



SERI COP Advisory 22

Advisory No. 22: Transition Plan for R2v3
Reference Document: R2v3 Code of Practices, Version 2.2
Date of Release: October 5, 2020
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Revision Date: March 16, 2023
Version - 1.4

Purpose of Advisory

This document provides requirements for the transition from R2:2013 certification to R2v3 certification. Proactive and early transition of certification will be key to meeting the demands of the marketplace. Certification Bodies (CBs) are encouraged to start briefing and preparing their Candidate Facilities and R2 Certified Facilities for the transition.

Transition Timeline

Deadlines	Task
July 1, 2020	Release of R2v3 Standard
January 1, 2021	New Candidate Facilities wanting to get certified to R2:2013 shall complete their Stage 2 audit by December 31, 2020. The R2:2013 certificate issued shall have an expiration date no later than June 30, 2023. Any new certification audits (Stage 1 and 2) conducted on or after January 1, 2021, shall be done to R2v3.

Deadlines	Task
December 31, 2021	<p>An R2 Facility, whose R2:2013 certificate expires on or before this date, can be recertified to R2:2013 provided they meet the following requirements:</p> <ul style="list-style-type: none"> • Complete the R2:2013 recertification audit before January 1, 2022. • All major and minor nonconformities (NCs) resulting from the recertification audit shall be closed and verified with effective implementation of Corrective Actions (CA) before issuance of the R2:2013 certificate. • The new R2:2013 certificate shall expire on June 30, 2023. <p>If the R2:2013 certificate has expired, and the R2 Facility has been working toward recertification to R2:2013 with the CB, the R2 Facility shall meet the following requirements to recertify to R2:2013:</p> <ul style="list-style-type: none"> • The R2 Facility shall not advertise R2 logo or claim to be certified on its website/marketing material until the new certificate is issued. • The R2 Facility can only be recertified to R2:2013 if the recertification audit was completed prior to expiration. • If the major and minor NCs are successfully closed and verified with effective implementation of CA, the new R2:2013 certificate that is issued shall have an effective date (certificate decision date) that shows a lapse in certification. The certification expiry date shall be June 30, 2023. • If major and minor NCs cannot be closed and CA cannot be verified within 90 days of the last day of the recertification audit, the CB shall conduct a certification audit (Stage 1 and Stage 2) to R2v3 if the R2 Facility wants to be certified to R2v3.
June 30, 2023	R2:2013 Standard and all certificates expire. Transition period is complete. All Transition Audits shall be completed by this date.

Transition Audit Time

- An R2 Facility may transition to R2v3 over any audit during their regular certification cycle and it shall be termed as a Transition Audit. However, a Transition Audit is a full system audit to R2v3 requirements and shall include all Core Requirements and applicable R2 Process Requirements.
- An R2 Facility cannot transition in a phased approach, e.g., transition on consecutively scheduled audits is not allowed.
- The audit time for any Transition Audit shall be calculated using the “Certification R2 Audit Time” for new R2 Certifications as defined in the R2v3 Code of Practices (COP), Section 6.0. Up to ½ of the “Certification R2 Audit Time” may be conducted remotely, following the requirements of the COP, Section 8.
- If an organization has multiple R2:2013 Certified Facilities under a Multisite scheme, each location in the scheme shall complete a Transition Audit to R2v3 to attain a stand-alone certificate. No sampling between locations is permitted during the Transition Audits.

- If an organization has multiple R2 Facilities that are R2:2013 certified under a Campus scheme, all locations shall transition during the same Transition Audit. Sampling between locations during the Transition Audit is not permitted. Each location shall be audited during the Transition Audit for all R2 Core Requirements and applicable R2 Process Requirements. A certificate shall be issued by the CB for all the locations under a Campus scheme in its entirety after successful completion of the transition process.
- The CB is permitted to do a full remote Transition Audit, refer to Advisory 24 for more details.

