



RIOS™:2016

Overview of the Standard



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Austin Matthews
EHS Program Manager

Agenda:

- Welcome from PJR Headquarters:
755 W. Big Beaver Rd, Suite 1340
Troy, MI 48084
Phone: 1-800-800-7910
- Introduction of speaker
- About PJR
- Benefits and drivers
- Key requirements
- General standard overview
- Clause-by-clause details
- Certification Process
- Questions

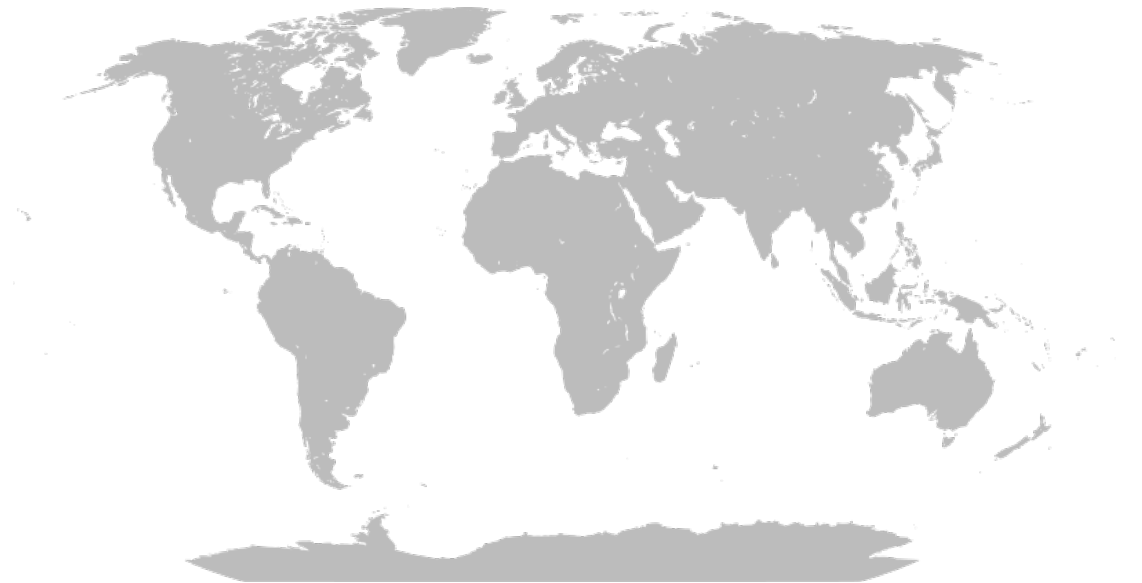


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PJR is a leading Registrar

- PJR is one of the leading Registrars in the world
- A few countries where PJR has certified companies to various standards:
 - Australia
 - Brazil
 - European Union
 - Japan
 - India
 - Malaysia
 - Mexico
 - Singapore
 - Thailand
 - United States



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PJR is accredited to grant certification for :

- ISO 9001
- ISO 14001
- AS 9100, 9110 & 9120
- ISO/TS 16949
- R2v3
- **RIOS**
- ISO 13485
- SQF
- TL 9000
- ISO 45001
- ISO 27001
- ISO 22000
- HACCP Compliance
- FSSC 22000
- e-Stewards®



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Benefits of Certification

- Improving the organization's QEH&S performance, and minimization of risks
- Material sourcing and outsourcing controls
- Management commitment and employee engagement
- Providing a competitive advantage and/or improved public image
- Potential financial benefit(s)
- Framework for meeting customer and/or regulatory requirements
- Commitment to the responsible management of recyclables
- Ability to integrate with other standards, such as R2v3



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Key requirements in RIOS:2016

- Emphasis on leadership
- Focus on proactivity and risk management
- Emphasis on outcomes of the management system
- Communication and awareness, including stakeholder and customer requirements
- Change management



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General information

- Copies of the RIOS:2016 standard can be obtained by contacting Amy Sailor at asailor@isri.org
- During Recertification audits to RIOS:2016, all NCRs (even minors) will require evidence of effective implementation prior to acceptance and closure.
- Auditor is required to be replaced for each Recertification audit (every 3 years)
- Annual RIOS membership is required to be maintained
- The standard requires annual sampling of certain controls or processes, such as:
 - Competency/training,
 - Communication,
 - Monitoring and measurement,
 - Operational processes against which NCRs were issued during the prior 2 years' audits



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Key standard requirements by clause

Introduction

- The notes within the standard provide additional guidance, but are not auditable

Clause 1: General Requirements

1.1 Scope and Application

- Must consider actions by Outside Providers in the scope
 - Footprint should include activities performed by Outside Providers, such as contractors

1.1.1 RIOS Outcomes

- Outlines implementation criteria, intended outcomes, and calls for proactivity





Key standard requirements by clause (ctd.)

1.2 QEH&S Infrastructure

1.2.1—1.2.3

- Requirements for the assigning of responsibilities, and a Management Representative
- Senior Management commitment, involvement, and accountability are emphasized, and must ensure adequate resources for the intended outcomes of the QEHSMS

1.3 Document and Recordkeeping Controls

- Documentation system changes similar to ISO 14001:2015, where controlled documents can take many forms

Clause 2: Policy

- Requirements related to evaluation of impacts and risks, annual reviews, Senior Management commitment, etc.





Key standard requirements by clause (ctd.)

Clause 3: Planning

3.1 Identifying the RIOS Footprint

- Proactive planning
- Assessment to include purchasing, source material acquisition, transport, delivery, etc.
- Also to include positives (not just negative impacts)
- Keep up-to-date, review for changes, and assess prior to making changes that could impact the QEHSMS

3.1.1 Important Quality Risks

- Requires the identification (and control) of risks affecting product and/or service quality
 - Risk is the effect of uncertainty, and can be positive or negative
 - Examples: employee theft, ineffective training, departure of a key employee(s), equipment/tool breakdown, etc.





