversee the implementation of the Standards' requirements. This person shall also be the

main contact person with the Certification Body (CB) during Audits and their preparations.

- b) The Organization shall have procedures that can be made available to the CB to demonstrate its compliance with requirements of this Standard.
- c) The responsibilities to implement procedures shall be distributed to identified key personnel within the Organization under the supervision of the quality manager and these personnel shall receive adequate training to ensure they understand requirements of the Standard in its latest version.
- d) The Organization shall keep documentation to prove conformity to the Standard requirements. The documentation of previous Audits must be kept for at least 4 years and presented to the auditor upon request. A non-exhaustive list of records to be kept includes methods and procedures, list of collection sites, records of collection activities, transport registers, final disposition registers, annual weight and volume summaries, sales records, Neutralization Certificates issued, nonconformity records, training material, brand mark usage approvals.

6.3. IDENTIFICATION OF COLLECTION SITES

- a) The Organization shall determine and specify the collection sites (names and geographical location of selected beaches, riverbanks, districts and communities or any other site type) they will work in.
- b) The Organization should be able to justify the choice of the site in terms of, first, environmental impacts and then, with regards to other criteria such as social impact, accessibility, logistical aspects, safety of operations, etc.

6.4. ESTIMATION OF TOTAL ANNUAL OBP WEIGHT TO BE COLLECTED

- a) The Organization shall calculate the potential Total Annual OBP Weight (TAOBPW) it can collect and/or purchase. A template for calculating the TAOBPW can be found in the OBP-TEM-GUI document.
- b) Different types of evidence can be used by the Organization to justify its calculation of TAOBPW such as studies, reports, extrapolations of similar operations, past-experience, collector numbers, etc.

- c) Organizations can sell OBP Credits within the certified calendar year, for up to the TAOBPW estimation that has been included in the Scope Certificate. Annual Audits allow for adjusting this TAOBPW. However, if required, Organizations can request CBs to assess the increase of TAOBPW during the year, if they can justify why and how the Organization has been able to collect more OBP.

6.5. COLLECTION SYSTEM IMPLEMENTATION AND MONITORING

The Organization shall have protocols and control processes to be able to plan, monitor and demonstrate that it has performed the collection of OBP according to the certification requirements.

- a) For the collection of Shoreline OBP and Waterways OBP, collector's location shall be monitored during collection, either through direct supervision, or through using appropriate technology. Similarly, purchasing Shoreline OBP or Waterways OBP from Independent Collectors or Small Collectors is allowed only if Independent Collectors' or Small Collectors' staff location is monitored during collection. For Small Collectors, they shall also be part of a Supplier Group as defined in ANNEX II of the OBP-DEF-GUI document.
- b) For the collection of Potential OBP the purchase from Independent Collectors is allowed provided the purchasing location is situated within 45 km from the shoreline and the sites where Independent Collectors are operating are identified. The purchase of Potential OBP from Small Collectors as defined in ANNEX II of the OBP-DEF-GUI document is allowed through the Supplier Group certification.
- c) For the collection of Fishing Material OBP the purchase from fishermen considered as Independent Collectors is allowed provided the purchasing location is on the coast or a riverbank. If the location is on a riverbank, the river shall be connected directly or through its main stem to the ocean. Purchasing from fishermen considered as Small Collectors is allowed as part of a Supplier Group, following the requirements defined in ANNEX II of the OBP-DEF-GUI document.
- d) The Organization needs to demonstrate adequate workshops/trainings have been carried out with collectors (staff, volunteers, and Independent Collectors), to prove they understand the definition of Ocean Bound Plastic, so they collect correctly. This includes i) specification of its abandoned nature (refer to OBP-DEF-GUI document), ii) determined distance from shore, rivers or tide lines unless justified otherwise, iii) specification of types of waste not accepted as OBP, and iv) specification of maximum possible removal of non-Plastic waste (sand, mud, water, metals, non-synthetic textiles, organic waste, wood, paper, etc) so no false tonnage with other materials is generated.