Transition Audit NCs

- The CB auditor shall document NCs where the R2 Facility cannot meet the requirements of the R2v3 Standard. This includes deficiencies that may have been documented as part of the R2 Facility's internal corrective action process.
- All NCs, majors and minors, shall be closed and verified as being effectively implemented by the CB via a follow-up audit prior to the issuance of a R2v3 certificate. Closure of NCs includes evidence of correction and implementation of all corrective actions.
- The audit time and type of audit (onsite or remote) needed for this follow-up audit shall be determined by the CB depending on the NCs issued. The follow-up audit may only be conducted remotely, if the objectives of the follow-up audit can be achieved based on the objective evidence needed to close the NCs.
- The CB shall ensure that the closure of NCs by the R2 Facility does not exceed 90 days from date of issuance. If NCs are not closed effectively within 90 days, the R2:2013 certificate shall be suspended by the CB. The R2 Facility shall have an additional 90 days after suspension to close the NCs with effective implementation of all corrective actions. Failure to meet this requirement shall result in withdrawal of the R2:2013 certificate by the CB.
- An R2 Facility, who cannot complete closure of R2v3 NCs within the allotted timeline, can keep its R2:2013 certificate current (provided R2:2013 certificate has not expired) if it is able to complete an additional R2:2013 audit (surveillance or recertification) within the timelines defined in this plan or in the R2v3 COP, as applicable.
- If the certificate expires soon after the Transition Audit has been completed, the follow up audit to close and verify NCs shall be scheduled by the CB. If the CB is unable to accept the CA and verify its implementation within 90 days from the last day of the Transition Audit, the CB shall conduct a R2v3 certification audit (Stage 1 and Stage 2) if the R2 Facility wants to be certified to R2v3. If NC(s) are identified at the Package Review stage only, the R2 Facility shall receive 60 days (from date of new NC issuance) to close out these NCs, provided not more than 6 months have passed since the last day of the transition audit. The CB shall maintain documentation to justify the extension of time to close NCs issued to a R2 Facility. Examples of NCs identified during the audit package review could be of the following:
 - The auditor downgraded a concern that should have been a minor or major NC.
 - An issue identified by the auditor in the report that should have been classified as an NC.

If the new NCs cannot be closed out within 60 days, the CB shall conduct a R2v3 certification audit (Stage 1 and Stage 2) if the R2 Facility wants to be certified to R2v3.

Issuance of Certificate

- The transition audit is required to be a full system audit. When the transition audit is completed successfully, all NCs are closed and verified with effective implementation and the CB certification decision has been completed, a new R2v3 certificate is issued.
- At recertification, if a transition audit is completed prior to the expiry date of the existing R2:2013 certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the certification decision. The duration of the new R2v3 certificate issued shall not exceed 3.5 years.
- In determining when the transition audit can occur, the CB must consider the R2 Facility's current audit program and ensure that it continues to assure that oversight and audit activities remain timely with adequate certificate coverage.

CB's Transition Requirements for R2v3 Accreditation

- CBs shall revise their documentation and R2 Certification program systems to conform with the R2v3 COP.
- CBs shall conform to the R2:2013 COP to manage the certification for R2 Facilities that are certified to R2:2013 and have not yet transitioned.
- CBs shall utilize the R2v3 COP for all certification relevant activities for R2v3.
- CBs shall attain the SERI Certification Body mark as defined in the R2v3 COP. This Certification Mark requires:
 - A CB agreement with SERI (this needs to be signed prior to starting accreditation with the Accreditation Body), and
 - Accreditation by a SERI authorized Accreditation Body
- CBs currently accredited to R2:2013 may conduct transition and certification audits to R2v3 for new R2 Facilities before their R2v3 accreditation is completed but shall not issue R2v3 certificates until accreditation to R2v3 is acquired.
- SERI may request to witness Transition Audits or review the Transition Audit packages as part of its Assurance program (refer Section 19 COP).

Competence Requirements

- New Auditors wanting to perform R2v3 Certification audits shall successfully complete the SERI R2v3 Auditor Training and meet the requirements as defined by the R2v3 COP Table 2b/c.
- Existing Auditors/Lead Auditors who have successfully completed the R2v3 Auditor training, can use R2:2013 audits towards meeting the audit day requirements for maintaining status as an Auditor/Lead Auditor as defined in R2v3 COP Table 2b/c.
- If a CB wants to qualify a new Audit Package Reviewer (APR), the individual must meet the requirements defined in R2v3 COP Table 2d. New APRs that are qualified to review R2v3 packages under the R2v3 COP are not permitted to review R2:2013 packages unless they meet the requirements of R2:2013 COP Advisory 16.
- APRs qualified under the R2:2013 COP Advisory 16 can do the audit package reviews for R2v3 so long as they successfully complete the SERI R2v3 Auditor Training and are able to meet the requirements identified in Table 2d of the R2v3 COP.
- If a CB chooses to do a remote transition audit for an R2 Facility, the auditor conducting the audit must successfully complete the SERI Remote Transition Audit training. Certificates of successful completion of the training shall be maintained by the CB.

