e-Stewards® Version 4.1

Overview of changes

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EHS Program Manager

Agenda:

- About PJR

- Benefits of certification

- Key changes

- Overview of certification process

- Questions

- **Welcome from PJR Headquarters**

    755 W. Big Beaver Rd, Suite 1340

    Troy, MI 48084

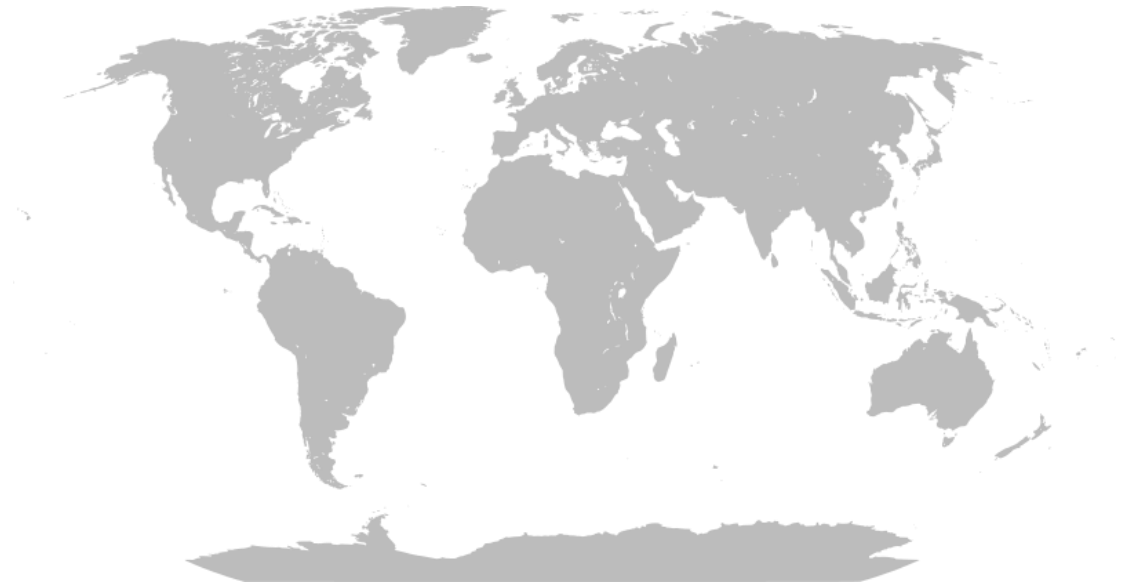- Introduction of speaker

- Audience for today's meeting

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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
- Responsible Recycling (R2)
- RIOS
- ISO 13485
- SQF

- TL 9000
- ISO 45001
- ISO 27001
- ISO 22000
- HAACP Compliance
- FSSC 22000
- **e-Stewards®**

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Benefits and drivers

- Commitment to prevention of irresponsible or illegal handling of hazardous waste or e-waste streams, data security and protection, social responsibility, and environmental protection/conservation

- Reduction of environmental, occupational health & safety, data security, and social accountability risks

- Business management drivers, including improving public image

- Advertising of responsible management of electronics and electronic components

- Providing a competitive advantage

- Framework for maintaining compliance with customer and/or regulatory requirements, including the Basel Convention

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e-Stewards Version 4.1

- V4.1 was published on February 22, 2022.
  - A copy of Version 4.1 with the changes highlighted can be found here: https://e-stewards.org/wp-content/uploads/2022/02/e-Stewards-Standard-V4.1-Highlighted.pdf
  - Sanctioned Interpretations Parts A and B can be found here: https://e-stewards.org/wp-content/uploads/2022/02/Proposed-Sanctioned-Interpretations-Part-A.pdf and https://e-stewards.org/wp-content/uploads/2022/02/4.1-Sanctioned-Interpretations-Part-B.pdf

- e-Stewards published the V4.1 Transition Plan on March 14, 2022.
  - A copy of the Transition Plan can be found here: https://e-stewards.org/wp-content/uploads/2022/03/Transition-Plan-for-V4.0-to-V4.1-FINAL.pdf

- All audits scheduled to begin on or after April 23, 2022 must be conducted to V4.1. The Transition period ended on 4/22/2023.

