

# R2v3 Certification Readiness Assessment

## Technical Audit Report Template

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### INTERNAL INSTRUCTIONS FOR REPLIT AI:

This template must generate a comprehensive technical report that meets SERI Code of Practices Version 2.4 requirements. The report must be audit-ready and suitable for certification body review.

### CRITICAL COMPLIANCE REQUIREMENTS:

- All gap references must cite exact R2v3 Standard sections (e.g., "Core Requirement 4(d)(3)")
  - Evidence requirements must reference Table 8 COP mandatory documents
  - Risk levels must align with audit blocking vs. non-blocking criteria
  - Implementation timelines must be realistic for actual certification processes
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## COVER PAGE TEMPLATE

### R2v3 CERTIFICATION READINESS ASSESSMENT COMPREHENSIVE TECHNICAL AUDIT REPORT

#### Facility Information:

- Company Name: {COMPANY\_NAME}
- Assessment Date: {ASSESSMENT\_DATE}
- Primary Contact: {CONTACT\_NAME}, {CONTACT\_TITLE}
- Email: {CONTACT\_EMAIL}
- Phone: {CONTACT\_PHONE}
- Facility Address: {FACILITY\_ADDRESS}

#### Report Details:

- Assessment Period: {ASSESSMENT\_PERIOD}
- Prepared by: R2v3 Readiness Assessment Tool
- Report Version: {VERSION}
- Confidentiality: PROPRIETARY AND CONFIDENTIAL

#### R2v3 Standard Reference:

- Standard Version: R2v3 Version 3.1

- SERI COP Version: 2.4 (Effective February 18, 2025)
  - Assessment Methodology: Pre-Audit Gap Analysis per SERI Requirements
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## EXECUTIVE SUMMARY

### Overall Readiness Assessment

#### PRIMARY FINDINGS:

- **Overall Readiness Score:** {OVERALL\_SCORE}%
- **Readiness Classification:** {READINESS\_LEVEL}
- **Audit Recommendation:** {AUDIT\_RECOMMENDATION}

#### READINESS LEVELS DEFINED:

- **90-100% (Certification Ready):** Proceed with formal SERI-accredited audit
- **75-89% (Minor Gaps):** Address specific gaps before scheduling audit
- **60-74% (Significant Gaps):** Systematic improvements required
- **Below 60% (Major Work Required):** Comprehensive program development needed

### Gap Distribution Analysis

**CRITICAL GAPS (AUDIT BLOCKING):** {CRITICAL\_COUNT} *These gaps will prevent certification and must be resolved before audit*

**MAJOR GAPS (SIGNIFICANT RISK):** {MAJOR\_COUNT} *These gaps pose certification risks and should be addressed promptly*

**MINOR GAPS (IMPROVEMENT OPPORTUNITIES):** {MINOR\_COUNT} *These gaps represent opportunities for enhancement*

### Implementation Projection

#### ESTIMATED TIMELINE TO CERTIFICATION:

- Immediate Actions (0-30 days): {IMMEDIATE\_ACTIONS} items
- Short-term Implementation (1-3 months): {SHORT\_TERM\_ACTIONS} items
- Long-term Development (3-6 months): {LONG\_TERM\_ACTIONS} items
- **Total Estimated Timeline:** {TOTAL\_TIMELINE}

#### ESTIMATED INVESTMENT REQUIREMENTS:

- Documentation Development: {DOC\_INVESTMENT}
  - System Implementation: {SYSTEM\_INVESTMENT}
  - Training and Certification: {TRAINING\_INVESTMENT}
  - External Consulting: {CONSULTING\_INVESTMENT}
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## ASSESSMENT SCOPE AND METHODOLOGY

### Facility Scope Definition

#### PRIMARY REC CATEGORIES: {REC\_CATEGORIES}

- Personal Computers and Servers: {PC\_SERVERS}
- Networking Equipment: {NETWORKING}
- Peripherals and Accessories: {PERIPHERALS}
- Consumer Electronics: {CONSUMER\_ELECTRONICS}
- Telecommunications Equipment: {TELECOM}
- Medical Electronics: {MEDICAL}
- Industrial Electronics: {INDUSTRIAL}

#### OPERATIONAL ACTIVITIES:

- Collection and Transportation: {COLLECTION}
- Testing and Repair for Reuse: {TEST\_REPAIR}
- Refurbishment Operations: {REFURBISHMENT}
- Data Sanitization Services: {DATA\_SANITIZATION}
- Material Recovery and Recycling: {MATERIAL\_RECOVERY}
- Brokering Activities: {BROKERING}