Clarifications for Auditing of Downstream Vendors

R2 Certified Downstream Vendors

- Where the R2v3 Standard provides requirements for recognizing the use of another R2 Facility as a DSV, the downstream vendor shall:
 - Actively hold an R2v3 certificate, or
 - Be R2:2013 Certified and have completed an R2v3 Transition Audit, and
 - Have a Scope of certification that covers necessary equipment, components, and materials as well as all applicable R2 Process Requirements.
- DSVs that are R2:2013 Certified but have not completed the R2v3 Transition Audit shall be qualified by the R2 Facility through the non-R2 downstream requirements in accordance with R2v3 Appendix A (8).

QMS Certified Downstream Vendors

For R2v3 transition only, where the R2v3 Standard requires a DSV to be certified to an approved quality management system (Appendix C and Appendix F), the DSV shall:

- Actively hold an accredited ISO 9001 or RIOS certificate, or other standards as identified on SERI's website, [Key Steps in the Certification Process - SERI - Sustainable Electronics Recycling International](#)" or
- Have completed an ISO 9001 or RIOS Certification Audit or other standards as identified on SERI's website, [Key Steps in the Certification Process - SERI - Sustainable Electronics Recycling International](#)" and
- Have a Scope of certification that covers necessary equipment, components, materials, and processes to which the Appendix C or F applies.

DSVs that do not hold an active QMS certificate or have not completed a QMS certification audit (per above points) cannot meet the requirements of downstream requirements in accordance with R2v3 Appendix A (8)(e)(1) and Appendix A(8)(g). ***In addition, ISO Certificates must be issued by a CB that is accredited by an AB that is an IAF MLA signatory.***

Revision History

Revision No.	Change	Date of Release/Revision
1.1	CB needs to sign agreement with SERI prior to starting accreditation with Accreditation Body.	January 20 2021
1.2	Added section on QMS Certified Downstream Vendors	June 15 2021
1.3	<ul style="list-style-type: none">• Added option of remote transition audit• Added competence requirements for auditors completing Remote Transition audits; Removed the Date for qualification of R2v3 APRs.	February 23 2022

	<ul style="list-style-type: none"> • Added under section of Issuance of Certificate: <ul style="list-style-type: none"> ○ The transition audit is required to be a full system audit. When the transition audit is completed successfully, all NCs are closed and verified with effective implementation and the CB certification decision has been completed, a new R2v3 certificate is issued. ○ At recertification, if a transition audit is completed prior to the expiry date of the existing R2:2013 certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate shall be on or after the certification decision. The duration of the new R2v3 certificate issued shall not exceed 3.5 years. ○ In determining when the transition audit can occur, the CB must consider the recycler’s current audit program and assure the audit program continues to assure that oversight and audit activities remain timely with adequate certificate coverage. • Added details in section on DSVs the link to SERI website where Accepted Standards are listed. • Clarified the statement: DSVs that do not hold an active QMS certificate or have not completed a QMS certification audit. Added: In addition, ISO Certificates must be issued by a CB that is accredited by an AB that is an IAF MLA signatory. 	
1.4	<p>Added under Transition Audit NCs: If NC(s) are identified at the Package Review stage only, the R2 Facility shall receive 60 days (from date of new NC issuance) to close out these NCs, provided not more than 6 months has passed since the last day of the transition audit. The CB shall maintain documentation to justify the extension of time to close NCs issued to a R2 Facility. Examples of NCs identified during the audit package review could be of the following:</p> <ul style="list-style-type: none"> • The auditor downgraded a concern that should have been a minor or major NC. • An issue identified by the auditor in the report that should have been classified as an NC <p>If the new NCs cannot be closed out within 60 days, the CB shall conduct a R2v3 certification audit (Stage 1 and Stage 2) if the R2 Facility wants to be certified to R2v3.</p>	March 16 2023