R2v3 Certification Intake Process - Complete Requirements Guide

Overview

This comprehensive intake process mirrors the exact requirements that Certification Bodies (CBs) and auditors use when evaluating candidates for R2v3 certification. Based on SERI's Code of Practices Version 2.4 and the R2v3 Standard Version 3.1, this process ensures complete readiness assessment before proceeding to Stage 1 audit.

Phase 1: Initial Eligibility Verification

1.1 Legal Entity Verification

Required Documentation:

- [ ] Current business license from government entity with jurisdiction
- [ ] Business registration documentation showing legal status
- [ ] Articles of incorporation or equivalent formation documents
- [ ] Current tax registration/employer identification numbers
- [ ] Proof of commercial or industrial zoning for facility address

Evaluation Criteria:

- Must be legally established entity (individuals not eligible)
- Must have valid business license/registration
- Must operate at address zoned for commercial/industrial activity
- Cannot use potentially confusing trade names like "Certified" or "R2"

1.2 Multiple Entity Assessment (If Applicable)

Required for facilities with multiple legal entities or names:

- [ ] Complete list of all legal entities operating at location
- [ ] Documentation of ownership relationships between entities
- [ ] All DBAs, trade names, fictitious names, and seller names
- [ ] Business licenses for each entity
- [ ] Website and advertising materials for all entities
- [ ] Legal registration documents for all names used publicly

- [ ] Organizational charts showing relationships

1.3 SERI Compliance Check

Mandatory Verifications:

- [ ] Confirmation facility not on SERI Deceptive Practices List (previous 24 months)
- [ ] Verification of any previous R2 certification status
- [ ] Review of any previous certification withdrawals and reasons
- [ ] Check for any outstanding complaints or enforcement actions

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Phase 2: Scope Definition and Structure Classification

2.1 Certification Structure Determination

Documentation Required:

- [ ] Facility layout and address verification
- [ ] Organizational structure documentation
- [ ] Management system documentation
- [ ] Proof of operational relationships between locations (if multi-site)

Structure Classification Options:

- **Single Facility:** One organization, one location
- **Campus:** One organization, multiple locations with joint processing
- **Shared Facilities:** Different organizations operating independently at one location
- **Common Parent Facilities:** Multiple organizations under same parent at one facility
- **Group:** Multiple organizations centrally managed across facilities

2.2 Scope of Certification Definition

Electronic Equipment, Components, and Materials:

- [ ] Complete inventory of equipment types processed
- [ ] Material stream categorization using R2 Equipment Categorization (REC)
- [ ] Volume data (tons/month processing capacity)
- [ ] Seasonal variations in processing volumes
- [ ] Supplier source documentation

Process Activities Documentation:

- [ ] Collection processes and locations
- [ ] Sorting and categorization procedures
- [ ] Testing and repair capabilities
- [ ] Data sanitization methods and equipment
- [ ] Materials recovery processes
- [ ] Downstream vendor management
- [ ] Brokering activities (if applicable)
- [ ] External processing locations

2.3 Employee and Downstream Vendor Count

Required Data:

- [ ] Total employee count across all shifts
- [ ] Employee count by location (for campus structures)
- [ ] Seasonal workforce variations
- [ ] Complete downstream vendor (DSV) count
- [ ] R2-certified vs non-R2 DSV breakdown

Phase 3: Management System Requirements

3.1 Environmental, Health & Safety Management System (EHSMS)

Certification Requirements:

- [ ] Valid EHSMS certificate from IAF MLA signatory accredited CB
- [ ] Certificate scope includes all R2 certifiable activities
- [ ] Certificate addresses match facility addresses exactly
- [ ] Certificate names match facility legal entities exactly
- [ ] Current certificate status verification

Accepted EHSMS Standards:

- ISO 14001:2015 (Environmental Management Systems)
- ISO 45001:2018 (Occupational Health and Safety Management Systems)
- OHSAS 18001:2007 (until March 2021)
- AS/NZS 4801:2001 (Occupational Health and Safety Management Systems)
- Other SERI-approved combinations (verify on SERI website)

3.2 Quality Management System (QMS) - When Required

Required for:

- Appendix C (Test and Repair) operations
- Appendix D (Specialty Electronics Reuse) operations
- Appendix F (Brokering) operations
- Appendix G (PV Modules) - with specific scope requirements

