

# **REVISION TABLE AND HISTORY**

for the

## **CODE OF PRACTICES (COP)**

for the

## **SUSTAINABLE ELECTRONICS REUSE & RECYCLING (R2) STANDARD**



*A certification program of*

**SERI**

## **Revision Table for Version 2.4**

## VERSION HISTORY

The history of revisions for previous versions of the COP -- Version 1.0 (July 1, 2013), Version 2.0 (Oct. 5, 2020), Version 2.1 (July 22, 2021), Version 2.2 (Feb. 23, 2023), Version 2.3 (May 15, 2024), and Version 2.4 (Feb. 18, 2025) -- will be maintained by SERI.

### VERSION 2.4, FEBRUARY 18, 2025

- Throughout document: Changed multiple instances of “company” to “organization” or “facility.”
- Throughout document: Changed instances of “legal name” to “legal entity and name.”
- Throughout document: Changed references to “focus materials” to R2 Controlled Streams.
- Throughout document: Changes several deadlines of 5 days to notify/communicate or provide updated certificates to SERI to 7 days.
- Throughout document: Section numbering changed in numerous places.
- Roles and Responsibilities: Added bullets under SERI on issuing complaints directly to CBs and providing copies of the complaints to ABs. Added bullets under ABs on ensuring the effectiveness of CB corrective actions is verified during annual AB audits, addressing complaints from SERI, and reporting to SERI complaints received from R2-accredited CBs.
- Terms and Definitions: Added definitions for Common Parent Facilities, Brokering, Complaint, Concern, Consultant, Group, Organization, and Shared Facilities.
- Revised Section 1.3, which covers SERI complaints about an R2 Facility. The revision includes changing Section 1.3.1 to the following: “CBs shall maintain and follow a process to record and investigate all complaints about an R2 Facility issued by SERI.” Section 1.3.2 was revised to the following: “These complaints shall be investigated and managed by incorporating the actions and time frames required in Table 1. All updates and evidence shall be uploaded to the agreed-upon virtual workspace. Emailing updates and evidence is not acceptable.” Moved prior Section 1.3.3 text to AB responsibilities under Roles and Responsibilities.
- Added Section 1.4, which covers SERI complaints on CB performance. The prior Section 1.4 text was deleted because the deadlines found in prior Section 1.4 were moved to Table 1.3.
- Added Section 1.5, which covers SERI concerns about an R2 Facility.
- Table 1: Added text for extensions
- Added Table 1.1, which concerns deadlines for managing complaints from SERI on CB performance.
- Added Table 1.2, which covers requirements for managing concerns from SERI to the CB.
- Added Section 1.6, which covers deadlines for communication to SERI and references the new Table 1.3.
- Added Table 1.3, which incorporates the prior deadline requirements for communications to SERI found in Section 1.4 into one table. Simultaneously deleted deadlines in prior Section 1.4.

