



# ***RIOS™:2016***

## **Overview of the Standard**



PERRY JOHNSON REGISTRARS  
**PJR**



**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

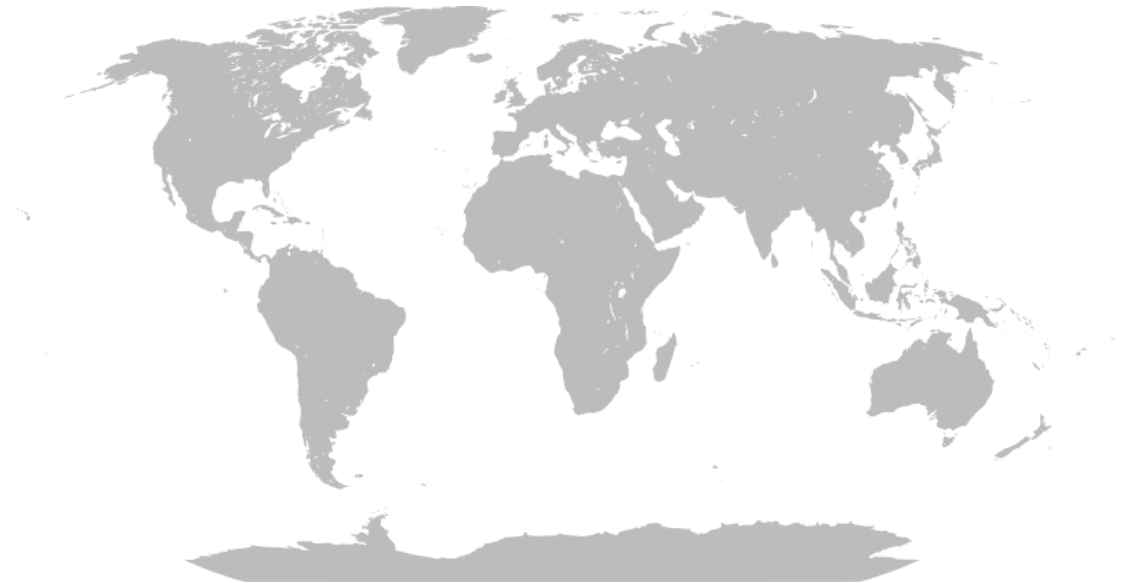


PERRY JOHNSON REGISTRARS  
**PJR**



## 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



PERRY JOHNSON REGISTRARS  
**PJR**



## 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®



PERRY JOHNSON REGISTRARS  
**PJR**



## 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



PERRY JOHNSON REGISTRARS  
**PJR**



## 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



PERRY JOHNSON REGISTRARS  
**PJR**





## General information

- Copies of the RIOS:2016 standard can be obtained by contacting Amy Sailor at [asailor@isri.org](mailto: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



PERRY JOHNSON REGISTRARS  
**PJR**



# 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



PERRY JOHNSON REGISTRARS  
**PJR**



## 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



PERRY JOHNSON REGISTRARS  
**PJR**





## Certification Steps

- Purchase the RIOS:2016 Standard
  - Copies can be obtained by contacting Amy Sailor at [asailor@isri.org](mailto: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



PERRY JOHNSON REGISTRARS  
**PJR**



# 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



PERRY JOHNSON REGISTRARS  
**PJR**



## 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



PERRY JOHNSON REGISTRARS  
**PJR**



Please type any questions you may have.



PERRY JOHNSON REGISTRARS  
**PJR**



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

Austin Matthews

EHS Program Manager

Phone: (248) 358-3388

Email: [amatthews@pjr.com](mailto:amatthews@pjr.com)

For a quote, please contact  
the Sales Department at:  
1-800-800-7910



PERRY JOHNSON REGISTRARS  
**PJR**