- e) For the collection of Shoreline OBP and Waterways OBP monitored activities, the Organization shall keep records for each collection site of daily collection activities. Records of daily collection activities need to include info such as: i) date ii) name of collection site, iii) names of all participating collectors, phone numbers, and type of collector (staff, or volunteers), iv) name of supervisor, v) type of collection event (routine or special), vi) total number of bags, big bags,... collected, vi) Exact weight and volume if possible or approximate weight and volume per bag, vii) number of bags, or weight and volume segregated per type of final destination when applicable, viii) pictures of before and after collection activity when possible. Reference collection record templates are available in the OBP-TEM-GUI document. In cases where the Organization uses technology to track the work of collectors, equivalent information shall be available.
- f) For the purchase of OBP from Independent Collectors, the Organization shall keep records of daily purchases including, (i) name and contact details of Independent Collectors, (ii) purchased weight and volume, (iii) location of collection. The Organization shall have a list of the Independent Collectors it is working with, including as a minimum (i) full name, (ii) contact details, (iii) area where they work. Reference collection record templates are available in the OBP-TEM-GUI document.
- g) The Organization shall monitor the conformance of collectors in relation to the definition of OBP and have a contingency plan to cater for nonconforming collectors (e.g. warnings, contract or equivalent employment agreement termination, finalization of purchases...).

6.6.MATERIAL INSPECTION, PREPARATION, SUPPLY CHAIN MODEL

The Organization shall have protocols and control processes to ensure traceability from collection point to destination of OBP. The Organization shall be able to demonstrate the following:

- a) Upon end of collection or upon receipt at a logistic center, all OBP collected shall be visually inspected, sized (volume measurement), weighed and registered by OBP category. If Plastic has been compressed, this shall be mentioned. This information can be included in the daily records filled in during collection or purchase.
- b) The Organization may classify the OBP collected according to its destination. This separation is only likely to be performed for the sale of OBP to third parties for its Recycling or valorization, or, if the Organization is itself Recycling or valorizing all or some of it. In such cases, the Organization shall measure volume and weight separately for each flux.

- c) The Organization shall choose at least one Supply Chain Model as defined in ANNEX I of the OBP-DEF-GUI document and follow the requirements stipulated in this annex.

6.7. SUBCONTRACTORS

The Organization may use, for parts of its process involving OBP but not for collection itself, one or several Subcontractors.

- a) The Organization shall have an updated list of these Subcontractors, detailing which operations they are realizing on behalf of the Organization. Final Treatment facilities shall not be considered Subcontractors and these activities need to comply with requirements in sections 5.2 and 6.8.
- b) Each Subcontractor shall have a contract with the Organization. These contracts shall state that Subcontractors must comply with internal traceability requirements related to chosen Supply Chain Model for the subcontracted process manipulating OBP.
- c) Subcontractors shall sign a self-declaration of compliance with minimum social and environmental requirements specified by this Standard. Copies of signed Subcontractors' self-declarations shall be kept by the Organization. A self-declaration template is available in the OBP-TEM-GUI document.
- d) Subcontractors are not obliged to become certified under this Standard, however it is likely that their production site(s) will be visited during an Audit of the Organization. The CB will perform a risk assessment of Subcontractors, and if any are considered high risk, a sample of them will be inspected. The following factors are considered high risk for Subcontractors:
 - 1. Subcontractor handles OBP certified Plastic and other Plastics in its facility.
 - 2. Subcontractor is not certified to any chain of custody standard
 - 3. Subcontractor is the last step on process and does not return the product to the certified organization, but rather dispatches directly to the next actor in the supply chain or to the final treatment facility.
 - 4. Subcontractor is handling more than 30% of all the OBP volume that the Organization processes

- e) Subcontractors are not allowed to further subcontract any part of their work associated with OBP.
- f) Every transaction of OBP Material between the Organization and its Subcontractor(s) shall be recorded and in cases of volume/weight changes or if a blend has been realized a mass balance system justifying the differences shall be associated with each transaction.
- g) Subcontracting is considered as such, only if the Organization keeps the ownership of the OBP.

6.8.DESTINATION OF COLLECTED OBP, ANNUAL SUMMARIES

The Organization shall have protocols and control processes to ensure traceability post collection until final destination of OBP. The Organization will only be able to issue Neutralization Certificates and corresponding OBP Credits for OBP whose destination is an Approved Treatment.

The Organization may naturally sell collected Commercially Recyclable OBP for Recycling purpose or recycle it itself, but this weight will not be accounted for issuing OBP Credits. This is because Commercially Recyclable OBP already has an economical value and a market and therefore does not require payment for its collection. Organizations willing to sell OBP Credits and sell certified Commercially Recyclable OBP may certify themselves to both subprograms; through this Standard and the OBP Collection Organization Standard.