- Added Sections 3.2.6 and 3.2.7, which concern the CB’s responsibility to ensure the competence of Auditors to audit Core 4 and to provide external resources, if necessary, to support auditing in countries with legislation that’s unfamiliar to the Auditors.
- Table 2: Added last sentence under (b)(3), which reads as follows: “Passing the SERI R2v3 Lead Auditor course is a pre-requisite for the SERI R2v3 Remote Audit Course.” Added “third-party” under (b)(5) and (c)(2) to make clear that only third-party audits qualify toward minimum competence requirements. Added the following text to (b)(7): “Any Auditor who does not maintain the minimum audit requirements, shall retake the SERI R2v3 Auditor Course.” Added the text “and Stage 1 audits” to (b)(8) and (c)(5) to specify that Stage 1 audits cannot be used to complete audit requirements. Under (d)(3), third bullet, rewrote to the following: “Within the last 3 years, experience performing a minimum of 30 package reviews of approved EHSMS/QMS Standards recognized on the SERI website.”
- Added Section 3.3 (prior Section 3.3 renumbered to Section 3.5), which establishes an application process through which SERI will qualify Auditors to work at a new CB at the appropriate Auditor status level.
- Added Section 3.4 (prior Section 3.4 renumbered to 3.6), which covers consequences of Auditor disqualification because of a Code of Ethics violation.
- Added Section 3.6.2, which concerns consultant participation in the audit process.
- Section 3.7 (previously Section 3.5): Added “requirements of Table 2” and deleted “within 7 days.” The effect of these changes is to specifically reference the competency requirements found in Table 2 and delete repetition of the 7-day deadline also spelled out in Table 1.3.
- Section 4.1.4: Added reference to the R2 Equipment Categorization (REC) guide under the first bullet. Added text to the second bullet to require CBs to keep a record of business license and/or registration. Added a third bullet, which requires having a signed SERI License Agreement for R2 Certification at contract review.
- Section 4.1.5: Added text to fourth bullet add specificity regarding other names the Candidate Facility is using. Revised and expanded the seventh bullet to explain how the names and scopes of QMS/EHSMA certifications must match and/or not contradict activities at the facility.
- Section 4.1.6: Added two sub-bullets, both of which concern CBs evaluating the Candidate Facility’s scope of certification for Broker Only.
- Section 4.1.7: Reworded language to provide clarity about how planned future additions are not eligible for certification.
- Added Section 4.1.10, which covers CB requirements for documenting consultant names and companies in the contract review records.
- Table 3: Added the following under the Description for Common Parent Facilities: “Multiple Organizations owned by the same parent operating within one facility.” Added “irrespective of” under Description for Shared Facilities. Deleted “and proof of parent relationship with certified facilities” under Applicability for Shared Facilities, because that text is not applicable to Shared Facilities, where the businesses don’t have to have any parent ownership relationship.
- Reorganized Section 5.1.1 to break it up into sub-sections 5.1.1, 5.1.2, and 5.1.3. The text moved to Section 5.1.2 was revised to clarify how CBs may choose to allocate audit time between Stage 1 and Stage 2. Section 5.1.3 is new text specifying that CBs may determine how to allocate time between the Core and Process requirements.

- Section 5.1.12.1: Revised text under third bullet to delete “0.25 days” and instead reference audit times specified in Table 4.
- Added Section 5.1.12.4, which covers how to adjust audit times when a campus structure becomes a single facility certification.
- Added Section 5.2, which covers calculating audit time for Shared Facilities. Text here was moved from the prior Section 5.4, which was deleted.
- Added Section 5.3, which covers calculating audit time for Common Parent Facilities. Text here was moved from the prior Section 5.5, which was deleted.
- Added a new Section 5.4, which covers calculating audit time for Group certification. Text here was moved from the prior Section 5.6, which was deleted.
- Section 5.5: Added section for Calculating audit time for Fully Remote audit protocol and all text within 5.5.
- Added Section 5.6, which reads as follows: “Audit times for auditing Core Requirements shall be calculated using Table 4.”
- Under Section 6.3, added the requirement that audit activities be documented in the audit plan.
- Deleted the following text of 6.4.3 as unnecessary: “The audit team shall not arrive late or leave early from an audit unless prior permission from the CB is acquired and documented.”
- Section 6.4.2: Added second sentence, which reads as follows: “Other QMS/EHSMS standards may have their own criteria for audit day hours.”
- Deleted Section 7.2.3, which stated the following: “The CB shall ensure the time gap between Stage 1 and 2 audits does not exceed 6 months. Should it exceed this time frame, the CB shall repeat the Stage 1 audit.” This was deleted in favor of a new 8-month certificate issuance deadline spelled out in Table 6, fourth row.
- Section 7.3.1: Added second sentence, which reads as follows: “The CB may integrate the QMS/EHSMS portion of the R2 audit with other management system audits where the R2 Facility operates an integrated management system that incorporates QMS/EHSMS (Quality Management System/Environment Health and Safety Management System) Standards.”
- Section 7.4.1: Added details to first and second bullets. Text added to the first bullet explains the types of details that must be documented by the Auditor and how those details must not contradict the R2 Facility names, addresses and activities. The added text also provides examples of impermissible discrepancies and specifies that documentation validating the QMS/EHSMS certification details shall be included in the R2 audit report. Text added to the second bullet changed the clause from “where a certificate has yet to be issue” to “where a certificate is not valid,” and added the following second sentence: “Invalid certificates are any certificates issues including, but not limited to: name, address, scope, issuance by a CB that is accredited by an AB that is not an IAF MLA Signatory.”
- Added Section 7.4.3, which reads as follows: “CBs shall maintain a calendar, list, or other similar record that tracks the expiration dates of EHSMS and QMS certificates issued by other CBs.
- Added Section 7.4.4, which reads as follows: “If an EHSMS/QMS certificate is found to be invalid (suspension, expired, revocation, withdrawal), the CB shall consider suspending the R2 certificate per the suspension criteria under Section 16.1.
- Under Section 7.6.1, add bullets for Name Change audit, Structure Change audit, and All Audits-Fully Remote Audit Protocol.

