

General information regarding elements of the certification process is described below. A degree of flexibility and options in the certification process are available so please feel free to contact us to discuss how we can better serve your organization.

SAI Global Full Service Team

Upon selection of SAI Global as your Registrar and submission of the signed Application for Certification, SAI Global will assign your dedicated service team.

Your service team will be selected to suit your specific industry and will consist of an Account Manager, a Regional Account Representative, a Lead Auditor and other team members as needed to support your certification. The roles of each member of your service team are as follows: your Account Manager will manage the business relationship, including contract negotiation and changes to your certification requirements; your Regional Account Representative will manage the back office processes including scheduling and customer service related to certificates and invoicing; your Lead Auditor will manage the delivery relationship. As your primary contact with SAI Global, the Lead Auditor assigned provides you with ongoing industry developments and interpretations and ensures coordination of all audit-related activities for your company. If additional audit team members are required, they are selected from our experienced auditor base. Your audits will be consistent in approach, technically sound and relevant to your business needs.

Introductory Visit – (Optional) (formally referred to as a Preliminary Assessment)

An introductory visit is an on-site assessment conducted prior to the Stage 1 Certification Audit. The introductory visit allows for the identification of any major implementation issues and feedback regarding your implementation readiness. We recommend that your introductory visit be scheduled at least 30 days prior to the Stage 1 Audit.

Certification Audit

The goal of the certification audit is to assess the effective implementation of your management system to the requirements of the standard and your management system documentation. The audit is conducted in two Stages.

The Stage 1 audit is generally conducted on site and consists of a documentation review and readiness evaluation and establishes the audit scope and audit plan.

The Stage 2 audit is conducted on site and consists of a review to ensure that the management system has been fully implemented and is in conformance to the requirements of the standard or normative document.

All audit activities are mutually planned with your assigned Auditor prior to the audit. An audit plan is provided detailing the scope and objectives of both the Stage 1 and Stage 2 audit, the audit team members, the processes to be audited and the timelines. While onsite your audit team will work to verify that the management system meets the requirements of the standard and your system documentation by assessing objective evidence. At the conclusion of the onsite audit, you will be immediately informed of the results. A formal audit report will be issued after the audit. The report includes information relative to positive aspects of the system, opportunities for improvement and system non-conformances.

Please note that if you request the option of having the Stage 1 and Stage 2 Audits conducted back to back a potential risk is present in that unacceptable Stage 1 audit results may require the cancellation of the Stage 2 audit with the application of cancellation fees as outlined in the terms and conditions.

Certificate Issuance

Upon successful completion of the certification process (including resolution of non-conformances if applicable), your Team Leader compiles a Certification Package for review by our Certification Team. Upon completion of the review, the Certification Team prepares and forwards your Certificate of Registration. Your certificate will include details such as: legal company name, site address, standard, scope of certification, the initial certification date and the expiry date.

The official certificate is forwarded, along with a link to our marketing website. The Marketing tools will provide you with useful ideas on how to capitalize on your ISO certification, provide you with the official 'SAI Global registered mark' artwork and the guidelines of use. Your successful certification will also be published in our online Directory of Registered Companies, at www.saiglobal.com.

Surveillance Audits

Surveillance audits are periodic audits of your management system. The purpose of surveillance audits is to ensure the management system is being maintained during the effective period of certification. To provide you with as much flexibility as possible, SAI Global offers two surveillance frequency options: Annual and Semi-annual.

- Semi-Annual audits are conducted every six months. This option offers more frequent interaction with your audit team, to ensure your management system is working efficiently and to facilitate the rate of continuous improvement
- Annual audits are conducted every twelve months, as a minimum.

Re-certification audit

Re-certification Audits are scheduled before 3-year mark, usually 3 months before the certificate expiry date. The purpose is to ensure:

- The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of the Certification
- Client demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance.
- Whether the operation of the certified management system contributes to the achievement of the organization's policy and objectives

Supplemental Scheme Requirements – Responsible Recycling (R2:2013)

1. Organizations shall execute a Licensing Agreement with the R2 program administrator prior to receiving their certificate(s) from their Certification Body.
2. If any of the following concerns are identified during the Stage 1 audit, a minimum 6-week interval is required prior to the Stage 2 audit.
 - a. More than 10 concerns identified in total (or less if some are significant enough to be deemed to warrant a 6-week interval by the CB)
 - b. More than 5 concerns in any one Provision of the R2 Standard.
 - c. Less than 100% of approved downstream vendors are audited by the organization or designee.
 - d. Less than 3 months of records to verify conformance to the R2 Standard.

