

Proposed Sanctioned Interpretations – Part B to e-Stewards Standard 4.1 – January, 2022

e-Stewards Governance

Last paragraph

The e-Stewards Certification implementation procedures are based on the global standard for accreditation (ISO 17011) and Certification Bodies (ISO/IEC 17021-1), and invoke norms and guidance published by the International Accreditation Forum (IAF).

Version 4.0

The e-Stewards Standard V4.0 differs from the last version – 3.1 – in that it has been streamlined and made simpler to read and to implement while retaining core rigor and principles. This version requires two other separate standards but does not include them in this document. First, e-Stewards V4.0 requires the global environmental management system standard created by the International Standards Organization, ISO 14001 or Recycling Industry Operating Standard, RIOS. Second, as of July 1, 2022, it will require the current version of the international data security standard known as NAID AAA Certification, including all NAID endorsements relevant to the Organization’s business model.

The e-Stewards Standard V4.0 in this document consists of the industry-specific performance requirements for responsible operations for electronics refurbishers, recyclers, and processors. These ~~have that~~ have been laid out in the same order and framework of the ISO 14001:2015 standard for ease of simultaneous auditing. The e-Stewards Standard V4.0 will be available at no cost from our website (www.e-stewards.org). The ISO, RIOS and NAID standards must be obtained from the respective Organizations.

1 Scope

The e-Stewards Standard is to be used within the e-Stewards Certification program to govern the management of Electronic Equipment as defined herein when it is managed by e-Stewards Processors involved in its disposal, Recycling, or reuse. For more information on the scope of the Certification program itself, see Appendix B.

The e-Stewards Standard requires the international environmental management systems standard ISO 14001[®] (ISO) or Recycling Industry Operating Standard (RIOS)[™]. Additionally, as of July 1, 2022, it will require the current version of the international data security standard known as NAID AAA Certification including all NAID endorsements relevant to the Organization’s business model.

2 Normative References – these are other certifications needed

- ▶ Current certification to ISO 14001[®] (ISO) or RIOS[™] is a requirement of this Standard.
- ▶ Current certification to NAID AAA Certification[®] (NAID) is a requirement of the Standard as of July 1, 2022. NAID can be used to substitute for the Data Security Requirements found in Appendix D, which will sunset on this date, after which point only NAID will be required.

3 Terms & Definitions

For this document, the verbal forms found in ISO 14001 section 0.5 and the definitions given in ISO 14001 section 3.0 apply, unless they are superseded by the definitions below.

3.46 Stewardship Management System (SMS)

The Organization's internal system for managing its plans and processes in order to achieve intended results and to foster Stewardship. The SMS is governed by the e-Stewards standard, including its documented scope [Section 4] and integrates NAID AAA, ISO 14001 or RIOS, and any other applicable standards to which the Organization is certified.structured around ISO 14001.

8.3.1 Potentially Hazardous Processing Technologies (PHPTs)

If the Organization uses one or more PHPTs, they shall expand their Industrial Hygiene program to include the following:

a) Testing & Monitoring Protocols

In addition to the requirements listed in b) through f) below, the Organization shall ensure that:

- 2) All laboratory analyses are performed by an ISO 17025 accredited laboratory or a nationally accredited laboratory; and

APPENDIX B: ADMINISTRATIVE RULES, POLICIES, AND PROCEDURES

The following requirements apply to all e-Stewards Organizations/Processors:

a) General

e-Stewards Certification is a voluntary, third-party certification system available to companies and institutions operating Processing facilities for Electronic Equipment. Organizations shall be **either** concurrently audited and certified to ISO 14001© **or** RIOS™ and the NAID AAA Certification© (NAID AAA Certification is required as of July 1, 2022) or already be certified to these prior to e-Stewards Certification. Only Organizations that have been certified by an accredited e-Stewards Certification Body and that have signed a valid License Agreement with the e-Stewards Program Administrator may be recognized as certified e-Stewards Processors. These companies are listed definitively on the e-Stewards website, found at www.e-stewards.org.

APPENDIX C: REQUIREMENTS FOR e-STEWARDS CERTIFICATION BODIES AND ACCREDITATION BODIES

The following requirements apply to approved accreditation bodies (ABs) and certification bodies (CBs) that are performing audits and certifying e-Stewards Processors in accordance with the e-Stewards® Standard for Ethical and Responsible Reuse, Recycling, and Disposition of Electronic Equipment and Information Technology® Version 4.0 and subsequent transitions to the 4.0 Publication Series. The e-Stewards Certification Program relies on global standards for accreditation bodies (ISO 17011) and

certification bodies (ISO/IEC 17021-1) and includes additional requirements published by the International Accreditation Forum (IAF).

a) Accreditation of Certification Bodies

The e-Stewards Program Administrator requires that any CB operating within the e-Stewards Certification program must demonstrate initial and ongoing satisfactory performance. Satisfactory performance is defined by adherence to the e-Stewards accreditation requirements, as well as additional performance measures defined by the e-Stewards Program Administrator as documented in this Appendix and applicable Sanctioned Interpretations.