- Added Section 7.6.6, which covers how disasters, political upheaval, and other unsafe conditions in a country or region may result in SERI allowing surveillance and recertification audits that would normally be on-site to be conducted remotely to ensure the safety of Auditors.
- Added Section 7.6.7, which details how CBs must apply to SERI to exercise the remote auditing option explained in Section 7.6.6.
- Added Section 7.6.7.1, which explains what CBs must do if the unsafe conditions described in Section 7.6.6 persist over multiple audit cycles.
- Deleted previous Section 7.10.1 and added Section 7.9.1 and 7.9.2 to replace it. The new section 7.9.1 clarifies the intent of the prior language with the following new text: “All nonconformities that are discovered during all types of R2 audits shall be documented as NCs.” Section 7.9.2 added the following sentence: “During an integrated audit, when an Auditor identifies an NC that could be written under the R2 Standard and one or more QMS/EHSMS standards, the Auditor shall also identify the R2 requirement and follow NC requirements as part of this COP.”
- Section 7.9.3 (previously 7.10.2): Added third sentence, which reads as follows: “A general finding against the internal audit is not acceptable. Individual NCs shall be recorded for each open R2 NC from the internal audit.”
- Section 7.9.5 (previously 7.10.4): Added seventh bullet, which reads as follows: “Failure to register and/or update registration of the downstream recycling chain with SERI, when R2 Facility is following Appendix A(4)(b) to demonstrate transparency of their recycling chain.” Under 11th bullet, added second sentence, which reads as follows: “This includes inadequate scope of QMS/EHSMS Certificates as related to scope of R2 certificate. See *section 16.1 for suspension criteria*.” Added 12th bullet, which reads as follows: “Failure to identify and implement legal and regulatory requirements.” Added 14th bullet, which reads as follows: “Failure to report a violation requiring action within 30 days to the CB in accordance with Core 4(d)(5).” Added 15th bullet, which reads as follows: “Failure to readily provide and maintain requested records and documentation under Core 3(c) Lack of records to demonstrate implemented and maintained conformance to the Standard, process failure to provide records or documents.
- Added Section 7.9.6, which references NC and certification expiration deadlines in the new Table 6. Multiple sub-sections in Section 7 were deleted and had their text moved to new Table 6, which consolidates deadlines to improve document readability.
- Table 6 renumbered to Table 7, Table 7 renumbered to Table 8, Table 8 renumbered to Table 9, and Table 9 renumbered to Table 10.
- Prior Section 7.9.7: This text was moved Table 6, third row, and the words “and completed” were added to first sentence.
- Added Section 7.9.9, which reads as follows: “During a CB audit the Auditor shall only record nonconformities to the R2 Standard, and not the COP or License Agreement. Issues related to “other requirements” shall be written against Core 4-Legal and Other Requirements.”
- Renumbered Table 7: Two notes added under “R2 Facility Name.” They read as follows: “Note: The audit report shall clearly record the use, scope, and objective evidence associated with each legal entity or name as applicable to the scope of R2 operations. Note: All sales website names shall be recorded in the audit report, in addition to the URLs that are associated with the sales websites.” Added row for “R2 Facility Consultant,” which reads as follows: “Consultant(s) name and consultant(s) company name shall be recorded

