

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](http://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 – e-Stewards

The organization shall comply with Appendix B of The e-Stewards Standard for Responsible Recycling and Reuse of Electronic Equipment (latest version), including

1. Organizations shall permit both **announced and unannounced audits**, including special surveillance audits, by the Certification Body (CB), and/or the program administrator as part of their oversight functions,
2. Organizations shall agree to and allow the CB to **share any audit or certification related information** with the e-Stewards program administrator upon request by program administrator during or after the contract period,
3. The e-Stewards program administrator is **permitted to join any audit** as observer (announced or unannounced),
4. Candidate and certified organizations shall execute an **annual Licensing Agreement** with the e-Stewards program administrator prior to receiving their certificate(s) from their CB,
5. All Processing facilities, consistent with requirements in the e-Stewards standard Appendix B, letter d), shall be **included in the contract** for certification, and are required to be certified within 18 months of certification of the initial facility,
6. All **Ancillary Sites** which are owned or Controlled by the Organization shall be included and managed appropriately in the scope of the management system. CBs do not have to conduct on-site audits of Ancillary Sites, but may choose to in order to increase confidence of conformity to applicable requirements.
7. **Country-wide certification of multi-sited companies:** The e-Stewards certification program requires a multi-sited organization to have all its electronics Processing facilities within one country e-Stewards certified when they are owned by the same individual (or spouse), corporate, organizational, or government entity (i.e. fully owned or owning a controlling interest). This includes all eligible Processing facilities held by the entity(s), as well as all its electronics Processing subsidiaries and separate electronics Processing businesses within one country, regardless of brand (see below). All of these facilities must be e-Stewards certified within 18 months of initial facility certification in order for the organization to be considered a licensed and valid certified e-Stewards entity. (During the 18-month period, the e-Stewards website will reflect individual facilities that have completed certification and list others held by the entity as 'in-process'.)
8. An organization that **fails to certify** all of its required facilities within 18 months shall have its certifications suspended or withdrawn.
9. If an eligible **new facility** is opened or acquired after initial facility certifications, that new facility must be certified within 18 months of its opening or acquisition.
10. If a certified e-Stewards entity owns another **subsidiary** that Processes or Controls Electronic Equipment, all subsidiary facilities within the same country must also become e-Stewards certified concurrent with or subsequent to the e-Stewards parent company's certification, and within 18 months of the initial facility certification, irrespective of brand names used by entities.
11. If the owner(s) of an e-Stewards entity **also owns** or owns a controlling interest in a separate electronics Processing entity, all of these Processing facilities are also required to become e-Stewards certified, regardless of brand names used by the entities.
12. While it is permissible that a certified e-Stewards recycler is **co-located** with other entities, the e-Stewards recycler shall be responsible for controlling their operations and all EE in conformity with the Standard, including downstream accountability and impacts of their operations upon co-located entities' areas. Additionally, a co-located e-Stewards organization shall ensure that their own workers, visitors, and customers on-site are protected against health and safety hazards caused by co-located entities.



13. When the CB has concluded and confirmed that all certification requirements are met, they must notify the e-Stewards program administrator, who will then enter into a license agreement with the organization. Only after a license agreement is signed can an **e-Stewards certificate** be issued by the CB.
14. The organization shall make both their CB and the e-Stewards program administrator (info@e-stewards.org) **aware of any Significant Changes**, such as changes in ownership, management, location of facilities or Ancillary Sites, emergencies, operations, large change in the number of workers, Processing methods, legal compliance, citations or fines from governmental bodies, or other Significant Changes that may impact ongoing conformance with the Standard, within 5 business days of the change(s) or less if required by their CB. The organization shall permit the CB to conduct an evaluation of the reported changes and their effects on conformance, including special on-site surveillance audits, as necessary.
15. When an organization **moves** its Processing facility(s) to a new location, it is required to obtain a new certificate for the new site.
16. If a certified e-Stewards organization is **purchased** by another company or entity and under new ownership, a new License Agreement must be executed with the e-Stewards program administrator after the CB has verified the organization is eligible for certification.
17. Certified e-Stewards organizations, including those that have contracted for certification, are subject to the formal "**Critical Nonconformity (CNC) Policy**" which may impose sanctions upon e-Stewards organizations when and if objective evidence is established of egregious and/or dishonest practices which could bring disrepute upon the e-Stewards certification program. The CNC Policy addresses nonconformities above and beyond the typical minor or major nonconformities that may be raised from time-to-time by the CB auditor during initial, surveillance, or re-certification audits of the environmental health & safety management system. The Critical Nonconformity Policy, including the e-Stewards appeals process, is located on the website at [www.e-Stewards.org/cncpolicy](http://www.e-Stewards.org/cncpolicy).
18. The organization shall create and maintain a documented procedure in its management system to indicate responsibilities and procedures for **receiving unannounced inspections** from designated representatives of the e-Stewards program administrator ('inspectors') to verify ongoing conformance with the Standard.
19. If suspension of one facility is not lifted within the deadline, certificates for all of a multi-sited organization's facilities must **also be suspended**.