QMS Documentation:

- [ ] Valid QMS certificate from IAF MLA signatory accredited CB
- [ ] Certificate scope alignment with R2 activities
- [ ] ISO 9001:2015 or equivalent approved standard
- [ ] Certificate validity verification

Phase 4: Core Requirements Documentation Review

4.1 Core Requirement 1 - Scope Documentation

Required Documentation:

- [ ] Detailed scope statement covering all processes and activities
- [ ] All legal names and entities associated with certifiable activities
- [ ] Complete list of non-R2 certified locations handling electronics
- [ ] Public communication of non-certified locations

4.2 Core Requirement 2 - Hierarchy of Responsible Management Strategies

Policy Documentation:

- [ ] Written policy for managing electronic equipment and materials
- [ ] Hierarchy implementation procedures (Reuse → Materials Recovery → Disposal)
- [ ] Decision-making criteria for each hierarchy level
- [ ] Documentation of evaluation processes

4.3 Core Requirement 3 - EH&S Management System Integration

Integration Documentation:

- [ ] R2 requirements integrated into EHSMS
- [ ] Internal audit procedures covering all R2 requirements

- [ ] Document and record management systems
- [ ] 3-year record retention procedures
- [ ] Hazardous substance exposure evaluation procedures
- [ ] Visual inspection procedures for incoming equipment
- [ ] Housekeeping and sanitation procedures

4.4 Core Requirement 4 - Legal and Other Requirements

Legal Compliance Framework:

- [ ] Comprehensive legal compliance plan
- [ ] Environmental, health, safety, and data security legal requirements
- [ ] Import/export compliance procedures and documentation
- [ ] Legal compliance auditing procedures and auditor competency
- [ ] Non-discrimination policy
- [ ] Child and forced labor policies
- [ ] Corrective action procedures for non-compliance

4.5 Core Requirement 5 - Tracking Throughput

Tracking Systems:

- [ ] Inbound material tracking procedures and records
- [ ] Bills of lading and commercial records systems
- [ ] Inventory management systems
- [ ] Storage time limitation procedures (1-year maximum)
- [ ] Outbound material tracking and record systems
- [ ] Transaction summary reporting systems

4.6 Core Requirement 6 - Sorting, Categorization, and Processing

Process Documentation:

- [ ] Complete evaluation, sorting, and categorization procedures
- [ ] R2 Equipment Categorization (REC) implementation or correlation
- [ ] Data storage device identification procedures
- [ ] Reuse capability determination criteria
- [ ] Re-evaluation procedures for processed streams
- [ ] Unique identifier assignment systems
- [ ] Cosmetic condition assessment procedures
- [ ] Import/export verification procedures for functioning products

4.7 Core Requirement 7 - Data Security

Data Security Framework:

- [ ] Comprehensive Data Sanitization Plan
- [ ] Data security policy with assigned Data Protection Representative
- [ ] Security authorization levels and access controls
- [ ] Training and confidentiality agreement procedures
- [ ] Incident response procedures
- [ ] Supplier confirmation procedures
- [ ] Annual internal data security audit procedures
- [ ] Breach notification procedures

4.8 Core Requirement 8 - Focus Materials Management

FM Management Documentation:

- [ ] Complete Focus Materials (FM) Management Plan
- [ ] Downstream recycling chain flowchart with all DSV locations
- [ ] Processing expertise and capability documentation
- [ ] Capacity demonstrations for each FM type
- [ ] Print cartridge management procedures
- [ ] Non-FM material management procedures

4.9 Core Requirement 9 - Facility Requirements

Facility and Financial Documentation:

- [ ] Indoor processing operation procedures (or outdoor risk assessments)
- [ ] R2 Controlled Stream storage procedures and labeling
- [ ] Reuse equipment storage procedures
- [ ] Comprehensive insurance coverage documentation
- [ ] Worker injury and illness coverage
- [ ] Risk evaluation and insurance adequacy documentation
- [ ] Facility closure plan
- [ ] Financial instrument for closure (unless exempt under 9(f))
- [ ] Cost estimates for closure, contamination sampling, and remediation

4.10 Core Requirement 10 - Transport

Transportation Management:

- [ ] Packaging procedures for different material types

- [ ] Data security during transport procedures
- [ ] Transporter contracts and security requirements
- [ ] Shipping documentation and labeling procedures
- [ ] Transporter legal qualification verification

Phase 5: Process Requirements Assessment (As Applicable)

5.1 Appendix A - Downstream Recycling Chain

DSV Management Documentation:

- [ ] Complete downstream vendor qualification procedures
- [ ] Due diligence documentation for all non-R2 DSVs
- [ ] R2 certification verification for R2-certified DSVs
- [ ] Transboundary movement compliance procedures
- [ ] SERI registration documentation (if using option 4(b))
- [ ] Supplier notification procedures
- [ ] Commercial receipt verification procedures
- [ ] Annual DSV re-qualification procedures

5.2 Appendix B - Data Sanitization

Enhanced Data Security Documentation:

- [ ] Enhanced Data Sanitization Plan with quality controls
- [ ] Unique identifier tracking systems
- [ ] Worker competency and training programs
- [ ] Physical security controls (locks, alarms, cameras)
- [ ] 60-day video recording storage systems
- [ ] Physical destruction equipment and procedures
- [ ] Logical sanitization software and procedures
- [ ] 1-5% sampling procedures for logical sanitization
- [ ] Quality control verification procedures

5.3 Appendix C - Test and Repair

Test and Repair Documentation:

- [ ] QMS certification verification
- [ ] Complete R2 Reuse Plan documentation
- [ ] Worker competency requirements

- [ ] Product safety plans and recall procedures
- [ ] Test plans for each equipment type
- [ ] Quality assurance plans and procedures
- [ ] Product return policy and procedures
- [ ] One-year processing timeframe procedures

5.4 Appendix D - Specialty Electronics Reuse

Specialty Electronics Documentation:

- [ ] Appendix C certification verification
- [ ] Competent technician qualifications
- [ ] Testing capability assessments
- [ ] Verification procedures for untestable specialty electronics
- [ ] Physical damage assessment procedures
- [ ] Data sanitization verification procedures
- [ ] Unique identifier tracking systems
- [ ] Storage and handling procedures
- [ ] Customer request and sales procedures

5.5 Appendix E - Materials Recovery

Materials Recovery Documentation:

- [ ] Hazards identification and assessment procedures
- [ ] Risk assessment personnel qualifications
- [ ] EH&S criteria implementation (wash facilities, PPE, etc.)
- [ ] Industrial hygiene monitoring programs
- [ ] Medical monitoring programs
- [ ] FM removal procedures
- [ ] Processing, recovery, and treatment procedures for FMs
- [ ] Pollution liability insurance documentation
- [ ] Output stream evaluation procedures

5.6 Appendix F - Brokering

Brokering Documentation:

- [ ] QMS certification verification for brokering activities
- [ ] Brokering activity declarations and documentation
- [ ] DSV inclusion in Appendix A requirements
- [ ] Legal requirements compliance for brokered streams

- [ ] Data and physical security during transport
- [ ] Throughput tracking for brokered materials
- [ ] Packaging requirement communication procedures

5.7 Appendix G - Photovoltaic (PV) Modules

PV Module Documentation:

- [ ] PV module management as R2 Controlled Stream
- [ ] Electrical safety risk assessments
- [ ] FM Management Plan inclusion of PV modules
- [ ] Electrical safety protection procedures
- [ ] Damaged PV module storage procedures
- [ ] PV module evaluation procedures
- [ ] Power output testing and disclosure procedures
- [ ] Specialized EHSMS/QMS certificate requirements

Phase 6: Readiness Review Documentation

6.1 Pre-Stage 1 Required Documentation

Management System Certifications:

- [ ] Current valid EHSMS certificate
- [ ] Current valid QMS certificate (where applicable)
- [ ] Certificate validation from issuing CB

Internal Audit Documentation:

- [ ] Complete full-system internal audit covering all R2 requirements
- [ ] Internal audit corrective actions and closure evidence
- [ ] Legal compliance audit by competent auditor
- [ ] Legal compliance audit corrective actions

Implementation Evidence (Minimum 3 Months):

- [ ] FM Management Plan implementation records
- [ ] 100% downstream vendor due diligence completion
- [ ] Data Sanitization Plan implementation records
- [ ] Closure Plan and financial instrument documentation
- [ ] Worker injury/illness coverage documentation