#### APPLICABLE R2v3 APPENDICES: {FOR\_EACH\_APPENDIX}

- **Appendix {APPENDIX\_LETTER}: {APPENDIX\_NAME}**
  - Scope: {APPENDIX\_SCOPE}
  - Additional Requirements: {APPENDIX\_REQUIREMENTS} {END\_FOR\_EACH}

### Data-Bearing Devices and Focus Materials

#### DATA-BEARING DEVICE PROCESSING: {DATA\_BEARING\_DEVICES}

- Hard Disk Drives: {HDD\_PROCESSING}

- Solid State Drives: {SSD\_PROCESSING}
- Mobile Devices: {MOBILE\_PROCESSING}
- Optical Media: {OPTICAL\_PROCESSING}
- Flash Memory: {FLASH\_PROCESSING}

**FOCUS MATERIALS MANAGEMENT:** {FOCUS\_MATERIALS}

- Mercury-containing components: {MERCURY}
- Lead-containing materials: {LEAD}
- Cadmium-containing components: {CADMIUM}
- Beryllium-containing materials: {BERYLLIUM}
- PCB-containing components: {PCB}

**Downstream Vendor Assessment**

**DOWNSTREAM VENDOR SCOPE:**

- Total Vendors in Supply Chain: {VENDOR\_COUNT}
- R2v3 Certified Vendors: {R2\_CERTIFIED\_COUNT}
- Non-R2v3 Certified Vendors: {NON\_R2\_COUNT}
- Geographic Distribution: {VENDOR\_GEOGRAPHY}

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**COMPREHENSIVE GAP ANALYSIS**

**Critical Gaps (Stage 1 - Audit Blocking)**

{FOR\_EACH\_CRITICAL\_GAP} **GAP ID:** {GAP\_ID} **R2v3 REQUIREMENT:** Core Requirement {CORE\_REQ}  
( {SUBSECTION} ) **REQUIREMENT TEXT:** "{EXACT\_REQUIREMENT\_TEXT}" **CURRENT STATUS:**  
{CURRENT\_STATUS} **GAP DESCRIPTION:** {GAP\_DESCRIPTION}

**EVIDENCE REQUIREMENTS (Per SERI COP Table 8):** {FOR\_EACH\_EVIDENCE}

- {EVIDENCE\_TYPE}: {EVIDENCE\_DESCRIPTION} {END\_FOR\_EACH}

**CERTIFICATION IMPACT:**

- **Audit Blocking:** {BLOCKING\_STATUS}
- **Risk Level:** {RISK\_LEVEL}
- **Formal Interpretation Reference:** {FI\_REFERENCE}

IMPLEMENTATION REQUIREMENTS:

- **Personnel Required:** {PERSONNEL\_REQ}
- **Documentation Needed:** {DOCUMENTATION\_REQ}
- **System Changes:** {SYSTEM\_CHANGES}
- **Training Requirements:** {TRAINING\_REQ}
- **Estimated Timeline:** {IMPLEMENTATION\_TIMELINE}
- **Estimated Cost:** {IMPLEMENTATION\_COST}

SPECIFIC CORRECTIVE ACTIONS: {FOR\_EACH\_ACTION}

1. {ACTION\_DESCRIPTION}
- Responsible Party: {RESPONSIBLE\_PARTY}
  - Target Date: {TARGET\_DATE}
  - Success Criteria: {SUCCESS\_CRITERIA} {END\_FOR\_EACH}

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{END\_FOR\_EACH\_CRITICAL\_GAP}

Major Gaps (Stage 2 - Significant Risk)

{FOR\_EACH\_MAJOR\_GAP} **GAP ID:** {GAP\_ID} **R2v3 REQUIREMENT:** {REQUIREMENT\_REFERENCE}  
**CURRENT STATUS:** {CURRENT\_STATUS} **RISK ASSESSMENT:** {RISK\_ASSESSMENT} **RECOMMENDED ACTIONS:** {RECOMMENDED\_ACTIONS} **IMPLEMENTATION PRIORITY:** {IMPLEMENTATION\_PRIORITY}  
{END\_FOR\_EACH\_MAJOR\_GAP}

Minor Gaps (Stage 3 - Improvement Opportunities)

{FOR\_EACH\_MINOR\_GAP} **GAP ID:** {GAP\_ID} **R2v3 REQUIREMENT:** {REQUIREMENT\_REFERENCE}  
**IMPROVEMENT OPPORTUNITY:** {IMPROVEMENT\_DESCRIPTION} **BUSINESS BENEFITS:** {BUSINESS\_BENEFITS} **RECOMMENDED TIMELINE:** {RECOMMENDED\_TIMELINE}  
{END\_FOR\_EACH\_MINOR\_GAP}

