

RIOS™ Certification Program

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Table of Contents

1. PURPOSE 2

2. SCOPE 2

3. DEFINITIONS 3

4. RESPONSIBILITIES 3

5. AB ACCREDITATION 4

6. CB ACCREDITATION TO RIOS 5

7. CB SELECTION 5

8. SCOPE OF CERTIFICATION 6

9. AUDIT PLANNING 6

10. MINIMUM AUDIT TIME 7

11. AUDIT TEAM ASSIGNMENT 8

12. AUDITOR COMPETENCE 9

13. GRSO MEMBERSHIP 9

14. AUDITS 9

15. CERTIFICATION 10

 15.1. ISSUANCE OF CERTIFICATION 10

 15.2. CERTIFICATION PERIOD 11

 15.3. CERTIFICATION REPORTING 11

 15.4. DISPUTE RESOLUTION 12

16. COMPLAINTS 12

17. RIOS GUIDANCE 13

18. REFERENCES 13

19. APPENDICES 13

APPENDIX A - RIOS AUDITOR COMPETENCE 14

 1. PURPOSE 14

 2. SCOPE 14

 3. DEFINITIONS 14

 4. RESPONSIBILITIES 14

 5. REQUIREMENTS 14

 6. RECORDS GENERATED 16

 7. REFERENCES 16

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	1 of 16

1. PURPOSE

- 1.1. To create the Certification Program for establishing accreditation bodies, accrediting certification bodies, and verifying that a certified RIOS Company effectively operates to the requirements specified by ISRI Services Corporation d/b/a Global Recycling Standards Organization’s (GRSO) *Recycling Industry Operating Standard™* (RIOS™)¹.
- 1.2. To ensure that the accreditation process of the RIOS Certification Body shall be applied consistently and fairly according to GRSO procedures.
- 1.3. To ensure that the certification process of the RIOS company shall be applied consistently and fairly according to GRSO procedures.
- 1.4. To ensure that the third-party RIOS Certification Process shall be generally accepted and recognized as providing meaningful verification of RIOS conformity by establishing the minimum requirements for RIOS Accreditation Body (AB), Certification Bodies (CB) and for RIOS Certification.

2. SCOPE

- 2.1. This program applies to:
 - 2.1.1. All GRSO contracted ABs approved by GRSO to provide RIOS accreditation services to CBs.
 - 2.1.2. All CBs accredited or seeking accreditation to provide RIOS Certification services to RIOS Member Companies (RIOS Companies).
 - 2.1.3. All RIOS Companies seeking RIOS Certification.
- 2.2. CBs not accredited by a GRSO contracted and IAF Signatory AB are not eligible to certify conformity to RIOS.
- 2.3. A company that is not a RIOS Company shall not be eligible for RIOS Certification. A RIOS Company shall not be eligible to maintain RIOS certification if it fails to maintain its GRSO membership.

¹ Henceforth in the body of this document, all trademarks symbols, “™”, on “*Recycling Industry Operating Standard™*” and “RIOS™” are omitted for clarity.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	2 of 16

3. DEFINITIONS

- 3.1. GRISO = Global Recycling Standards Organization – the owner and administrator of RIOS
- 3.2. RIOS = Recycling Industry Operating Standard™
- 3.3. IAF = International Accreditation Forum
- 3.4. AB = IAF Signatory Accreditation Body that is contracted with GRISO – Accredite CBs to the requirements conveyed in this document and by GRISO, including continual monitoring of CB conformity.
- 3.5. CB = Certification Body – administers the certification program including the auditors who evaluate conformity of a RIOS Company to RIOS and grant/suspend/revoke RIOS Certification.
- 3.6. RIOS Company = RIOS Member Company seeking or maintaining RIOS Certification of its operations. Membership is to Global Recycling Standards Organization (GRISO).
- 3.7. QEH&S = Quality, Environmental, Health & Safety
- 3.8. RIOS Auditor = A person who assesses conformity to RIOS on behalf of an accredited CB.
- 3.9. ISO/IEC 17021-1= The accreditation standard utilized by AB. Until the CB receives accreditation AB accreditation to 17021-1, all references in this document to 17021-1 will mean 17021:2011.