When a delay is mandated by the above criteria, the organization shall demonstrate that the concern has been addressed and is ready for review during the Stage 2 audit.

3. Non-conformances may rise to a level serious enough to require suspension to maintain the integrity of the R2 Certification program. Although certification is meant to be a process of continuous improvement, the list below sets forth activities requiring suspension of R2 Certification. This list is intended to be representative, but not a complete list. Suspension may also be instituted within the normal processes of certification.

Suspension is only implemented after due process and non-conformances are confirmed. A non conformance may be the result of scheduled audits the result of investigation into a complaint. Certification bodies may re-instate the R2 certification only after corrective action is implemented and verified as effective.

- a) Knowingly misrepresenting Focus Material shipments, domestic or international, including shipments to other vendors not qualified under the R2 Standard, in contradiction to the information provided to customers and/or the Certification Body.
 - b) Non-functioning equipment knowingly sold and misrepresented to customers or the Certification Body in contradiction of R2 Standard requirements under Provision 6.
 - c) When R2-certified companies continue to operate in non-compliance, beyond the standard time to take corrective action, of legal requirements, such as permitting, after being notified of concerns of compliance by the Certification Body or regulatory body.
 - d) Failure to demonstrate a current licensing agreement with R2 Solutions in a timely manner to a Certification Body during the audit process.
 - e) Facility closure or discontinuation of R2 scope activities.
 - f) Misrepresentation of the certification status of any facility affiliated with the company.
4. When the organization cannot meet all provisions internally and subsequently **outsources requirements** to another organization then the outsource organization must be reviewed to ensure applicable provisions of R2 are being met as part of the Stage 2 and Recertification audits. The organization must demonstrate control of the function, even though it is performed by another organization. The organization must maintain records of conformance. Contracts between the organization and the outsource organization must allow for this certification audit activity to occur. Additional charges may be imposed by SAI Global on the organization to facilitate full auditing of the provisions performed by the outsource organization. For non-conformances relating to outsourcing of processes to other organizations, the determination of effectiveness by SAI Global may require a visit the outsource organization.

Supplemental Scheme Requirements – Reuse & Recycling (R2:2020 (R2V3))

R2 Facilities shall execute a Licensing Agreement with the R2 program administrator prior to receiving their certificate(s).

To be eligible for R2 Certification, the R2 Facility must meet the following conditions:

- Be engaged in the processing and/or management of electronic equipment, components, and/or materials as defined by the R2 Standard.
- Be a legally established company; individuals are not eligible.
- Have a business license from, or be registered as a business entity with, a government entity or entities with jurisdiction over such matters.
- Be located in an area zoned for commercial or industrial activity.
- Maintain a certified Environmental Health and Safety Management System (EHSMS) and in certain cases, a certified Quality Management System.
- Planned future additions of processes/activities or electronic equipment, components and materials associated with scope of certification that are not currently operational or have evidence of implementation are not eligible for certification.

R2 Certification Structure Requirements**Facility**

- Description: One company ownership (legal organization with one single owner). One location
- Applicability: All R2 certifiable operations – proof of registered business (es)
- Management System: One management system
- SERI R2 Facilities Licenses: One License Agreement
- Auditing: All R2 certifiable operations are audited
- R2 Certificate: One Certificate with all associated legal names (DBAs, seller names, trade names)

Campus

- Description: One company ownership. Multiple locations with different addresses with coordinated operations and central management at the Controlling Facility to fulfill the entirety of the R2 certifiable processes/activities in a single scope. Operations shall be interconnected to jointly process and/or manage common equipment, components, or material streams
- Applicability: Each campus location shall be assigned an individual scope of certification applicable to its specific operations, and any applicable R2 Process Requirements
- Management System: One management system shared by all locations
- SERI R2 Facilities Licenses: One License agreement covering all the locations
- Auditing: All locations shall be audited on every audit
- R2 Certificate: One combined R2 certificate – no individual certificates. The R2 certificate lists the Controlling Facility. Additional locations are uniquely identified as to their address and scope on additional pages of certificate