Key changes in e-Stewards V4.1

- Acceptance of RIOS certification in lieu of ISO 14001 certification as an e-Stewards prerequisite requirement/standard

- Revision of the definition of an *e-Stewards Processor* to clarify that Control extends even to Electronic Equipment not subjected to Processing

- Revision of the definition of *Problematic Components or Materials (PCMs)* to remove PVC, which is an HEW and already listed in Y48 of the Basel Convention Annex II

Key changes in e-Stewards V4.1 (continued)

- A new definition of a *Processing Facility* to include mobile processing, sampling, applicability to multi-sites, and the impact on the requirement for all relevant e-Stewards organizations to be required to achieve certification

- Clarification of the requirements of 6.1.3.1 regarding Transboundary Movement of wastes, since the e-Stewards standard cannot dictate to governments prior-informed consent proceedings in regions where the waste is not considered hazardous or controlled

- Revisions to, and expansions of, the Performance Verification program inclusion criteria in 6.1.4

Key changes in e-Stewards V4.1 (continued)

- Revision of the 8.5.1b) language regarding documentation of rechargeable battery health destined for Direct Reuse, in alignment with the Version 4.1 revisions to the definition of Repurposing (not significantly changed)

- A new section 8.5.1b)iii to allow for Direct Reuse of batteries without testing, in specific instances where it cannot be tested without presenting significant risk <u>and</u> where identified criteria are met

- A new section 8.5.1.1 focusing on Repurposing, and in alignment with the revised definition, to clarify when Repurposing can constitute an acceptable form of Direct Reuse, to be used in conjunction with functionality and e-Stewards transparency requirements

Key changes in e-Stewards V4.1 (continued)

- Clarification in 8.5.2 regarding QSCs that will ultimately be tested by an IDP

- Clarification in 8.6.1a) as to the expected evidence of conditionally allowable option approval on the part of the e-Stewards Administrator

- Revisions to the criteria in 8.8.2.1 and 8.8.2.3 for ensuring non-e-Stewards DPs maintain the criteria necessary to process and/or dispose of the e-Steward organization's MOCs, and removal of the requirement for <u>all</u> DPs in the recycling chain to have closure plans (instead of just IDPs)

Key changes in e-Stewards V4.1 (continued)

- Additional verbiage in 8.9 in regards to Data Security expectations, NAID AAA Certification transitions, etc., in part to clarify the requirement for e-Stewards organizations to protect personal data when received, even if the upstream or customer claims it has been sanitized already (unless the customer maintains ownership throughout processing)

- Sanctioned Interpretation A focuses on the main text/body of the standard, including definitions, without much impact on the Appendices (expect where changes overlap). Sanctioned Interpretation B, on the other hand, appears to primarily focus on changes within the Appendices (although not exclusively).

  - Note: A significant portion of Sanctioned Interpretation B focuses on the inclusion of RIOS as a prerequisite standard instead of ISO 14001, for client organizations which prefer one over the other.

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Certification steps for new registrations

- Obtain a copy of the Standard
- Establish SMS documentation to meet e-Stewards® requirements
- Training to SMS requirements
- Implement SMS requirements
  - Conduct an internal audit(s) of the system
  - Conduct a compliance evaluation
  - Conduct a system review (including the outputs of the internal audit as inputs)
- Contract with a Certification Body (CB), such as PJR
- Complete Stage 1 and Stage 2 audits, and address any resulting nonconformances (NCRs)
  - → Certification issuance

Certification Process

The registration audit consists of two stages:

- Stage 1:
  - On-site document review of the SMS (may be required to be submitted to PJR prior to Stage 1)
  - Evaluates the readiness of your organization to move to Stage 2

- Stage 2:
  - Scheduled 30 to 60 days after the Stage 1 audit
  - On-site audit of your entire SMS
  - Any nonconformities will need to be resolved prior to certificate issuance

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

Please type any questions you may have.

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

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For a quote, please contact

the Sales Department at:

1-800-800-7910

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