4. RESPONSIBILITIES

- 4.1. GRISO shall be responsible for:
 - 4.1.1. Approving ABs and executing contract with AB.
 - 4.1.2. Interpreting RIOS and maintaining records of RIOS Companies and their certification status.
 - 4.1.3. Approving GRISO membership of applicants.
- 4.2. An AB shall be responsible for:
 - 4.2.1. Establishing each CB’s conformity to the RIOS Certification Program.
 - 4.2.2. Monitoring the performance of CBs.
 - 4.2.3. Accrediting RIOS CBs to certify the conformity of RIOS Companies to RIOS.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	3 of 16

4.2.4. Maintaining a listing of accredited RIOS CBs available without request.

4.2.5. Communicating important changes to GRISO. Changes include, but are not limited to: changes in CB status, changes in accreditation requirements, changes in ISO 17021-1, etc. Note: Requirements for timely reporting to GRISO are listed in 15.3.2 and 15.3.3.

4.3. GRISO and the ABs reserve their independent rights to monitor any CB's performance, at any stage of the Certification Audit process.

4.4. The CB shall be responsible for:

4.4.1. Achieving and maintaining accreditation by an AB as a RIOS CB.

4.4.2. Verifying that the RIOS Company's operations within the scope of the RIOS certification are in conformity with RIOS.

4.4.3. Incorporating into its contracts with the RIOS Company a provision to allow GRISO and AB to observe any audits conducted by the CB.

4.4.4. The CB shall confirm with GRISO that the RIOS Company to be audited is a RIOS member in good standing.

4.5. RIOS Companies shall be responsible for:

4.5.1. Implementing an effective management system that conforms to the requirements of RIOS.

4.5.2. Ensuring ongoing conformity to RIOS requirements.

4.5.3. Maintaining its GRISO membership in good standing as a RIOS Company.

4.5.4. Selecting a CB accredited by an GRISO Contracted AB to audit conformity to RIOS.

4.5.5. Achieving and maintaining RIOS Certification.

4.5.6. Reporting its certification status to GRISO within 10 business days of issuance.

5. AB ACCREDITATION

5.1. GRISO shall establish a contract with approved ABs to provide accreditation services for RIOS.

5.2. In granting accreditation to CBs, the AB shall conform to the requirements and procedures of the current version of ISO/IEC 17011 and the *RIOS Certification Program*.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	4 of 16

- 5.3. If any conflicts arise between ISO/IEC 17011 and this procedure the more restrictive requirements shall take precedence.
- 5.4. The AB shall grant CBs the authority for issuing RIOS certification of RIOS companies and monitor the CBs conformity to the accreditation requirements.
- 5.5. The AB shall perform a witness audit of the CB performing audits, annually, at a minimum. Witness audits shall seek to observe different auditors and each of the different types of audits performed, as well as various types of RIOS Companies.
- 5.6. The AB shall perform an annual CB office assessment.
- 5.7. GRSO may, at its discretion, attend audits of a CB.

6. CB ACCREDITATION TO RIOS

- 6.1. CBs shall apply to an AB to be accredited to certify conformity of RIOS Company operations to RIOS.
- 6.2. The CB shall conform to the requirements and procedures of the most current ISO/IEC 17021-1, this RIOS Certification Program, and shall use, as necessary and appropriate, relevant guidance provided in the current ISO 19011 version. Note: ISO 19011 is guidance, not a requirement.
- 6.3. If any conflicts arise between ISO/IEC 17021-1 and this procedure, the more restrictive requirements shall take precedence.
- 6.4. New CBs shall be currently accredited for one year by an IAF Signatory AB to certify companies for ISO 9001, ISO 14001, and BS OHSAS 18001. Upon its release, ISO 45001 will be an acceptable substitute for BS OHSAS 18001.
- 6.5. CB RIOS personnel materially involved in reviewing audit reports and/or granting RIOS certifications shall demonstrate competencies at least equivalent to the auditor requirements in Appendix A points 5.2.1, 5.2.2, 5.2.3 and demonstrate competence in RIOS or comparable quality, environmental, or health and safety standard(s) consistent with his/her role in the in reviewing reports and/or decision making process.
- 6.6. The CB shall have a management system in place for all activities associated with RIOS Certification.
- 6.7. The CB shall require a RIOS witness audit by the CB of each RIOS auditor at least every 3 years. If an auditor is successfully witnessed by the AB or GRSO, this frequency may be extended by 1 year.

7. CB SELECTION

- 7.1. RIOS Companies shall select a CB that is accredited by an AB to certify conformity to

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	5 of 16

RIOS. Exception: if the CB is applying to an AB for RIOS accreditation and the RIOS Company operations proposed for RIOS certification will be witnessed by the AB as part of the initial accreditation process.