in the audit report, irrespective of whether they are an employee or contractor. This includes but is not limited to all types of QMS/EHSMS/R2 consultations, whether present at the audit or not.” Note added under “Core Requirement 3-EH&S Management System” that reads as follows: “Note: This is not a blanket NC against the internal audit, or COP; these are unique findings for each of the open internal audit NCs.” Under Core 4, first bullet expanded to read as follows: “Verify and record legality of import/export shipments of electronic equipment, components, and materials directly transferred by the R2 Facility.” Under Core 4, second bullet rewritten to read as follows: “Verify and record legality of import/export shipments of R2 Controlled Streams for the entire recycling chain, or to the first R2v3 DSV. The statement “does no direct exports,” is not acceptable.” Under Core 5, added a new first bullet, which reads as follows: “Verify and record transactions on the *R2 Transaction Sheet*.” Under Core 5, added a new fourth bullet, which reads as follows: “If a shipment is transboundary/international, an Auditor shall record the bill of lading number and container number on the Transaction Sheets. This is not a booking number.” Under Core 8, added a new third bullet, which reads as follows: “Verify the demonstrated expertise and capabilities and planned methods and demonstrated capacity required/needed to process each type of electronic equipment containing an FM are detailed in the FM Management Plan.” Under Core 8, rewrote the fourth bullet to read as follows: “Verify and record HOW equipment, components, and materials containing FMs and the FMs themselves are processed both internally and by the DSVs, and these details are included in the FM Management Plan.” Under Core 9, added the text “, components, and materials” to the third bullet. Under Appendix A, added the text “equipment, components, and materials” to the third bullet. Under Appendix A, added the text “, components, or materials” and the text “if an R2 Facility sends negative-value equipment, components, or materials to a DSV” to the fourth bullet. Under Appendix B, added a new third bullet, which reads as follows: “Verify and record the model and brand of equipment used to carry physical sanitization.” Under Appendix B, added a new fourth bullet, which reads as follows: “Verify and record the brand of software program used to carry out logical sanitization or verify and record how the R2 Facility meets the requirements of R2v3 Formal Interpretation #1–Data Sanitization Software where there is no software available to sanitize that device type.” Under Appendix B, expanded the fifth bullet, which now reads as follows: “Verify and record method used for the 1-5% data recovery attempt of logically sanitized devices. If a commercial software program is being used for the data recovery attempt, record the brand of software, or verify and record how the facility meets the requirements of R2v3 Formal Interpretation #1–Data Sanitization Software where there is no commercial software available to make attempts at data recovery for that device type.” Under Appendix F, added “, components, and materials are” to the third bullet. Under Appendix F, added a new fifth bullet, which reads as follows: “If auditing Appendix F, Core 10 shall be audited every audit.” Under Appendix G, added the words “or solar panels” to the second, fourth and sixth bullets.

- Added a new Section 7.11.3, which reads as follows: “EHSMS and QMS Certificates shall be checked for validity during every audit.”
- Table 8: Core Requirement 4-Legal and Other Requirements added. Additional row and text for Core 5-Tracking Throughput added. The added Core 5 Document field reads as follows: “Summary of Incoming and Outgoing Transactions for last 12 months, or 3 months for Candidate Facilities in the certification process.” Under Appendix G, added “from conducting electricity” to the Document field text.

- Added Section 7.12.7, which reads as follows: “The APR shall record NCs that are apparent during the audit package review that were not identified by the Auditor. Audit NCs or observations made by the APR shall be dealt with prior to approving the package. They shall not be saved for review during the next audit.”
- Rewrote Section 8.1.1, which now reads as follows: “The CB shall conduct the first annual surveillance audit no later than 12 months after the certification decision date of the Stage 2 or the recertification decision date. The two subsequent surveillance audits during the 3-year certification cycle shall be held within 24 months and 36 months of that initial certification or recertification decision date. As long as the R2 Facility is certified, the same format for scheduling surveillance audits will continue through subsequent certification cycles. The CB may ask for a 60-day extension from SERI for those rare circumstances when the CB is running into scheduling issues.”
- Deleted the prior Sections 8.1.2 and 8.1.3, which had deadlines replaced by those included in the new Section 8.1.1.
- Section 8.1.3 (formerly 8.1.5): Second bullet on Core Requirement 4-Legal and Other Requirements added. Added seventh bullet, which reads as follows: “If auditing Appendix F, Core 10 is required to be audited.” Added eighth bullet, which reads as follows: “EHSMS and QMS Certificates shall be checked for validity.”
- Section 8.2.2: Inserted the word “valid” in the first bullet. Revised the second bullet to read as follows: “Valid Quality Management System (QMS) acceptable to SERI, (refer Accepted Standards List on SERI’s website), as well as by a CB that is accredited by an AB that is an IAF MLA signatory.” Revised the third bullet to read as follows: “Active R2 Certification and License Acknowledgement in good standing.” Deleted the bullet that began “Internal audit corrective actions have been implemented.” Deleted the bullet that began “100% due diligence.” Deleted the bullet that began “Completion of a Data Sanitization Plan” Deleted the bullet that began “Completion of an R2 Reuse Plan” Deleted the bullet that began “Evidence of required insurance(s)” Deleted the bullet that began “Not have undergone any significant”
- Table 9: Added the following text under R2 Requirement 4, second bullet: “, as well as plastics from electronics, circuit boards, and other materials controlled by international trade agreements.” Under R2 Requirement 5, changed “last 3 months of transactions” to “last 12 months.”
- Section 8.4: Added new section, which now reads as follows: First bullet: “CBs are required to complete at a minimum of 10 transaction sheets. If the R2 Facility has not completed 10 transactions, the Auditor shall record this in the audit report, as well as record the reason for the limited number of transactions.” Second bullet: “CBs shall upload to the SERI file sharing system every audit package that is part of the Fully Remote Audit Protocol once it has been approved.”
- Section 8.6.2: Added the last sentence, which reads as follows: “If a CB is doing a recertification transfer audit, it is the CB’s responsibility to know who conducted the previous audits to maintain this requirement.”
- Added Sections 9.1.2, 9.1.3, 9.1.4, 9.1.5, 9.1.6, and 9.1.7 which concern a new R2 certificate approval process that CBs must undergo with SERI before certificates may be provided to facilities to upload to the IAF Cert Search tool.
- Former Section 9.1.2 deleted. It read as follows: “The CB shall include all basic certificate criteria on each R2 Facility certificate as applicable to the type of certificate issued.”