- a) Approved Treatments can be performed by the Organization itself or by third parties.
- b) The Organization shall have copies of agreements it has with carriers, buyers and/or Approved Treatment facilities for collected OBP.
- c) The Organization shall have copies of transport/proof of treatment by an Approved Treatment/sales documents for each transaction of collected OBP.
- d) Transport / proof of treatment by an Approved Treatment facility / sales documents must imperatively include a reference of weight and volume. If Plastic has been compressed this should be mentioned.
- e) The Approved Treatment facility shall sign a self-declaration of compliance with minimum social and environmental requirements specified by this Standard.

Copies of signed Approved Treatment facilities' self-declarations shall be kept by the Organization. A self-declaration template is available in the OBP-TEM-GUI document.

- f) The Organization shall have an itemized table summary to facilitate reconciliation of all the collection activities carried out throughout the year showing: i) total annual volume and weight summaries, ii) type of collection events, iii) total annual volume and weight summaries of OBP treated by an Approved Treatment.
- g) If the Organization sells a portion of its NCR OBP to a Recycler as certified OBP it shall issue a Transaction Declaration following requirements of chapter 5.9 of the OBP-COL-STD Standard.

6.9. OBP TRADEMARKS AND LABEL USES

- a) Organizations eligible to issue OBP credits can use OBP promotional labels, provided they are certified with this Standard.
- b) The status of the Organization as certificate holder for offering Neutralization services and OBP credits can be promoted with the OBP promotional label in websites, social networking, business cards, printed material, promotional items (t-shirts, caps, banners, etc), or any other corporate communication the Organization sees fit.
- c) The Organization shall refer to the reference document OBP-LOG-GUI before any public use of the OBP Logos is made. Organizations that do not comply with these guidelines may lose the right to use the OBP trademarks.
- d) The Organization shall request an approval of the intended artworks to its CB and shall keep a register of all the approved uses of the OBP promotional labels and On-Product Labels sent by the CB.
- e) The OBP and ZPO trademarks shall not be used: (a) in a way that could cause confusion, misinterpretation, or loss of credibility to the OBP certification scheme; (b) in a way that implies that ZPO endorses, participates in, or is responsible for activities performed by the Organization outside the scope of certification; (c) to promote product quality aspects not covered by the OBP certification.

7. OBP NEUTRALIZATION CERTIFICATES

Neutralization Certificates are documents issued by the CB upon Organization's request, that prove to third parties that the Organization has effectively removed from the environment a given weight of Non-Commercially Recyclable OBP within the requirements of this Standard, and corresponding OBP Credits can be issued.

- a) Organizations shall request their CB for a Neutralization Certificate when they want to issue and sell OBP Credits. Organizations may make financial arrangements with OBP Credit buyers to receive upfront payments, but OBP Credits can only be issued once evidence of the work done and conformity by the CB has been verified.
- b) Neutralization Certificates can only be issued by the CB that has delivered the Neutralization Services Provider Scope Certificate to the Organization while it is valid.
- c) Organizations shall apply for the issuance of a Neutralization Certificate to the CB and supply the necessary Documentary Evidence (proof of collection and Approved Treatment) to support the elements claimed in the Neutralization Certificate. A Neutralization Certificate template with required data fields is provided in the OBP-TEM-GUI document.
- d) Before CBs can issue a Neutralization Certificate, they must submit it to Zero Plastic Oceans for its validation, serialization of OBP Credits, and accountability in a public registry.
- e) As detailed in chapter 6.4, Organizations cannot sell Neutralization services for a greater weight than the TAOBPW declared in their Scope Certificate. This means they cannot request issuance of Neutralization Certificates, and corresponding OBP Credits, for a greater weight either.
- f) Organizations must have annual summaries of issued Invoices for OBP Credit sales (with corresponding issued Neutralization Certificates), and these must imperatively match annual summaries mentioned in 6.8f.
- g) For the first certification cycle, Organizations may have carried out pilot operations and collected and treated certain volumes of NCR OBP before they receive their

OBP Neutralization Service Provider Scope Certificate. Once the Organization is certified, these initial volumes are eligible for OBP Credit issuance by the CB upon Organizations' request only if the following conditions are met:

- i. Organization has all the proper Documentary Evidence to support the issuance of OBP Credits as per the requirements of this Standard.
- ii. Auditor was able to verify the conformity of the Documentary Evidence of pre-Audit pilot operations during the onsite Audit.
- iii. The requested volume doesn't exceed 30% of the TAOBPW (this volume will not be discounted in the following years' TAOBPW),
- iv. The requested volume is based on operations maximum 6 months prior to receiving their Scope Certificate.