- 7.2. RIOS Companies shall confirm with GRSO the accreditation of a CB, if necessary.
- 7.3. The RIOS Company will be required to produce a valid and current membership certificate from RIOS, signed by the RIOS Executive Director and the Chairman of the GRSO Board of Directors.

8. SCOPE OF CERTIFICATION

- 8.1. The RIOS Company shall identify to the CB the scope of operations within the RIOS management system. Operational scopes may include a single process, facility, or combinations thereof. In cases where the scope is for single or multiple processes, the necessary support functions for those processes as they apply to those processes shall also be included within the operational scope. Identified processes must include activities integral to the process whether at one or multiple physical addresses. (Example: metal shredding shall include purchasing, inspection, sorting and packaging, transport, sales, etc., as they apply to metal shredding.)
- 8.2. A campus shall be any combination of multiple physical addresses in a localized area that are allowed and part of the processes necessary to fulfill the scope. Campus locations shall each be documented on the Certificate after the primary site. Allowance for use of the campus designation will be determined as part of the RIOS Membership process by RIOS staff.
- 8.3. All facilities that are part of the operational scope being certified where materials move between the facilities, shall be included in the RIOS Certification Scope and identified on the certificate.
- 8.4. Multi-site-sampling Certificates shall include multiple physical locations included in the same management system with a common scope of operations. Multi-site sampling certificates shall be issued in conformity with IAF Mandatory Document 1. Each site included in a Multi-site sampling certificate shall be identified by name, address and scope relevant to each site on one certificate (may contain multiple pages). If the RIOS Company uses Multi-site sampling, individual site certificates are not allowed. Multi-site sampling certificates are not required for companies with multiple sites.

9. AUDIT PLANNING

- 9.1. Prior to the audit, the CB shall verify the RIOS Company’s scope of operations that is proposed for certification meets the requirements of section 8 Scope of Certification.
- 9.2. Based on the information provided, the CB shall determine the audit plan including number of audit days, audit scope and audit team members in accordance with this document and provide it to the RIOS Company.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	6 of 16

10. MINIMUM AUDIT TIME

10.1. RIOS onsite audit time for each audit shall not be less than the below minimums. The onsite audit time for each audit is presumed to be at a low risk and complexity. Note: These are minimum onsite audit days. Certification Bodies may add time for increased risk and complexity as they determine necessary to complete the audit process.

Minimum Onsite AUDIT DAYS	Personnel Counts		
	0-25	26-50	Each 50
	RIOS Only – 1.0 Day minimum If fully integrated audit with other standards – 0.5 Day minimum for RIOS ²		
Stage 1 Audit			
Stage 2 Audit	1.5	2.0	+0.5
Surveillance Audit	0.5	1.0	+0.5
Recertification Audit	1.0	1.5	+0.5

10.2. Additional onsite audit time shall be added to each audit (certification, surveillance, and re-certification) according to the following table for specific types of processes.

Processes	Additional Audit Time Per Location
Cathode Ray Tube Dismantling	+0.5 Days
Electronics Shredding or Mechanical Separation	+0.5 Days
Fluorescent Lamp Recycling <i>(Processing not collection or transportation)</i>	+1.0 Days
Mercury Retort	+1.0 Days
Smelting <i>(copper, precious metals, etc.)</i>	+1.0 Days
Automobile Shredding	+1.0 Days
Torch Cutting	+0.5 Days
Lead Acid Battery Recycling	+1.0 Days
Lithium Battery Recycling	+1.0 Days

10.3. It is the responsibility of the CB to ensure the audit time is effective, which may require more than the minimum indicated in 10.1 and 10.2.

10.4. An additional 0.5 days onsite audit time shall be added at a minimum for each additional site in a Campus scheme. Personnel from each additional site shall be included in the total number of personnel for the audit time calculation. Note: It is unlikely that a surveillance audit can be properly completed in less than one day.

10.5. For organizations with certification to ISO 14001, ISO 9001, BS OHSAS 18001 or other normative standards with third-party certification under an AB's accreditation, the CB may adjust fully integrated audit days, however total audit time may not be less than

² Stage 1 audit time will be no less than 1 day whether fully integrated with other standards or not.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	7 of 16

the mandatory total RIOS minimum audit time.³ The audit plan shall take into consideration these certifications and their associated audits. Integration is the only allowable reduction of RIOS audit duration⁴. Sufficient audit time must be allocated to RIOS in order to ensure that all requirements within RIOS are appropriately audited.

