



RIOS™ :2016

Overview of Changes



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- Welcome from PJR Headquarters:
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- Introduction of speaker
- Audience for today's meeting

Agenda:

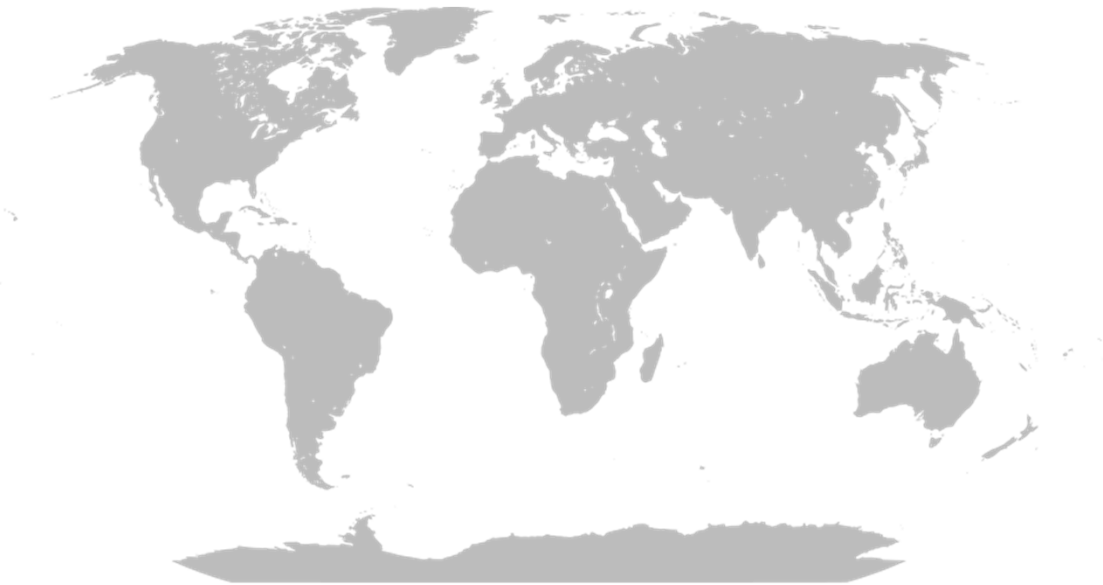
- About PJR
- Benefits and drivers
- Transition timelines
- Key changes and changed terms
- Clause-by-clause overview
- Certification Process
- Questions





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
- Responsible Recycling (R2)
- **RIOS**
- ISO 13485
- SQF
- TL 9000
- OHSAS 18001
- 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





Transition deadline

- Must be transitioned by **September 30, 2019**
 - This deadline includes addressing any nonconformities identified during the audit, and certification review and decision activities by the CB.
- Transition audits must take place during a recertification audit. If an organization plans to transition during a regularly-scheduled surveillance audit, the audit length will be adjusted to reflect that of a recertification audit.

Note: Copies of the RIOS:2016 standard can be purchased by contacting Michelle Woody at mwoody@rioscertification.org



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Why was the standard revised?

- *Market relevance* - Any Management System Standard should meet the needs of, and add value for, the primary users and other affected parties.
- *Compatibility* - Compatibility between various Management System Standards and within a Management System family should be maintained.
- *Ease of use* - It should be ensured that the user can easily implement one or more Management System Standards.
- *Topic coverage* - should have sufficient application coverage to eliminate or minimize the need for sector-specific variances.
- *Flexibility* - should be applicable to organizations in all relevant sectors and cultures and organizations of every size.
- *Easily understood* - should be easily understood, unambiguous, free from cultural bias, easily translatable, and applicable to businesses in general.





Key changes 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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Key term changes

Audit

- A formal, documented, and thorough examination by a qualified auditor of the Recycler's conformance to the RIOS requirements and other standards, or compliance with legal requirements.

Competence

- Possession of the knowledge and ability to achieve intended results.

Control

- Means used to ensure that adverse environmental impacts and health and safety risks are effectively prevented or minimized and that quality goals are met. Controls may include infrastructure, training and competence, communication, operational procedures, and emergency preparedness.





Key term changes (ctd.)

Customer (different from a Supplier)

- In the context of RIOS, a person or business who purchases, receives, or takes control of (e.g., brokers) a product (e.g., processed material, refurbished computer, etc.) from a recycler, or is the recipient of a service provided by the Recycler. Examples of customers include “downstream vendors,” “partners,” or “buyers.”

Emergency (changed from Emergency Situation)

- An incident often involving a fire, explosion, or spill that has the potential to result in damage or harm to human health and/or the environment and requires immediate action.





Key term changes (ctd.)