The following are likely to constitute unsatisfactory CB performance:

- 4) The CB has been suspended by an approved AB for nonconformity with ISO 14001, RIOS or nonconformity to any industry-specific standard (e.g. TL 9000, AS9001) more than once within three years; and/or

c) Client Applications to CBs for e-Stewards Certification and Scope of Certification

Organizations may provide a range of Processing services that must be understood and considered by the CB during the preparation of a quotation for auditing, certification, and subsequent audit planning. Applications which are provided and received by CBs shall specifically require information needed to identify the scope of services/activities provided by each Organization, relative to the Standard, in order to determine which Processing facilities [Appendix B, letter d)] and Ancillary Sites [Appendix B, letter d)] are both eligible for and required to be included in the e-Stewards Certification.

Therefore, at a minimum, Organizations must provide CBs with the information listed below, as well as any additional information required by the CB:

- 11) Any current ISO 14001 certification or RIOS certification by an ANAB-accredited CB, or a CB accredited by an IAF-member accreditation body; and
- 12) Any current ISO 45001 ~~(or BS OHSAS 18001 until migration period has ended)~~ certification.
NOTE: Certification to ~~these~~ this standards is not an e-Stewards program requirement.

d) Audit Person-Days and Audit Planning

Paragraphs 3 and 4

Organizations shall be either separately or concurrently audited to ISO 14001 or RIOS unless already certified to one or both of these. If the Organization is not yet certified to ISO 14001 or RIOS, the CB shall require the Organization to either first become ISO 14001 or RIOS certified by an IAF member accreditation body or shall quote certification to ISO 14001 or RIOS in conjunction with e-Stewards Certification, separately or via an integrated audit in accordance with IAF MD11.

If the Organization requesting e-Stewards Certification services is currently ISO14001 or RIOS certified, the CB shall quote the initial e-Stewards Certification audit for no fewer days than would be required for an ISO 14001 or RIOS audit of the same Organization. Subsequent (surveillance and recertification)

audits may follow the requirements of IAF MD11, if applicable. CBs are encouraged to respect the certifications issued by other accredited CBs, relevant to the e-Stewards Standard and certification to ISO 14001 or RIOS. Objective evidence of current certification to ISO 14001 or RIOS by another accredited CB shall be considered in the planning of an e-Stewards audit and associated quotation for services with the intention of minimizing redundancy and maximizing value for the e-Stewards Organization.

g) e-Stewards Audit Reporting Requirements

All CB audit reports shall be in the English language, and in addition to ISO 17021-1 content requirements, shall clearly indicate that each of the following critical principles were covered during all audits (including surveillance audits):

7) The additional required certifications are maintained and valid (e.g., ISO 14001, RIOS, NAID AAA); and

i) Certificate Issuance

The following process must take place (in this order) for every audit, whether initial, surveillance, transition, or recertification audit for each Organization:

- 1) CB shall conclude and confirm that all major and minor nonconformities have been processed in accordance with ISO 17021-1, and all other CB requirements are met; and

Paragraph 3

The e-Stewards Certificate issued by the CB may reference concurrent certification with ISO 14001/RIOS, or the two certificates may be issued separately.

j) Competence, Qualifications, and Ongoing Training of e-Stewards CB and AB Personnel on an Ongoing Basis

e-Stewards CB audit teams shall have the following competencies:

- ▶ Point 2 - Be competent in ISO 14001 and RIOS: lead auditors with at least one-year experience in auditing to ISO 14001 and RIOS (if RIOS is the environmental management system chosen by the organization); and
- ▶ Point 6 - Have demonstrated competency in accordance with ISO/IEC 17021-1 in electrical and Electronic Equipment and Recycling industries; and

The e-Stewards CB program managers, technical review personnel, and e-Stewards Certification decision-maker shall:

- ▶ Possess and apply knowledge of the current version of the e-Stewards® program requirements, the current and revised e-Stewards Standards and Sanctioned Interpretations, the environmental management system requirements of ISO 14001 and, RIOS if applicable, and Recycling and electronics Recycling in particular; and

k) Agreement to Oversight of the Certification Process & CB/AB Reporting Requirements

1) CB Reporting Requirements

Within five business days: CB shall submit written notification to e-Stewards Program Administrator of the following occurrences within five business days of their occurrence (or as indicated):

CB Reporting Changes in Status of their Accreditations
The CB has had its accreditation discontinued or withdrawn by an approved AB for nonconformity with e-Stewards requirements, or ISO 14001, <u>RIOS</u> , or another industry-specific standard.

AB Reporting within 1 Business Day
Notification of any e-Stewards CB that has had its accreditation suspended or withdrawn for nonconformity with e-Stewards requirements, or ISO 14001, <u>RIOS</u> or another industry-specific standard.