



R2 Update - May 2021

a publication of SERI (Sustainable Electronics Recycling International)

R2v3 Transition Update Edition

It has been ten months since the release of R2v3, the latest version of the R2 Standard. This edition of the newsletter is dedicated to a transition update, and answers common questions about the R2v3 audit process, new requirements, and the training and implementation resources that are available.

SERI Milestones Accomplished

Major Milestones Accomplished Since the July 2020 Release of R2v3:

- > October 5, 2020
 - R2v3 Transition Plan published (Advisory 22)
 - R2v3 Code of Practices Released
 - Remote Stage 1 audits for R2v3 authorized as new alternative
 - Deadline extended to December 31, 2021 for expiring R2:2013 Certifications recertifying to R2:2013

- > 18 Auditor Training Courses Conducted

- > Trained 163 auditors, consultants and recyclers from Australia, Brazil, Canada, China, Germany, Hong Kong, India, Japan, Mexico, Philippines, Spain, and the United States on the new R2v3 Standard

- > 72 auditors passed the R2v3 exam, qualifying them to audit to R2v3
- > Developed R2 Knowledge Base
- > Created 37 Level 1 & 2 - R2v3 training videos for the R2 Knowledge Base

When can I get R2v3 Certified?

SERI has fully built and implemented the R2v3 Certification program elements. The massive disruptions stemming from the COVID 19 Pandemic, however, have strained the resources of Certification Bodies (CBs). To begin issuing R2v3 Certifications, CBs must first implement the necessary ANAB accreditation requirements. When fully accredited by ANAB, R2v3 Certification Bodies will be recognized with the SERI Authorized Certification Body mark.



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More emphasis on outcomes with R2v3

By now, most auditors and many consultants have completed R2v3 training. Some have been surprised at the enhanced level of accountability that is required by the R2 Certification Program. Some of the changes have been driven by customer/supplier demand, as well as the growing number of new industry sectors that require R2 Certification for their vendors and service providers.

Another driver of change has been lessons learned from more than 10 years of experience managing the R2 Certification Program. Just as continuous improvement is expected of R2 Facilities, SERI holds itself to the same high standard for continuous improvement of the R2 Program. This includes the clarity of requirements, a new R2 Code of Practices (v2.0) that improves

accountability for the audit and certification program, and most importantly, improvements based on feedback from R2 Certified facilities of various size and capabilities – *and* their customers and suppliers.

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When will Guidance on R2v3 be released?

Many guidance resources have already been released as part of the new [R2 Knowledge Base](#). With R2v3, SERI is taking a new approach to guidance so that facilities can better understand the requirements and expected outcomes for R2v3. Instead of a lengthy guidance document to support the Standard, the Knowledge Base will be the source of information and guidance on the R2 Standard.

We anticipate that feedback gained through the implementation phase will help to identify areas where additional clarity or guidance would be useful. The new Knowledge Base format will enable SERI to provide guidance in these areas in a more timely and ongoing manner, using training videos, articles, Q&As, and other helpful resources.

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How do facilities determine the PROCESS Requirements that apply to them?

PROCESS Requirements apply only to facilities that engage in those specific processes. Activities or processes taking place at a facility cannot be excluded. If a Facility wipes a single hard drive, then it must certify to *Appendix B-Data Sanitization*. Or if a facility buys material that is drop-shipped directly to another vendor, then *Appendix F - Brokering* applies. But keep in mind that processes need to occur with enough frequency to generate a good sampling of records.

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How are Campus Facilities and Multi-site certifications changing with R2v3?

Multi-site Certifications are no longer allowed under Rv3. This is to ensure a thorough audit of each facility instead of the sampling that was permitted under the multi-site arrangement. Although an audit of each facility is required every year, there are new options for some audits to be conducted remotely, such as one remote surveillance audit per certification cycle.

The definition of Campus Facility has been expanded and no longer limits campus locations to the same metropolitan area. The new definition:

" A separate location that has interconnected operations with the Controlling Facility for the joint processing and management of electronic equipment, component, or material streams."

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What are the main cost drivers for an R2v3 audit?

SERI's calculations of audit time have shown that the biggest single driver of audit time are the ISO 14001 and 45001 management systems, with smaller facilities being disproportionately affected. When budgeting for audit costs, be sure to understand the impact and cost of the other standards that are being audited.

It may be worthwhile to compare required audit times and costs for [RIOS](#) (a single certification that meets R2v3's requirements for Environmental, Health & Safety, and Quality Certifications) vs. the multiple **ISO/other certifications** required to meet R2v3 requirements for Environmental, Health & Safety, and Quality certifications. For many facilities, RIOS may be the more economical option.

For the R2v3 portion of the audit, the majority of time will be allocated to the PROCESS Requirements (Appendices). The time required for R2v3 audits will largely be calculated based on three main factors:

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Important changes Facilities need to know about Nonconformities

Based on more than 10 years of experience managing the R2 Certification

program, a number of changes have been made to the Code of Practices regarding how nonconformities (NCs) are managed. Early and detailed preparation by will be the biggest factors for preventing NCs and ensuring a successful R2v3 audit.

- **All Nonconformities must be closed before R2v3 Certificate can be issued** –Both major and minors NCs must be closed and verified with a follow-up remote or onsite audit by the CB auditor. To avoid delays or a possible lapse in certification, facilities should plan for time to correct any potential NCs when scheduling their audit.
- **Certificate Suspensions** – R2 facilities are not permitted to have an active R2 Certificate if they are operating in nonconformance beyond the grace periods specified to correct and close NCs. CBs are required to suspend R2 Certificates if NCs are not corrected and closed in the specified time period.

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