Key standard requirements by clause (ctd.)

3.1.2 Important Environmental Impacts

- Additional requirements, including the documentation of rating criteria

3.1.3 Important Health & Safety Risks

- Additional requirements, including the documentation of controls

3.1.4 Legal Requirements

- Includes product requirements
- Controls to be documented



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Key standard requirements by clause (ctd.)

3.1.5 Product, Service, and Customer Requirements

- Requires the documentation of requirements and monitoring methodologies for:
 - products,
 - customer requirements,
 - outsourced activities,
 - source material specifications, etc.
- Requires verification and records of conformity

3.1.6 Other Stakeholder Requirements

- Requires the identification of stakeholders and their respective requirements
- Controls to be implemented accordingly
- Reviewed annually
- See Stakeholder definition
 - Additional examples include owners, landlords, insurance companies, etc.





Key standard requirements by clause (ctd.)

3.2 Improvement Planning

3.2.1 Establishing Goals

- Several inputs or items to be considered

3.2.2 Plans for Goal Achievement

- Requires written plans identifying tasks, resource needs, assigned responsibilities, due dates, and methods for the evaluation of results

3.3 Change Management

- Requires a written plan to review the Footprint for relevant changes prior to implementing a change to the QEHSMS





Key standard requirements by clause (ctd.)

Clause 4: Implementation

4.1 Recycler Knowledge

4.1.1 Competence

- Must identify competency requirements, maintain records as evidence of competence, and verify effectiveness
- Training to consider identified criteria
- Relevant to intended outcomes of the QEHSMS

4.1.2 Awareness

- Awareness topics/requirements

4.2 Communication

- Requires documentation of communication plans





Key standard requirements by clause (ctd.)

4.2.2 Customer Communication

- Includes customer qualifications (if any), as well as any QEHS customer requirements

4.2.3 Supplier Communication

- Communication of source control requirements, load rejections, errors, etc.

4.2.4 Outside Supplier Communication

- Communication with Contractors

4.2.5 External Communication

- Requires communication of relevant QEHS information with visitors, stakeholders, etc.
 - Examples: emergency plans, reporting on-site chemicals to the Fire Dept., Tier II reporting, etc.





Key standard requirements by clause (ctd.)

4.3 Operational Control

4.3.1 Source Materials

- Controls and requirements related to Suppliers

4.3.2 Outsourced Providers, Products, and Services

- Criteria similar to Purchasing controls (documented specifications, controls relative to the potential QEHS impact, records of evaluation and monitoring, etc.)

4.4 Quality Controls

- Requires documentation of specifications and criteria, worker instructions, etc.





Key standard requirements by clause (ctd.)

4.5 Environmental Controls

- Requires documented controls to minimize environmental impacts

4.6 Health & Safety Controls

- Requires documented controls to minimize health and safety hazards (including hazards related to outsourcing, source materials, contractors, off-site activities, chemicals, equipment, etc.)

4.7 Emergency Preparedness

- Emergency plan or response expectations
- Communicate per clause 4.2





Key standard requirements by clause (ctd.)

Clause 5: Checking and Corrective Action

5.1 Monitoring and Measurement

- Details items to be included in the plan

5.1.1 Activities Requiring Monitoring or Measurement

- Details items to be monitored

5.1.2 QEHS Compliance

- Requires annual evaluation of legal and stakeholder requirements
- Includes verbiage about competency of the person(s) evaluating compliance





Key standard requirements by clause (ctd.)

5.1.3 Maintenance and Calibration of Monitoring Equipment

- Requirements such as documentation of requirements, and actions taken to address out of tolerance monitoring devices

5.1.4 Analysis of Monitoring and Measurement Results

- Monitoring and measuring outputs are inputs to Management Review

5.2 Nonconformance and Corrective and Preventive Action

5.2.2 EH&S Incident Investigations

- Requires investigation for all EHS Incidents
 - See definition, as this includes near misses
- PNCRs for two audit cycles will now be reviewed for effectiveness (instead of previously just one audit cycle)





Key standard requirements by clause (ctd.)

5.3 Internal RIOS Audits

- Annual audits required, with full system evaluations “prior to certification or recertification”
- Written plan details/requirements

Clause 6: Management Review

- Required inputs and outputs



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Certification Steps

- Purchase the RIOS:2016 Standard
 - Copies can be obtained by contacting Amy Sailor at asailor@isri.org
- Establish QEHSMS documentation to meet RIOS requirements
- Training to QEHSMS requirements
- Implement QEHSMS requirements
 - Conduct internal audits of system
 - Conduct compliance evaluation
 - Conduct review of system based on input from internal audit
- Contract with a Certification Body (CB)
- Complete Stage I and Stage II audits, and address any resulting nonconformities
 - Certification issuance



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Certification Process

The registration audit consists of two stages:

- Stage I:
 - Document review of your QEHSMS (may be required to be submitted to PJR prior to Stage I)
 - Evaluates the readiness of your organization to move to Stage II

- Stage II:
 - Scheduled 30 to 60 days after the Stage I audit
 - On-site audit of your entire QEHSMS
 - Any nonconformities will need to be resolved prior to certificate issuance



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Certification Requirements

- Surveillance audits
 - Scheduled at either six or twelve month intervals depending on the contract
 - Partial system audit
- Re-certification audit
 - On-site audit conducted prior to the third anniversary of the initial certification
 - Surveillance visits will then continue, as before, on a 3-year cycle



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Please type any questions you may have.



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For additional technical information, please contact PJR using the below contact information:

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For a quote, please contact
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