



SERI COP Advisory 3

Advisory No. 3 - Training

Reference Document: R2 Code of Practices, Section V.B

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Purpose of Advisory

To outline the specific training requirements for auditors, and persons making certification decisions at the Certification Bodies.

Auditor Training

Prior to auditing to the R2 Standard, all auditors must complete the R2 Auditor Training and successfully pass the exam. Any Certification Body (CB) auditor that has failed the SERI auditor exam (passing grade being 75%), is not permitted to audit to the R2 Standard as a team member or lead auditor until the auditor passes the exam. One re-take of the SERI auditor exam is permitted. Should any individual fail the exam twice, he or she must re-take the SERI auditor course before taking the exam a third time. Anyone who fails the SERI auditor exam three times will be ineligible to retake the exam and to become an R2 Auditor, during a full year period post failing the third exam.

The same rule applies to those individuals engaged in certification decisions within the CB, including audit package reviewers and program managers. SERI requires all those engaged in R2 certification decisions and audit package reviews to pass the SERI R2 auditor exam.

Annual Refresher Training

All CB R2 auditors have to complete SERI's annual refresher training on a yearly basis to maintain



their Continuing Education (CE) requirements as specified in the Code of Practices. Auditors will have to take an exam after reviewing the modules of the refresher training. Should an auditor not pass at the first attempt (passing grade being 75%), SERI will allow the auditor to retake the refresher exam one additional time.

If an auditor fails the annual auditor refresher exam two times, SERI will communicate the scores to the applicable contracting CB(s). The auditor can no longer audit to R2 after failing the exam two times until such time that he/she is able to acquire the CE requirements for that year. SERI will require the following actions:

- A) The CB will have to submit at least 2-4 recent packages completed by the auditor to SERI for review.
- B) Depending on the outcome of the reviews, SERI may choose to test the auditor again via an interview (if the issue was a result of a language barrier) or put the auditor through another exam developed by SERI based on the areas of concerns identified in the packages and incorrect answers in the annual refresher exam. There will be a fee charged by SERI for this re-examination.
- C) If the auditor does not pass the interview and/or re-examination, SERI will expect the auditor to re-take the SERI R2 Auditor Course.
- D) If the auditor passes the interview and/or re-examination, the auditor can resume R2 audits for the CB(s). SERI will expect the CB to monitor, evaluate, and record the progress of the auditor's competence. SERI may require a witness audit to be completed prior to auditor being reinstated as an Auditor.

Every year, SERI will set a deadline by which time all R2 auditors should be completing the refresher exam. If the auditor fails to complete reviewing the modules and passing the exam by that designated date, they shall stop auditing. They can resume auditing only after take and pass the exam, provided that SERI has made the modules/exam available after the deadline.

The same rule applies to those individuals engaged in certification decisions within the CB, including technical reviewers and program managers. SERI requires all those engaged in R2 certification decisions to pass the SERI annual auditor refresher exam.

Revision No.	Change	Date of Release/Revision
1.0	Training requirements for auditors	03/16/2017



2.0	Introducing section on Annual Refresher Training	01/28/2019
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