Shared Facilities

- Description: Different companies operating independently within one location. Companies have different ownership
- Applicability: All companies with R2 certifiable activities shall be certified for any one company to be certified. Proof of registered businesses + proof of parent relationship with certified facilities
- Management System: Each company operates under its own management system
- SERI R2 Facilities Licenses: Separate License Agreement for each company
- Auditing: Each company shall be independently audited and certified
- R2 Certificate: Separate R2 certificates shall be issued for each company. Since R2 Certification is facility based, if one company loses or withdraws certification, the other companies cannot remain certified

Common Parent Facilities

- Description: Multiple legal entities wholly *owned by the same* parent operating within one facility
- Applicability: All activities for all companies applicable to R2 Certification at the facility are certified. Proof of relationship between parent facility and legal entities
- Management System: One management system shared by all companies
- SERI R2 Facilities Licenses: One License Agreement signed by the parent for all companies listed
- Auditing: One audit of all activities in the scope for all companies
- R2 Certificate: One combined R2 certificate – no individual certificates. The R2 certificate lists the common parent as the primary name, alongside any other registered names of the sub-companies

Group

- Description: Multiple companies with different owners operating together to fulfill the R2 activities/processes in a single scope on a single certificate May be one shared Facility or multiple Facilities
- Applicability: Legal agreement shall be entered into to establish relationship between companies and one company shall be assigned as the controlling organization. All companies and Facilities in the agreement shall certify all R2 applicable processes/activities at the listed Facilities or under their control
- Management System: One management system centrally controlled and shared by all companies
- SERI R2 Facilities Licenses: Each facility has a license agreement
- Auditing: All companies and locations are audited on every audit
- R2 Certificate: One Certificate with the group name as the primary and each member facility listed. No individual certificates. Nonconformities of any one facility affects the entire group

Prior to conducting a Stage 1 audit, SAI Global will confirm that the R2 Facility has completed:

- A full-system Internal audit of the entire scope its operations, including all R2 Core Requirements and applicable R2 Process Requirements
- Internal audit corrective actions for any identified non-conformances
- Legal compliance audit
- Legal compliance audit corrective actions for any identified non-compliances
- FM Management Plan
- 100% due diligence of all approved vendors
- Data Sanitization Plan
- Closure Plan
- Financial Instruments for closure
- Insurance, as applicable
- Three months of implementation records of conformity to the R2 Standard requirements

If SAI Global determines that a R2 Facility is not ready to proceed to Stage 1 because of deficiencies in meeting documentation requirements, the Stage 1 audit shall be postponed until all documentation to satisfy the requirements of the R2 Standard are met. The time gap between Stage 1 and 2 audits cannot exceed six months, otherwise Stage 1 will be repeated.

R2 Facility information relative to the R2 Certification may be confidentially shared with SERI and the accreditation body for oversight of the R2 Certification Program. SERI may witness certification body audits. Certification bodies abide by the other terms and conditions of their agreement with SERI.

The following criteria shall be used for initiation of a potential suspension:

- Illegal imports or exports
- Repeat NCs, with insufficient corrective actions
- Alteration and misrepresentation of the description of types and status of equipment and/or materials to mislead Auditors or downstream suppliers
- Conviction or settlement of regulatory actions against the company due to egregious environmental, health or safety violations
- Hiding or omitting transactions, equipment, materials, or any other form of deception to the Auditor, CB, and/or SERI
- Misrepresentation of the R2 Certification and status of any Facility affiliated with the company
- Failure to provide correction and/or corrective actions for SERI complaints
- Notification from SERI that the license fee payment has not been received from the R2 facility by its due date. The R2 certificate shall be suspended upon notification from SERI and effective immediately. Suspension shall be lifted if license is signed and fee is received by SERI within the suspension deadline. If payment is still not received by SERI by the end of the suspension period, the certificate will be withdrawn.
- Verification of non-conformance corrections not completed within 60 days of issuance
- Verification of non-conformance corrective action effectiveness not completed within 6 months of issuance
- For site moves, the previous facility, if the R2 facility no longer has access to it
- If the audit and issuance of the certificate for the new facility is not completed within six months of the move.