- Section 9.2.1: Added second bullet, which reads as follows: “DBAs - All legally registered names by which the organization is branded/ marketed or otherwise referred to in public-facing communications (such as DBAs, trade names, and fictitious names) shall be designated on the certificate with phrases such as “branded/ marketed as,” “other business names:” or similar phrasing.” Added the following sentence to the fourth bullet: “The address shall follow naming conventions for countries, states/provinces and cities as prescribed by SERI’s guidance.” Added the following sentence to the 11th bullet: “If a CB has already issued the certificate to an R2 Facility, this date shall be modified for any change. Changes may include but are not limited to address, scope, name, or other.”
- Section 9.3.1: Broke this section into three sections: 9.3.2, which covers requirements for the first page of a campus certificate, 9.3.3, which covers requirements for the addendum, and 9.3.4, which covers general requirements for Campus Certificates.” Under 9.3.3, a new first bullet was added and reads as follows: “All support locations, including the Main Processing Location, of a campus shall be listed on the addendum, with specific addresses, scopes, and applicable R2 Process Requirements by location. The Main Processing Location shall be identified as “Main Processing Location” and the support locations shall be identified as “Support Location” or other similar identifying that it is the secondary location.” Under 9.3.3, a new third bullet was added and reads as follows: “The scope statements for each support location shall include the equipment, components, and materials processed at that location.” Under 9.3.3, the fourth bullet added the following text for clarity: “only in the addendum (not the first page)”.
- In Section 9.1.6, changed 5 days to 7 days.
- Prior Section 9.5 was deleted and the text added to Table 1.3. Simultaneously, the 5-day deadline in the previous Section 9.5 was changed to 7 days.
- Added Section 10.2.9, which reads as follows: “If the R2 certificate is for a broker that does not physically receive or process electronic equipment, components, or materials in a facility, then the words “Broker Only” shall be clearly displayed on the certificate.”
- Section 10.3.1: Added the following text: “If an R2 Facility chooses to include plastics from electronics, generic wording such as “plastic” is not permitted; in that case, the certificate must specify “e-plastics,” “plastics from electronics,” or some other phrase that ties the material to electronics or R2 Controlled Streams. In addition, R2 Controlled streams shall be associated with electronic equipment. An example of this is “lithium-ion batteries from used electronics” instead of simply “batteries.”
- Revised Section 10.3.2 to read as follows: “Unrestricted Streams, for example, white goods (home appliances), new equipment, and vehicles (including vehicle components/parts, such as EV batteries) are not permitted in the scope. R2 Controlled Streams, such as Basel-controlled plastic waste entries Y48 and A3210, are permitted in the scope.”
- Added an allowance to Section 11 reading as follows: “Basel-controlled plastic waste entries Y48 and A3210, now R2 Controlled Streams, do not require downstream due diligence to be performed through the downstream recycling chain in accordance with Appendix A(7) and (8) until 1/1/2028. All other Core Requirements and Process Appendices remain applicable to R2 Controlled Streams, including Basel-controlled plastic waste entries Y48 and A3210.”
- Section 12.2.2: Modified third bullet to read as follows: “For closure of NCs for stand-alone scope extension audit to Appendix G, a remote or on-site audit shall be scheduled by the CB within 6 months to verify that CA for minors/majors have been implemented and are effective to address the closure of NCs (from scope extension audit) prior to audit package



approval or certification decision. Failure to comply with this requirement will result in the suspension of certification (refer Section 16).” Most of this text was moved here from the prior Section 7.10.12.

