



ACCREDITATION RULE 34
Issue Date: 2011/12/15
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Supersedes: 2011/03/24

SUBJECT: Accreditation Program for Responsible Recycling Certification

APPLIES TO: Responsible Recycling ANAB-Accredited and Applicant Certification Bodies

PREFACE

This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for accreditation to certify organizations for the Responsible Recycling (R2) program for recyclers of electronic equipment.

ACCREDITATION RULE

1. Requirements Documents

- 1.1. Responsible Recycling (“R2”) Practices (available from www.r2solutions.org/)
- 1.2. ISO/IEC 17021, Conformity assessment - Requirements for bodies providing audit and certification of management systems
- 1.3. MA 6000, ANAB Accreditation Manual, and applicable ANAB Accreditation Rules
- 1.4. IAF Mandatory Documents as applicable

2. Prerequisites

- 2.1. R2 applicant CBs shall have demonstrated competency in accordance with ISO/IEC 17021 in electrical and electronic equipment and recycling industries.
- 2.2. R2 applicant CBs shall have been accredited by ANAB or an International Accreditation Forum multilateral recognition arrangement signatory accreditation body to provide ISO 14001 environmental management systems audit and certification for at least one year prior to applying for accreditation.

3. Application Process

- 3.1. R2 applicant CBs can obtain an application for informational use at www.anab.org.
- 3.2. The application process outlined at www.anab.org must be completed via ANAB’s Enterprise Quality Manager (EQM) database when the CB is ready to apply for R2 program accreditation.
- 3.3. The application fee includes the cost of one assessor day for the off-site documentation review.

4. Initial Assessment for Accreditation

- 4.1. An ANAB assessor will review the applicant CB’s documentation to support R2 accreditation, including a review of the competency analysis performed by the CB for each auditor to be qualified for participation in the program.
- 4.2. After documentation is determined to be in conformance with program requirements, ANAB shall decide whether an initial office assessment is required.

Note: An initial office assessment may not be required if it can be determined that the applicant CB has sufficient experience in auditing electronics scrap recyclers against ISO 14001 or an equivalent environmental management system standard and an occupational health and safety management system standard.

- 4.3. Following the initial document review, ANAB shall schedule and conduct a stages 1 and 2 witnessed audit of the applicant CB auditing an organization seeking R2 certification against the full requirements of the R2 standard.
 - 4.3.1. The stage 2 R2 audit shall be conducted by a team of at least two auditors of the CB.
 - 4.3.2. The ANAB assessment team shall have the same number of members as the CB audit team.
- 4.4. The R2 accreditation period initially shall be established to coincide with the CB's current ISO 14001 accreditation period and thereafter the accreditation period shall be four years.
5. Ongoing Surveillance
 - 5.1. ANAB shall witness an on-site R2 audit for each accredited CB once every two calendar years. The first witnessed audit shall be conducted within two calendar years from the year of the completion of the stage 2 initial witnessed audit.
 - 5.2. ANAB will perform an annual office assessment at the accredited CB's office in conjunction with the normally scheduled annual office audit.
 - 5.3. The R2 re-accreditation office assessment shall be performed in conjunction with the CB's normally scheduled re-accreditation office assessment.
 - 5.4. The CB must maintain on its website an up-to-date (within 30 days of certification decision or change of status) publicly available list of all organizations it has certified that hold ANAB-accredited certificates for R2, including the effective dates of certifications.
6. R2 Auditing and Certificate Issuance
 - 6.1. No unaccredited R2 certificates may be issued.
 - 6.2. The following statement shall be included on each certificate: "The organization has been audited by a certification body that is in conformance with ISO/IEC 17021 requirements and applicable ANAB requirements. The organization is found to be in conformance with all requirements of the Responsible Recycling[®] Standard."
 - 6.3. The CB must use the Auditor's Checklist for Use With the R2 Practices (current version) as a training tool to ensure its audit teams fully understand the auditor process for R2 and as a basic tool to ensure that no requirements are missed during the on-site audit process. The CB shall have a defined process for use of the checklist. The checklist can be found at www.r2solutions.org/.
 - 6.4. No multi-site certificates shall be issued initially. Only an initial single-site certification is permitted. After holding a single-site certificate for a minimum of one complete certification cycle, a site could become part of a multi-site certificate. IAF MD 1 does not apply to the R2 program.
 - 6.5. Multi-site certificates are then permitted if:
 - 6.5.1. 80% of a site's business practices are consistent with other sites on the certificate.
 - 6.5.2. 80% of a site's downstream material and the EMS that ties together sites are consistent.
 - 6.5.3. 50% of the sites visited for surveillance sampling purposes must be based on performance results of internal audits, compliance evaluations, customer and contract issues and complaints, and overall responsiveness to headquarters concerns, and only 50% can be randomly sampled.
 - 6.5.4. Regardless of the number of sites on the multi-site certificate or the calculated sample size of sites, all sites must be visited at least once during the three-year certification cycle.
 - 6.5.5. The headquarters office must be visited during the initial multi-site certification audits and annually thereafter.
7. Personnel Competencies and Qualifications

7.1. Program management competence

7.1.1. The CB's program manager for R2 shall possess and apply in particular knowledge of recycling and electronics recycling.

7.1.2. The CB's program manager for R2 shall possess and apply the skills necessary to provide effective management of the CB's program and to discuss at a technical level any questions the CB's clients may have with regard to management of this program.

7.2. Audit team competence

7.2.1. The audit team shall possess and apply knowledge and skills related to the current version of the R2 standard, an occupational health and safety management system standard, and the environmental management system requirements of the current version of ISO 14001, and other skills and knowledge as defined by the CB. The audit team shall include a qualified ISO 14001 auditor as a prerequisite.

7.2.2. The audit team shall possess knowledge of focus materials and export/import rules of Organization for Economic Cooperation and Development (OECD) and non-OECD countries.

7.2.3. The audit team shall possess knowledge of applicable federal, state, and local regulatory requirements.

7.3. Audit team qualification

7.3.1. CBs must ensure all audit team members for R2 successfully complete a formal training program to understand R2 requirements.

7.3.2. As a continuing education requirement, each auditor must successfully complete a refresher training course approved by the CB every 36 months following completion of the initial training.

7.4. Competence of staff certification decision maker(s)

7.4.1. The CB's decision maker(s) for R2 shall possess and apply in particular knowledge of recycling and electronics recycling.

7.4.2. The CB's decision maker(s) for R2 shall possess and apply the skills necessary to provide credible decisions for granting certifications.

7.5. Competence of staff performing application reviews

7.5.1. Those performing application reviews for R2 shall possess and apply knowledge for accurate quoting for the proper number of auditor days for each applicant organization. This shall include at the quotation stage consideration of the applicant organization's operations with respect to:

7.5.1.1. Number and nature of potentially hazardous processing technologies.

7.5.1.2. Nature and complexity of the downstream recycling chain used by the company.

7.5.1.3. Whether the company currently exports any recycled or processed materials.