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CATEGORY PERFORMANCE ANALYSIS

Core Requirements Performance

- {FOR\_EACH\_CORE\_REQUIREMENT} **CORE REQUIREMENT {CR\_NUMBER}: {CR\_NAME}**
- **Questions Assessed:** {QUESTIONS\_ASSESSED}
  - **Compliance Score:** {COMPLIANCE\_SCORE}%

- **Performance Status:** {PERFORMANCE\_STATUS}
- **Key Strengths:** {KEY\_STRENGTHS}
- **Primary Gaps:** {PRIMARY\_GAPS}
- **Implementation Priority:** {IMPLEMENTATION\_PRIORITY}

**Specific Requirement Analysis:** {FOR\_EACH\_SUBREQUIREMENT}

- **CR{CR\_NUMBER}({SUBSECTION}):** {SUBSECTION\_NAME}
  - Status: {SUBSECTION\_STATUS}
  - Evidence Required: {EVIDENCE\_REQUIRED}
  - Gap Description: {GAP\_DESCRIPTION} {END\_FOR\_EACH\_SUBREQUIREMENT}  
{END\_FOR\_EACH\_CORE\_REQUIREMENT}

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## MANDATORY DOCUMENTATION ASSESSMENT

### Table 8 Required Documents (Per SERI COP)

{FOR\_EACH\_TABLE8\_DOC} **DOCUMENT:** {DOCUMENT\_NAME} **R2v3 REQUIREMENT:**  
{R2\_REQUIREMENT} **CURRENT STATUS:** {CURRENT\_STATUS} **COMPLIANCE LEVEL:**  
{COMPLIANCE\_LEVEL} **GAPS IDENTIFIED:** {GAPS\_IDENTIFIED} **CORRECTIVE ACTIONS:**  
{CORRECTIVE\_ACTIONS} {END\_FOR\_EACH\_TABLE8\_DOC}

### EHSMS and QMS Certificate Validation

#### EHSMS CERTIFICATION:

- **Current Certificate:** {EHSMS\_CERT}
- **Certification Body:** {EHSMS\_CB}
- **IAF MLA Signatory Status:** {IAF\_STATUS}
- **Scope Coverage:** {SCOPE\_COVERAGE}
- **Expiration Date:** {EXPIRATION\_DATE}
- **Compliance Status:** {COMPLIANCE\_STATUS}

#### QMS CERTIFICATION (If Applicable):

- **Required for:** {QMS\_REQUIRED\_FOR}
  - **Current Certificate:** {QMS\_CERT}
  - **Compliance Status:** {QMS\_COMPLIANCE}
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# PHASED IMPLEMENTATION PLAN

## Phase 1: Critical Gap Resolution (Days 1-30)

IMMEDIATE ACTIONS REQUIRED: {FOR\_EACH\_IMMEDIATE\_ACTION}

1. Action: {ACTION\_DESCRIPTION}
- R2v3 Requirement: {R2\_REQUIREMENT}

• Responsible Party: {RESPONSIBLE\_PARTY}

• Target Completion: {TARGET\_DATE}

• Resources Required: {RESOURCES\_REQUIRED}

• Success Criteria: {SUCCESS\_CRITERIA}

• Dependencies: {DEPENDENCIES} {END\_FOR\_EACH\_IMMEDIATE\_ACTION}

## Phase 2: System Development (Days 31-90)

SHORT-TERM IMPLEMENTATION: {FOR\_EACH\_SHORT\_TERM\_ACTION}

1. Project: {PROJECT\_NAME}
- Scope: {PROJECT\_SCOPE}

• R2v3 Requirements Addressed: {R2\_REQUIREMENTS}

• Project Timeline: {PROJECT\_TIMELINE}

• Resource Allocation: {RESOURCE\_ALLOCATION}

• Milestones: {PROJECT\_MILESTONES} {END\_FOR\_EACH\_SHORT\_TERM\_ACTION}

## Phase 3: Optimization and Certification Preparation (Days 91-180)

LONG-TERM DEVELOPMENT: {FOR\_EACH\_LONG\_TERM\_ACTION}

1. Initiative: {INITIATIVE\_NAME}
- Objective: {INITIATIVE\_OBJECTIVE}

• Implementation Strategy: {IMPLEMENTATION\_STRATEGY}

• Success Metrics: {SUCCESS\_METRICS} {END\_FOR\_EACH\_LONG\_TERM\_ACTION}

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# CERTIFICATION PATHWAY RECOMMENDATIONS

## Pre-Audit Activities

RECOMMENDED SEQUENCE:

1. **Complete Critical Gap Resolution** (All Stage 1 gaps must be closed)
2. **Conduct Internal R2v3 Audit** (Covering entire scope per Core Requirement 3(b))
3. **Legal Compliance Audit** (By competent auditor per Core Requirement 4(d)(3))
4. **Document Management System Verification** (3 months implementation records)
5. **Downstream Vendor Due Diligence Completion** (100% of vendors)

Certification Body Selection

SERI-ACCREDITED CERTIFICATION BODIES:

- Consider certification body experience with your industry sector
- Evaluate geographic coverage and audit scheduling
- Review certification body SERI accreditation status
- Assess cost and timeline factors

Estimated Certification Timeline

REALISTIC TIMELINE PROJECTION:

- **Gap Resolution Phase:** {GAP\_RESOLUTION\_TIMELINE}
- **Internal Audit and Preparation:** {INTERNAL\_AUDIT\_TIMELINE}
- **Certification Body Audit Scheduling:** {AUDIT\_SCHEDULING\_TIMELINE}
- **Document Review and Audit Process:** {AUDIT\_PROCESS\_TIMELINE}
- **Total Estimated Timeline:** {TOTAL\_CERT\_TIMELINE}

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RISK ASSESSMENT AND MITIGATION

High-Risk Areas

{FOR\_EACH\_HIGH\_RISK} **RISK AREA:** {RISK\_AREA} **RISK DESCRIPTION:** {RISK\_DESCRIPTION}  
**PROBABILITY:** {RISK\_PROBABILITY} **IMPACT:** {RISK\_IMPACT} **MITIGATION STRATEGY:**  
{MITIGATION\_STRATEGY} **MONITORING APPROACH:** {MONITORING\_APPROACH}  
{END\_FOR\_EACH\_HIGH\_RISK}

Contingency Planning

AUDIT FAILURE SCENARIOS:

- **Scenario 1:** Critical documentation gaps discovered during audit
- **Scenario 2:** Downstream vendor compliance issues identified



- **Scenario 3:** Legal compliance audit reveals violations
- **Scenario 4:** EHSMS certificate expiration or invalidity

#### **MITIGATION PROTOCOLS:**

- Develop backup documentation strategies
  - Establish alternate downstream vendor relationships
  - Create legal compliance monitoring systems
  - Implement certificate management protocols
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## **NEXT STEPS AND RECOMMENDATIONS**

### **Immediate Actions (Next 7 Days)**

1. **Management Review:** Present this assessment to senior leadership
2. **Resource Allocation:** Assign project team and budget approval
3. **Priority Setting:** Confirm critical gap resolution sequence
4. **External Support:** Evaluate need for specialized consulting assistance
5. **Timeline Validation:** Confirm realistic implementation schedule

### **Professional Support Recommendations**

#### **SPECIALIZED EXPERTISE AREAS:**

- Legal compliance auditing (if not available internally)
- EHSMS integration consulting (if gaps identified)
- Data sanitization protocol development
- Downstream vendor assessment and qualification
- Internal auditor training for R2v3 requirements

### **Continuous Improvement Integration**

#### **ONGOING MONITORING:**

- Monthly gap resolution progress reviews
  - Quarterly compliance assessment updates
  - Annual R2v3 standard revision impact analysis
  - Continuous downstream vendor performance monitoring
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## APPENDICES

**Appendix A: R2v3 Requirements Cross-Reference Matrix**

**Appendix B: Table 8 Document Templates**

**Appendix C: Legal Compliance Checklist**

**Appendix D: Internal Audit Protocol**

**Appendix E: Downstream Vendor Assessment Forms**

**Appendix F: Implementation Cost-Benefit Analysis**

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### REPORT LIMITATIONS AND DISCLAIMERS:

This assessment is based on self-reported information and represents a pre-audit gap analysis. It does not constitute a formal R2v3 certification audit and should not be relied upon as a guarantee of certification success. Actual certification requires formal audit by a SERI-accredited certification body. The assessment methodology follows SERI Code of Practices guidelines but may not identify all potential compliance gaps that could be discovered during formal audit procedures.

### CONFIDENTIALITY NOTICE:

This report contains proprietary and confidential information. Distribution should be limited to authorized personnel involved in R2v3 certification preparation activities.

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**REPORT PREPARED BY:** R2v3 Readiness Assessment Tool Based on SERI R2v3 Standard Version 3.1 SERI Code of Practices Version 2.4

**ASSESSMENT DATE:** {ASSESSMENT\_DATE} **REPORT GENERATION DATE:** {REPORT\_DATE} **NEXT RECOMMENDED ASSESSMENT:** {NEXT\_ASSESSMENT\_DATE}