Footprint

- An assessment of the Recycler's activities, products, and services in relation to the potential QEH&S risks and impacts, legal requirements, and expectations of stakeholders.

Incident

- An unplanned event that could or does result in personal injury, ill health, damage to property, or an adverse environmental impact. Incidents may include, but are not limited to fire, flying objects, chemical exposure, vehicle crash, spill or unplanned release, worker injury, or other exposure. Incident includes near misses.
 - Note: Some refer to an incident resulting in damage or harm to human health and/or the environment as an accident.





Key term changes (ctd.)

Near Miss

- Incident in which an EH&S harm could have occurred but did not.

Outside Provider

- A person or business that provides to the Recycler or on behalf of the Recycler, products or services that affect product quality, create a potential environmental impact of the operations, or create health and safety hazards to products or the operations.
 - Note: Outside providers that perform services at the Recycler's facility are also referred to as Contractors.





Key term changes (ctd.)

Outsourced Products and Services

- Products and services supplied by an Outside Provider that have a QEH&S impact. Outsourced products may be incorporated into the Recycler's own product or provided directly to the customer. Outsourced services may include on-site or off-site contractors, material removal services, and on-site data destruction services.

Plan

- A documented process to achieve intended results.



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Key term changes (ctd.)

Recycler

- The term “recycler” is used throughout RIOS as a broad reference to numerous different organizations in the recycling industry. This includes, but is not limited to, recyclers, shredders, refurbishers, resellers, and brokers across commodity streams, including electronics, glass, metal, rubber, plastics, paper, and other recyclable commodities. When capitalized, “Recycler” or “Recyclers” refers to the organization(s) implementing RIOS.

Senior Management

- Person or group responsible at the top level of management for the activities of the Recycler.
 - Also referred to as leadership.





Key term changes (ctd.)

Stakeholder (Changed from Interested Party)

- Individual or group (internal or external to the organization) that is concerned with or affected by the QEH&S performance of recyclers. Stakeholders can include customers, workers, suppliers and contractors, regulators, neighbors, etc.

Supplier

- A person or business that provides source materials as inputs into the Recycler's operations. Examples of suppliers include "inbound customers," "upstream customers," or "clients."

Worker

- Any person performing tasks for the activities on behalf of the Recycler.
 - Contract employees (temporary), such as those obtained through an employment agency, are considered workers, not contractors, for the purposes of RIOS.





Standard changes 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

- Entirely new section outlining implementation criteria, intended outcomes, and calling for proactivity





Standard changes 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

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





Standard changes by clause

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

- Entirely new section requiring 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.





Standard changes by clause

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





Standard changes by clause

3.1.5 Product, Service, and Customer Requirements

- Entirely new section requiring 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

- Entirely new section requiring 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.





Standard changes by clause

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

- Entirely new section requiring a written plan to review the Footprint for relevant changes prior to implementing a change to the QEHSMS





Standard changes by clause

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

- Additional awareness topics/requirements

4.2 Communication

- Requires documentation of communication plans





Standard changes by clause

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

- Replaces the old Contractor Communication section, with clarified language

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.





Standard changes by clause

4.3 Operational Control

4.3.1 Source Materials

- Restructured (previously found in the Suppliers section)
- Clarified requirements and expanded controls

4.3.2 Outsourced Providers, Products, and Services

- Restructured (previously found in the Contractors section)
- Additional requirements similar to Purchasing controls (documented specifications, controls relative to the potential QEHS impact, records of evaluation and monitoring, etc.)

4.4 Quality Controls

- New section, requiring documentation of specifications and requirements, worker instructions, etc.





Standard changes by clause

4.5 Environmental Controls

- New section, requiring documented controls to minimize environmental impacts

4.6 Health & Safety Controls

- New section, requiring 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

- No significant changes
- Communicate per clause 4.2





Standard changes by clause

Clause 5: Checking and Corrective Action

5.1 Monitoring and Measurement

- Additional items to be included in the plan

5.1.1 Activities Requiring Monitoring or Measurement

- Additional items to be monitored

5.1.2 QEHS Compliance

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





Standard changes by clause

5.1.3 Maintenance and Calibration of Monitoring Equipment

- Additional 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

- New section, requiring 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)

Note: During transition and recertification audits to RIOS:2016, all NCRs (even minors) will require evidence of effective implementation prior to acceptance and closure, per RIOS:2016 transition requirements





Standard changes by clause

5.3 Internal RIOS Audits

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

Clause 6: Management Review

- Provides additional clarity to required inputs and outputs





Certification Steps

- Purchase the RIOS:2016 Standard
 - Copies can be purchased by contacting Michelle Woody (mwoody@rioscertification.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





Certification Process

The registration audit consists of two stages:

- Stage I:
 - On-site 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 Stacey DeSantis or myself using the below contact information:

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