SECTOR SPECIFIC SCHEME REQUIREMENTS
ISO Responsible Recycling© (R2)

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)

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 nonconformance 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.

