Purpose of Advisory:

A facility move is when an R2 Certified Facility relocates operations from one address to another address provided the operations at the previous address are no longer eligible for R2 certification. This advisory defines the process to be followed by an R2 Certified Facility and the Certification Body (CB) during a facility move.

1. At no time shall an R2 certificate be valid when the R2 Facility is not operating at the address on the certificate.

2. To maintain conformance to R2 during a facility move, the R2 Facility should notify the CB at least 6 months in advance of closing the previous facility (earlier notification is advised to ensure the CB is able to schedule an audit). When a CB is notified by the R2 Facility of the intended change in facility address, the CB shall inform SERI’s Director of Quality in writing of the move. The CB shall maintain communication of when they were informed of the planned move and/or when the move occurred.

3. During the move process, the activities at the new and previous address shall both be controlled under the management system of the current R2 Certified facility.

4. The new facility shall complete a successful audit by the CB and be issued a revised certificate by their CB, in accordance with the CB’s processes, prior to closing the former
facility location. The CB shall suspend the certificate for the previous R2 Facility location if the R2 Facility no longer has access to the previous facility. 

*Note:* If the facility that has moved is part of a multisite certification, the entire certificate will be suspended.

5. The following is a list of the minimum topics that shall be included, verified and documented by the CB during the audit of the new facility. Additional tasks may be necessary to maintain conformity under the R2 Standard.

   a. The scope of activities at the new facility are the same as the former facility. If not, an on-site audit is required.
   b. The Downstream Vendors are the same as evidenced by a review of shipping records from the new facility. If not, downstream vendor due diligence must be reviewed by the CB auditor.
   c. All equipment and materials are removed from the former facility.
   d. Environmental aspects (footprint) have been updated to reflect those of the new facility and controls are implemented.
   e. Health and safety risks (footprint) have been updated to reflect those of the new facility and controls are implemented.
   f. The legal compliance plan has been updated to reflect the legal requirements of the new facility.
   g. Insurance policies have been updated to include the new facility.
   h. Closure plans have been updated to reflect the risks of the new facility and the financial assurance is adjusted (if necessary based on the risks).
   i. A legal compliance audit of the new facility has been completed and corrective actions have been documented.
   j. Internal EH&S and R2 audits have been completed at the new facility and corrective actions have been documented. The CB auditor shall document a nonconformity(ies) for any R2 internal audit NCs that have not been verified and closed by the R2 Facility.

6. If the CB is not able to resource an onsite audit in an effective and timely manner, the CB can consider a remote audit. If a remote audit is conducted, the CB will retain records to support why the onsite audit was not able to be achieved. The remote audit shall include a virtual tour of the new and old facilities guided by the R2 Facility via remote information and communication technology (ICT), including video conferencing (Skype, Facetime, Google Duo or any other suitable means). The CB shall be able to view and audit remotely all relevant operations at the new facility being certified. The CB shall also be given access to interview employees as necessary to fulfill audit trails. Should the CB find that ICT
methods and remote auditing are not an effective method to verify a facility move, the CB has the right to require an on-site audit for further verification.

7. If any of the above tasks (5 a-j) are not satisfied or able to be verified by remote audit, the CB shall conduct an on-site audit of the new facility and ensure the previous facility is no longer operational. The CB will determine the amount of time required for the on-site audit.

8. An audit (onsite or remote) to verify the move and change the R2 Certificate does not replace the annual surveillance/recertification audit in the audit program. However the audit of the move could be combined with an annual surveillance/recertification audit. If a remote surveillance audit (in accordance with Advisory 23) or recertification audit (in accordance with Advisory 21) is conducted, then an onsite audit shall be completed within 6 months of the move. If there are restrictions imposed (owing to COVID only) by the region where the R2 Facility is located, that prohibits an auditor to go onsite within 6 months of the remote audit, the CB shall conduct the onsite audit when the restrictions are removed. The CB must maintain documentation (e.g. state ordinance, country mandates etc.) to support the decision to delay the onsite audit.

9. The CB has the option to add the new location as a campus site to the certificate of the previous location during the process of transitioning operations from one site to the next. Both sites shall continue to be audited until the previous location ceases to be under the control of the R2 Facility. Audit time to add new location as a campus requires following Audit Time Requirements in the COP Version 1.0.

10. After the CB has completed the audit to verify the move to the new facility address, the CB shall revise the certificate in accordance with the CB’s processes to reflect the change in address (and scope if necessary). If there is a scope change, the audit results must support it. A copy of the revised certificate shall be provided to SERI within 5 days of issuance.

11. The CB shall accept a current SERI R2 Facilities license acknowledgement from the previous facility to also cover the new facility during the move. When SERI receives the revised certificate from the CB for the new facility, a revised license agreement with the new address will be sent to the R2 Facility for signature.

12. SERI will update the website directory after receipt of revised certificate, and issuance of the license agreement and payment of fees (if applicable).
13. If the issuance of the certificate for the new facility is not completed within 6 months of the move, the certificate for the old address shall be withdrawn, unless documented restrictions, as per section 7 above, are in place. After a certificate is withdrawn, the R2 Facility will have to complete the initial Stage 1 and 2 audits to R2v3 to be certified at the new facility.

<table>
<thead>
<tr>
<th>Revision No.</th>
<th>Change</th>
<th>Date of Revision</th>
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<tbody>
<tr>
<td>1.1</td>
<td>Removing the time frame of 6 months to do an onsite audit after completing a remote facility move audit (owing to COVID).</td>
<td>November 17 2020</td>
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</tbody>
</table>
| 1.2          | • Removed the statement “The former facility closure plan is being executed” from Section 5.  
• Removed “auditing implementation of the closure plan” at previous facility to assure objectives are met.  
• Added references to Advisory 21 and 23 when referring to remote recertification and surveillance audits respectively.  
• Recycler replaced by “R2 Facility”  
• Added Note: If the facility that has moved is part of a multisite certification, the entire certificate will be suspended.                                                                                                                                           | March 31 2021    |
| 1.3          | • Removed statement “If a revised certificate for the new facility has not been issued before leaving the former facility, the R2 certificate for the former facility shall be suspended by the CB.”  
• Added statement” The CB shall suspend the certificate for the previous R2 Facility location if the R2 Facility no longer has access to the previous facility.”  
• The CB has the option to add the new location as a campus site to the certificate of the previous location during the process of transitioning operations from one site to the next. Both sites shall continue to be audited until the previous location ceases to be under the control of the R2 Facility. Audit time to add new location as a campus requires following Audit Time Requirements in the COP Version 1.0. | August 19 2021   |