11. AUDIT TEAM ASSIGNMENT

11.1. The CB shall identify the necessary audit team competencies and ensure the assigned audit team fulfills those competencies.

11.2. In assigning audit teams, CBs shall ensure the following audit team competencies are filled.

11.2.1. RIOS Lead Auditor - See Appendix A on RIOS Auditor Competence;

11.2.2. Competence of the recycling activities to be audited, including but not limited to;

- Metals Processing and Separation
- Automobile Shredding
- Rubber Recycling
- Plastics Recycling
- Electronics Recycling
- Electronics Reuse
- Paper Recycling
- Glass Recycling
- Textiles Recycling
- Torch Cutting
- Mercury Retort
- Battery Recycling
- Fluorescent Lamp Recycling
- Electronics shredding or mechanical separation
- Smelting

11.2.3. Knowledge and understanding of the EH&S regulatory requirements associated with the recycling operations and geographic location to be audited;

11.2.4. Knowledge and understanding of any normative documents that specify any additional QEH&S commitments made by the RIOS Company relevant to the scope of operations proposed for certification; and

11.2.5. Other team competence requirements identified by the CB.

11.3. The CB may assign technical experts⁵ to the audit team to augment the audit team and

³ Any time adjustments must ensure all RIOS requirements are audited.

⁴ Refer to IAF MD11

⁵ Technical Experts are defined in ISO 17021-1.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	8 of 16

provide specific competencies not present in the team otherwise.

11.4. Each recertification audit must be conducted by a lead auditor that has not previously audited the RIOS Company as a lead auditor for RIOS:2016 regardless of the Certification Body.

12. AUDITOR COMPETENCE

12.1.A CB shall qualify each RIOS Auditor that it employs or contracts with, ensuring they meet the auditor requirements in Appendix A, “RIOS Auditor Competence”.

12.2.These competencies shall be kept current, documented, and made available to GRSO, if requested.

13. GRSO MEMBERSHIP

13.1.To maintain RIOS Certification, a RIOS Company must maintain GRSO membership.

13.2.Should a RIOS Company not maintain its GRSO membership in good standing, GRSO shall notify the RIOS Company’s CB.

13.3.The CB(s) shall withdraw certification and notify GRSO of its actions.

14. AUDITS

14.1.Audits include Stage 1, Stage 2, Surveillance, and Recertification. Special audits may also be conducted as needed for follow-up, complaint investigation, etc.

14.2.The AB or GRSO may observe any audit performed by a CB for a RIOS Company. The CB shall communicate this requirement to the RIOS Company. Failure of a RIOS Company to allow observation by the AB or GRSO shall preclude RIOS certification for the RIOS Company for any of its operations and locations.

14.3.The Audit Team shall verify conformity to RIOS and any other normative documents, or voluntary commitments that specify any additional QEH&S commitments made by the RIOS Company relevant to the scope of operations. Note: Additional audit time may be required to audit conformance to normative documents that are explicitly included in the RIOS Company’s management system.

14.4.Stage 2 and Recertification audits shall audit in significant detail every requirement of RIOS to be able to reach a conclusion of the level of conformity.

14.5.Each surveillance⁶ audit does not require auditing all requirements within RIOS. Cumulatively, surveillance audits within the 3 year certification cycle will evaluate each RIOS requirement. Every surveillance audit shall audit the following areas and include

⁶ Surveillance audit coverage is expected to be completed annually, whether done in one audit or more.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	9 of 16

objective evidence of conformity:

- ISO 17021-1 requirements;
- Complaint management;
- Operational areas of previous nonconformity in the last 2 years;
- RIOS requirements with previous nonconformities in the last 2 years;
- RIOS 5.1 – Leadership and Commitment;
- RIOS 6.1 – Actions to address risks and opportunities;
- RIOS 7.2 – Competence;
- RIOS 7.4 – Communication;
- RIOS 8 – Operation;
- RIOS 9.1 – Monitoring, Measurement, Analysis, and Evaluation;
- RIOS 9.2 – Internal Audit;
- RIOS 9.3 – Management Review;
- RIOS 10 – Improvement.