- Section 13.1.1: Changed 5 days to 7 days.
- Section 13.1.2: Modified to read as follows: “The suspension shall go into effect 60 days following the date when the old location ceases to fulfil its scope, if an audit has not been conducted.”
- Section 13.1.3: Changed “Prior to auditing” to “During auditing of.” The following sentence was added to the second bullet: “Valid EHSMS and/or QMS certificates shall have been issued by a CB that is accredited by an AB that is an IAF MLA signatory to be valid.” The fourth bullet regarding equipment, components, and materials removed from the former facility was removed.
- Section 13.1.6: Deleted the text “including cessation of operations at the old facility.”
- Added Section 13.1.7, which reads as follows: “The R2 Facility shall receive evidence in writing from the R2 Facility of the status of the old facility. Examples might be closure or change of business model (continues to operate).”
- Added Section 13.1.13, which reads as follows: “Closure of NCs is acceptable without an on-site or remote audit. It is always at the discretion of the CB to schedule a remote or on-site audit to close NCs if it’s necessary.”
- Added Section 13.2, which covers changes to a facility name. All sub-sections below it are new.
- Added Section 13.3, which covers Changes to Certificate Structure. All sub-sections below it are new.
- Section 14.1.2: Under sixth bullet, added second sentence, which reads as follows: “Certificates shall have been issued by a CB that is accredited by an AB that is an IAF MLA signatory to be valid.”
- Section 15.1.1: Introductory sentence was revised to the following: The CB shall conduct special audits at an R2 Facility at the CB’s discretion for any of the following reasons.” Added a bullet, which reads as follows: “reportable EHSMS, QMS, including data security, related regulatory orders or notices, that require action.” Deleted bullets specifying “Change in name,” “Removing or adding a legal entity or name to a certificate,” “Investigating of complaints or allegations,” and “Closure of NCs.”
- Added Section 15.1.2 , which reads as follows: “The audit time for special audits, whether remote or on-site, is at the discretion of the CB.”
- Added Section 15.1.3, which reads as follows: “The NC closure timelines for special audits is defined in Table 6.”
- Section 16.1.1: Text added to introduction, which now reads as follows: “The CB shall consider suspension of an R2 Facility’s certification for contractual, administrative or performance reasons. This suspension review of the R2 Facility shall be documented and maintained as a record in the R2 Facility’s certification documents. Justification for not suspending based on one of the below shall be recorded. The following criteria shall be used for initiation of a potential suspension:.” The following text added to the second bullet: “(when a minor becomes a major, or major is still a major). A third bullet was added and reads as follows: “Five or more major NCs on an audit.” A seventh bullet added that reads as follows: “Selling untested equipment to end users.” Added the following text to the tenth bullet: “If a CB determines that an R2 Facility has not maintained their certification(s), a CB shall determine the date when the QMS/EHSMS certification became invalid. The

suspension time is based on the date the QMS/EHSMS became invalid and shall not be a time frame more than 6 months. If the CB determines the QMS/EHSMS Certificates have been invalid for 6 months, the R2 certificate shall be immediately withdrawn. Example: If the CB determines the QMS/EHSMS has been invalid for 3 months, then the suspension period would be 3 months.” Added an 11th bullet, which reads as follows: “Failure to schedule an annual surveillance audit.”

- Added Section 16.1.7, which reads as follows: “CB shall withdraw an R2 Facility Certification for the following fraudulent activities with the intent to deceive: Falsifying and/or altering records and documentation. Withholding information. Failing to disclose the existence of regulatory enforcement actions.”
- Section 18.2.5: Revised this section to read as follows: “If SERI’s package review finds that an Auditor, CDM, APR and/or R2 Program Manager has not conformed to the requirements in the COP, SERI may issue a complaint to the responsible CB for further investigation and correction action. The AB may be enlisted by SERI to further investigate the NC or complaint issued to the CB.”
- Section 18.3.1: Added the text “termination of the” and “SERI License Agreement for R2 Certification” to the last sentence.