

# AUDIT GUIDANCE – REGISTRATION OF DSV FLOW WITH SERI

This is a sample email confirmation from SERI to the R2 Facility confirming the registration of the DSV chain under Appendix A 4(b). An accurate and up-to-date registration of the DSV chain, with SERI, allows the R2 Facility to stop tracking and verifying at the first R2v3 DSV. Auditors must request and review the email confirmation(s) from SERI. More importantly it is the auditors responsibility to audit the accuracy of the DSV Flow registered with SERI.

R2v3 Refresh: Appendix A(4)(b): An R2 Facility shall register with SERI, the portion of the downstream recycling chain that it manages, including all R2 Controlled Streams to final disposition or the first R2 Facility, to enable the mapping of the entire chain, and register changes prior to shipment.

## THINGS TO KNOW...

**R2 Facility Specific.** Registering the DSV Flow, is a choice for each R2 Facility. If the R2 Facility being audited registers their chain, the subsequent R2 DSVs are not required to register, to fulfill the requirement of Appendix A(4)(b).

**Not SERI Approved.** Just because an R2 Facility registers their chain, SERI is not in any way approving the DSV Flow.

**Email Confirmation.** A R2 Facility will receive an email confirmation that they have registered their DSV Flow with SERI; Appendix A (4)(b).

**Re-registration of Changes.** Must be re-registered with SERI prior to shipping to a new or changed DSV; Appendix A (4)(b).

## R2 AUDIT TRAILS FOR DSV FLOW ACCURACY...

**Core 5 Connection.** The registered DSV Flow must corroborate the Outbound Summary of Transactions; Core 5(c)(3) for the specific R2 Controlled Streams.

**Core 8 Connection.** The FM Management Plan must corroborate the expertise, capabilities, capacities, and methods for processing being used by the DSVs on the DSV Flow, to process the specific equipment, components, and materials; Core 8 (a)(1) & (2).

**Appendix A Connection.** The DSV Flow, if registered and up to date with SERI, allows an R2 Facility to stop demonstration of tracking transparency at the first R2v3 Facility under Appendix A(4)(b). Auditors must ensure that the first R2v3 Facility maintains active R2 Certification as listed on the SERI Website.

