



SERI COP Advisory 15

Advisory No. 15: Actions based on the results of audit package reviews

Reference Document: Code of Practices, Section V8

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Effective Date: Immediately

Package reviews by SERI are intended to monitor the activities of the R2 certification program. Sampling is performed by SERI to verify the performance of auditors and the effectiveness of Certification Bodies (CB) to control the quality of the certification program. Quality control processes at the CB must be effective to maintain the credibility of the R2 Certification program for all interested parties. SERI's focus is to ensure CBs and their Accreditation Bodies (ABs) are effectively monitoring performance and controlling quality to issue accurate and credible certifications backed by objective evidence.

Based on the results of SERI's audit package review, follow up with the CB and/or AB will be initiated as indicated in the table below. The CB will use their existing complaint investigation and corrective action process to investigate the complaint.

Level	SERI Actions	Follow-up Actions
Level 0 - No Complaint Reviewed audit report with no significant concerns identified.	Email Auditor and CB to provide positive feedback and any suggestions for improvement.	None
Level 1 - Complaint Reviewed one audit report resulting in concerns about the effectiveness or credibility of the audit performed and the certification bodies' quality control process.	1. Email CB of complaint 2. Add to SERI Package Review Issues List	1. CB will investigate the complaint and finalize a corrective action plan within 60 days. 2. CB notifies R2 organization as needed. 3. If complaint investigation is not completed within 60 days



Level	SERI Actions	Follow-up Actions
		<p>with an approved corrective action plan, the Recycler's certificate will be suspended until conformance is verified.</p> <ol style="list-style-type: none"> 4. SERI will review additional packages by the auditor. 5. AB will review Level 1 Complaint during regularly scheduled assessments for adequate management of the complaint.
<p>Level 2 – Complaint Reviewed multiple audit reports by same auditor resulting in concerns about the auditor's performance and the credibility of the certification bodies' quality control process.</p>	<ol style="list-style-type: none"> 1. Email CB of complaint. 2. Add to SERI Package Review Issues List. 	<ol style="list-style-type: none"> 1. CB will investigate the complaint and finalize a corrective action plan within 60 days. 2. CB notifies R2 organizations as needed. 3. If complaint investigation is not completed within 60 days with an approved corrective action plan, the Recycler's certificate will be suspended until conformance is verified. 4. SERI will review additional audit packages by other auditors of the same CB. 5. AB will review Level 2 complaint during regularly scheduled assessments for adequate management of the complaint.
<p>Level 3 – Complaint Reviewed multiple audit reports across multiple auditors resulting in concerns about systemic problems</p>	<ol style="list-style-type: none"> 1. File complaint with AB 2. Add to SERI Package Review Issues List 	<ol style="list-style-type: none"> 1. AB will investigate the complaint within 60 days. 2. If CBs corrective action plans are not approved within 60 days, AB's suspension process



Level	SERI Actions	Follow-up Actions
with the quality and credibility of the CB's certification program.		<p>of the CB begins.</p> <ol style="list-style-type: none"> 3. AB will verify the effectiveness of the Corrective actions through ongoing assessments/special audits. 4. AB will notify SERI of resolution of Level 3 complaints. 5. SERI will review additional packages and may conduct witness audits.

Notes:

- SERI reserves the option to file a complaint with the AB for any level of concern.
- Current reviews have indicated that auditors are primarily working with one CB. However, SERI recognizes that audit package reviews can cross CBs when an auditor audits for more than one CB, and such a scenario will be recognized in the future in this Advisory.
- SERI may conduct witness or spot audits to further review auditor and CB performance.
- Repeat complaints of similar issues will be escalated in the review process, most likely to a Level 3 Complaint.