



R2v3 Code of Practices Rule: Recertification Audits and the Potential Need for a New Lead Auditor

As Perry Johnson Registrar (PJR)'s R2v3 clients may already be aware, the Code of Practices (COP) defines the rules for R2v3 certification and accreditation, which Certification Bodies (CBs), such as PJR, are required to uphold. The requirements housed within the document affect CBs and R2v3-certified facilities alike. The COP is maintained by SERI and is revised on an annual basis. The current version of the COP, and other R2v3 documents, can be downloaded for free at [Document Library - SERI \(sustainableelectronics.org\)](https://sustainableelectronics.org) (upon signing SERI's required licensure).

One of the numerous requirements found within the COP relates to the need to, in some instances, assign a new Lead Auditor for an R2v3 Recertification audit. This requirement has been found within the R2v3 COP since its original publication in 2020 but is timely in its relevance now. Many clients are only just approaching their first R2v3 Recertification audit following their R2v3 Transition or initial certification three years earlier. The exact verbiage of the requirement in the COP states the following:

"If the same Lead Auditor has been used for all audits in the 3-year certification Cycle, at the end of a full 3-year certification cycle, it is the CB's responsibility before the cycle ends, to appoint a new Lead Auditor for the recertification audit. The previous Lead Auditor can serve as part of the audit team as a Team Member. The previous Lead Auditor can continue to serve as the Lead Auditor for the surveillance audits in the new certification cycle. This is applicable to all subsequent certification cycles."

How does this rule affect PJR's R2v3 clients?

- If the same Lead Auditor has been assigned to a client's R2v3 audits for all three consecutive audit years leading up to the R2v3 Recertification audit (such as from the initial certification or Transition to R2v3), a different Lead Auditor must be assigned to conduct the Recertification audit.
- This requirement only applies to the Recertification audit's Lead Auditor for R2v3. It does not prevent the previous auditor from participating in the Recertification audit as a Team Member, and/or resuming their role as the R2v3 Lead Auditor for the subsequent Surveillance audit(s) following Recertification.
- If the three-year cycle included more than one R2v3 Lead Auditor, this requirement does not apply and there are no restrictions on the Recertification audit assignment.

PJR understands that clients may be reluctant to welcome a different auditor, for a variety of reasons. However, in instances where this COP rule applies, PJR will have no choice but to assign a different Lead Auditor for the R2v3 Recertification audit. The requirement is not punitive in nature; a "fresh set of eyes" can be a value-added experience, in the spirit of continual improvement. So, if a client has an Auditor they prefer to utilize, there is no need to worry! It is absolutely an option to cycle the Auditor back in for future audits.

For more information or to Request a FREE Quote on R2v3, reach out to PJR today!