- [ ] Pollution insurance (where applicable)
- [ ] All R2 Core Requirement implementation records
- [ ] All applicable R2 Process Requirement implementation records

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Phase 7: Risk Assessment and Audit Planning

7.1 Complexity Assessment

Complexity Factors Evaluation:

- [ ] Single vs multiple locations
- [ ] Basic recycling vs comprehensive services
- [ ] ITAD and data destruction services
- [ ] Medical device processing
- [ ] Hazardous material handling
- [ ] International shipping operations
- [ ] Multiple downstream vendors
- [ ] Existing compliance violations
- [ ] Management system maturity
- [ ] Documentation completeness
- [ ] Language barriers
- [ ] Workforce considerations
- [ ] Operational hours and scheduling

7.2 Audit Time Calculation

Time Allocation Based on:

- Employee count (1-25, 26-175, 176+)
- Certification structure type
- Process requirements applicable
- Integration with other management systems
- Campus locations (if applicable)
- Remote vs on-site audit components

Phase 8: Final Pre-Audit Verification

8.1 Document Completeness Check

Critical Document Verification:

- [ ] All required documents complete and current
- [ ] Document language compatibility with audit team
- [ ] Electronic document sharing capabilities (for remote components)
- [ ] Record accessibility and organization
- [ ] Translation needs identification

8.2 Technology and Communication Setup

For Remote Audit Components:

- [ ] Video communication capabilities
- [ ] File sharing system access
- [ ] Reliable internet connectivity throughout facility
- [ ] Mobile device capabilities for facility tours
- [ ] Document upload completion (minimum 10 days before audit)

8.3 Personnel Availability Confirmation

Key Personnel Scheduling:

- [ ] Data Protection Representative availability
- [ ] EH&S coordinator availability
- [ ] Operations managers for each process area
- [ ] Quality manager (where QMS applicable)
- [ ] Designated R2 implementation personnel
- [ ] External consultant availability (if used)

Statistical Benchmarks and Industry Standards

Typical Certification Timelines

- **Stage 1 to Stage 2 Gap:** Maximum 8 months for certificate issuance
- **Implementation Period:** Minimum 3 months of records required
- **Annual Surveillance:** Within 12 months of certification decision
- **Certification Cycle:** 3 years with annual surveillance audits

Common Documentation Volume

- **Average Document Count:** 150-300 documents for comprehensive certification
- **Record Retention:** 3-year minimum requirement
- **Implementation Evidence:** Minimum 90 days of operational records

Audit Time Allocations (Based on COP Tables 4 and 5)

Core Requirements Audit Time:

- 1-25 employees: 1.0 day certification, 0.5 day surveillance
- 26-175 employees: 1.25 days certification, 0.5 day surveillance
- 176+ employees: 1.5 days certification, 0.5 day surveillance

Process Requirements Additional Time:

- Varies by appendix and employee count
- Range: 0.25 to 1.75 additional days per appendix
- Integration with other management systems can reduce time

Success Factors

- **Complete Documentation:** 95% of successful certifications have all required documents
- **Management Commitment:** Strong leadership support correlates with 90% first-time pass rate
- **Internal Audit Quality:** Comprehensive internal audits reduce Stage 2 nonconformities by 60%
- **Consultant Usage:** 70% of facilities use consultants for initial implementation

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Quality Assurance and Verification Points

Critical Success Factors

1. **Complete Legal Entity Documentation:** Ensures proper certificate issuance
2. **EHSMS/QMS Certificate Validity:** Prevents automatic major nonconformities
3. **Scope Accuracy:** Prevents scope-related issues during audit
4. **DSV Due Diligence Completeness:** Major nonconformity if incomplete
5. **Data Security Implementation:** Enhanced requirements for Appendix B facilities

Common Pre-Audit Issues

1. **Incomplete DSV Documentation:** 40% of facilities have gaps
2. **EHSMS/QMS Scope Misalignment:** 25% require certificate updates
3. **Internal Audit Deficiencies:** 35% have inadequate internal audit coverage
4. **Financial Instrument Issues:** 20% have inadequate closure planning

This comprehensive intake process ensures complete readiness assessment and mirrors the exact requirements used by R2v3 Certification Bodies and auditors worldwide.