14.6. AUDIT REPORT

- 14.6.1. After completion of the Audit, the CB shall provide the RIOS Company and GRISO with a report making a recommendation or not of the RIOS Company. At a minimum, the report shall identify any management system strengths, nonconformities (minor or major), and potential opportunities for improvement. The entire report shall meet all requirements of ISO 17021-1.
- 14.6.2. The RIOS Company shall submit a written corrective action plan for all nonconformities to the CB for review and agreement in the timeframe stipulated by the CB.
- 14.6.3. In the case of a nonconformity (both major and minor), the CB shall verify prior to certification or re-certification by an appropriate means that the nonconformities have been resolved by the RIOS Company to confirm corrective actions are effective. If necessary, this may include a follow-up visit by the CB to verify evidence of conformity.
- 14.6.4. Nonconformities during surveillance audits may be resolved while maintaining certification if not in violation of rules that would result in suspension or withdrawal of certification.

15. CERTIFICATION

15.1. ISSUANCE OF CERTIFICATE

- 15.1.1. Upon successful completion of the initial certification audit, the CB shall issue a RIOS Certification that shall include the scope of operations included in certification.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	10 of 16

15.1.2. All nonconformities (both major and minor) must be resolved, closed and verified prior to issuance of the initial certificate.

15.2. CERTIFICATION PERIOD

15.2.1. Certification to RIOS shall be for a period of three years. The certification period shall commence after the decision for certification.

15.2.2. Surveillance Audits (minimum 2) shall take place at least annually during the certification period, and certifications shall be renewed every three years through a Recertification Audit completed before the expiration of the certification period. Successful recertification will initiate the next certification period.

15.2.3. Transfers to a different CB shall be completed in accordance with IAF Mandatory Document 2 and any other requirements of the AB. The RIOS Company shall communicate to the issuing CB (holding the certification) and to GRISO prior to transfer.

15.2.4. If three or more major nonconformities are open at any time during the certification period the CB will notify GRISO. GRISO will conduct a review of the nonconformities and issue a statement to the CB. The GRISO review will provide feedback on the effectiveness of the RIOS Management System based on the type and quantity of nonconformities. The CB may use this review to determine any changes in certification status and/or changes in timelines for closing and verifying the referenced nonconformities.

15.2.5. RIOS Certified companies whose Certificate has been suspended will be reviewed by GRISO prior to reinstatement by the CB.

15.2.6. Non-voluntarily withdrawn certifications of RIOS Certified companies whose Certificate has been non-voluntarily withdrawn will be ineligible for one year to reapply for RIOS certification.

15.3. CERTIFICATION REPORTING

15.3.1. The RIOS Company shall inform GRISO when it has received its RIOS Certification, provide a copy of the Certificate to RIOS program staff, and include the full scope of its operations included in the certification as listed in the management system documentation.

15.3.2. The CB shall report to GRISO within 10 days the following:

- 15.3.2.1. Initial certification of a RIOS company
- 15.3.2.2. Changes in RIOS company certification status
- 15.3.2.3. Recertification of a RIOS company
- 15.3.2.4. Issuance of three or more major nonconformities
- 15.3.2.5. Complaints made by the RIOS company to the AB

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	11 of 16

15.3.3. The CB shall report to GRISO within 30 days the following:

15.3.3.1. The results of each audit, including the ISO 17021-1 compliant report.

15.3.4. GRISO shall maintain on its public website a list of RIOS Company operations that have received RIOS Certification and are currently certified to RIOS.

15.4. DISPUTE RESOLUTION

15.4.1. The RIOS Company shall first discuss disputes concerning audit findings with the Lead Auditor.

15.4.2. The RIOS Company may pursue disputes with the CB. Any issue elevated beyond the Lead Auditor shall be addressed by the CB's dispute resolution and appeal process.

15.4.3. CB may contact GRISO for interpretation of RIOS requirements.

15.4.4. GRISO is the final authority on interpretation of RIOS. Interpretations will be published on the RIOS program website, and communicated to interested parties through email.

15.4.5. Disputes between CBs and GRISO shall be reported to the AB for consideration and potential corrective action.

16. COMPLAINTS

16.1. Any complaints about the RIOS certification of a RIOS Company shall be directed to the CB of the RIOS Company.

16.2. The CB shall have a documented process for complaint investigation including a determination as to the merit of the complaint and method to document and resolve each complaint.

16.3. If the complaint is not resolved in a timely manner by the CB, the complaint may be escalated to GRISO. GRISO shall decide whether to intervene.

16.4. GRISO complaints made to the CB about a RIOS Company shall be promptly investigated and communicated to GRISO throughout investigation and corrective action, as determined necessary by the CB or at the request of GRISO. GRISO may require a special audit by the CB.

16.5. Feedback on an individual RIOS Auditor's performance may be provided by the audited RIOS Company to the CB. Unresolved complaints about RIOS Auditors may be escalated to GRISO.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	12 of 16

17. RIOS GUIDANCE

When applying RIOS to specific operating environments, questions and conflicts may arise. The GRISO Board of Directors may issue guidance on specific portions of the standard that will seek to clarify and/or interpret RIOS requirements and intent. The guidance will not provide specific direction regarding a specific application of RIOS. While not specifically auditable, this guidance shall be used to guide the CB and auditor in assessing conformity. Guidance will be available to relevant stakeholders on the RIOS program website and periodically via email to interested parties.

18. REFERENCES

- 18.1. *Recycling Industry Operating Standard*
- 18.2. ISO/IEC 17021-1
- 18.3. ISO/IEC 17011
- 18.4. ISO 19011

19. APPENDICES

- 19.1. Appendix A - RIOS Auditor Competence

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	13 of 16

APPENDIX A - RIOS AUDITOR COMPETENCE

1. PURPOSE

- 1.1. To establish the prerequisite and ongoing minimum requirements and competencies for auditors performing RIOS conformity assessments on behalf of RIOS CBs.
- 1.2. To ensure that the process of third-party RIOS Certification by RIOS Auditors produces consistently accurate auditing results by establishing minimum competence criteria for RIOS Auditors.

2. SCOPE

This procedure shall apply to any auditor providing RIOS auditing services for the purposes of determining conformity to RIOS for a RIOS CB to a RIOS Company. Only RIOS CBs shall certify conformity to RIOS.

3. DEFINITIONS

Refer to section 3 of the RIOS Certification Program.

- 3.1. CB = Certification Body
- 3.2. RIOS CB = Certification Body accredited to audit RIOS Companies
- 3.3. RIOS Auditor = A person who assesses conformity to RIOS on behalf of an accredited CB.

4. RESPONSIBILITIES

- 4.1. RIOS Auditors are responsible for meeting RIOS Auditor requirements along with specific CB requirements for auditing to RIOS.
- 4.2. CBs are responsible for determining RIOS auditor competence and maintaining records.

5. REQUIREMENTS

- 5.1. A RIOS Lead Auditor shall:
 - 5.1.1. Possess a valid, licensed, non-member copy of RIOS;
 - 5.1.2. Have successfully completed a GRISO-approved RIOS Auditor training course;
 - 5.1.3. Successfully complete GRISO-approved annual training;

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	14 of 16

Demonstrate competence in RIOS or comparable quality, environmental, and health and safety standards as gained through formal training, work experience, and audit experience. Required competencies in RIOS shall be demonstrated at a minimum to the following:

- QEH&S Risk Analysis (RIOS 6.1)
- Legal Requirements (RIOS 6.1.4)
- Change Management (RIOS 6.3)
- Competence (RIOS 7.2)
- Communication (RIOS 7.4)
- Document Control (RIOS 7.5)
- Source Material and Outsourced Products and Services (RIOS 8.2)
- Quality Controls (RIOS 8.4)
- Environmental Controls (RIOS 8.5)
- Health & Safety Controls (RIOS 8.6)
- Emergency Preparedness (RIOS 8.7)
- Performance Evaluation (RIOS 9.0)
- Corrective Action (RIOS 10.1)

5.1.4. Demonstrate competencies with regard to the scrap processing and recycling industry, and regulatory requirements applicable for each audit assignment;

5.1.5. Competence may be demonstrated by, but not limited to:

- Written exams
- Witness audits
- Audit report reviews

5.2. A RIOS Auditor shall:

5.2.1. Possess a valid, licensed copy of RIOS;

5.2.2. Have successfully completed an GRSO-approved RIOS Auditor training course;
and

5.2.3. Successfully complete GRSO-approved annual training; and

5.2.4. Demonstrate competence in RIOS or comparable quality, environmental, or health and safety standard(s) consistent with his/her role in the audit;

5.3. A RIOS Auditor and RIOS Lead Auditor shall only perform RIOS certification audits while in the employment of or under contract to a RIOS accredited CB.

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	15 of 16

6. RECORDS GENERATED

6.1. RIOS Auditor competence records

7. REFERENCES

7.1. *Recycling Industry Operating Standard*

7.2. ISO/IEC 17021-1

Version No:	Approval:	Date:	Page:
1.0	Global Recycling Standards Organization	12/24/2015	16 of 16