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| **1.0 Company and Facility Contact Information** | | | | | | |
| Company / Facility Name: | | |  | | | |
| Street Address: | |  | | | | |
| City: |  | | | State: | |  |
| Zip / Postal Code: | |  | | Country: | |  |
| Number of Years at Current Location: | | | |  | | |
| Number of Years in Business: | | | |  | | |
| Contacts: | | | | | | |
| Facility Manager: | |  | | | | |
| Telephone: | |  | | | | |
| Email: | |  | | | | |
| EH&S Manager: | |  | | | | |
| Telephone: | |  | | | | |
| Email: | |  | | | | |
| Audit Contact: | |  | | | | |
| Telephone: | |  | | | | |
| Email: | |  | | | | |
| **2.0 Facility Size, Scope, and Surroundings** | | | | | | |
| Warehouse Square Footage: | | | | |  | |
| Property Size (acres): | | | | |  | |
| Total Number of Employees | | | | |  | |
| Number of Shifts: | | | | |  | |
| Scope of Operations: | | | | | Aggregator | |
| Processor | |
| Broker Only | |
| Describe Area Surrounding Facility: | | | | |  | |
| Has facility received any notices of violations or fines within the last 5 years for environmental or H&S infractions? | | | | |  | |
| Are there any open or closed remediation activities on site property? | | | | |  | |

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| **3.0 Permits, Licenses, and Insurance (attach appropriate evidentiary documentation)** | | |
| Business Licenses: | |  |
| Operating Permit: | |  |
| Environmental Permits | |  |
| Waste Permits: | |  |
| Air Emission Permits: | |  |
| Water Permits: | |  |
| Insurance Coverages: | |  |
| **4.0 Accepted Materials (check all that apply)** | | |
|  | Equipment for Reuse | |
|  | Equipment containing circuit boards (computers, servers, printers, copiers) | |
|  | CRT Monitors / TVs or CRT Glass | |
|  | LCD Monitors / TVs and/or Mercury Containing Equipment | |
|  | Batteries and / or UPS | |
|  | Circuit Boards / Processors / Memory | |
|  | Plastics | |
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| **5.0 Processing Methods** | | | | | |
| **Method** | | **Materials Processed** | | | |
| Repair and Refurbishment | |  | | | |
| Manual Sorting | |  | | | |
| Manual Disassembly | |  | | | |
| Automated Sorting | |  | | | |
| Shredding / Grinding | |  | | | |
| Precious Metal Refining | |  | | | |
| **6.0 Environmental, Health and Safety Management System** | | | | | |
|  | **Yes** | | **No** | **N/A** | **Evidence / Notes** |
| Does the facility have a documented Environmental, Health and Safety Management System that encompasses its entire operations? |  | |  |  |  |
| Has the facility been certified to ISO 9001, ISO 14001, OSHAS 18001, e-Stewards or R2? (Please include current certificates) |  | |  |  |  |
| Does the company have a documented Environmental, Health and Safety policy? |  | |  |  |  |
| How does the facility ensure compliance with applicable environmental, health and safety regulations? |  | | | | |

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| **7.0 Health and Safety Risks and Controls** | | | | |
|  | **Yes** | **No** | **N/A** | **Evidence / Notes** |
| Does the facility's health and safety training including training for new hires, temporary workers, volunteers, and permanent employees? |  |  |  |  |
| How often is training conducted? |  | | | |
| Do employees conduct facility safety inspections? At what frequency? |  |  |  |  |
| Has the facility conducted hazard or risk assessments for all job positions? |  |  |  |  |
| Does the facility have a designated health and safety coordinator? |  |  |  |  |
| Has the facility conducted First Aid or First Responder Training? |  |  |  |  |
| How many days since the last Lost Time Injury (LTI)? |  | | | |
| What type of health and safety monitoring programs does the facility have in place? (air quality, noise levels) |  | | | |

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| **8.0 EH&S Training Programs** | | | | | |
| **Has the facility conducted any of the following training programs?** | | **Yes** | **No** | **N/A** | **Evidence / Notes** |
| Hazard Communication | |  |  |  |  |
| Lockout-Tagout | |  |  |  |  |
| Bloodborne Pathogens | |  |  |  |  |
| Hearing Conservation | |  |  |  |  |
| Emergency Preparedness and Response | |  |  |  |  |
| Spill Response | |  |  |  |  |
| Hazardous / Universal Waste Management | |  |  |  |  |
| Focus Material Management Plan | |  |  |  |  |
| Respiratory Protection | |  |  |  |  |
| Industrial Trucks (Forklift) | |  |  |  |  |
| **9.0 Facility and Operational Controls** | | | | | |
|  | **Yes** | | **No** | **N/A** | **Evidence / Notes** |
| Does the facility have a plan for evaluating environmental, health and safety risks of new material prior to receiving it? |  | |  |  |  |
| Describe the facility's security measures: |  | | | | |
| Describe the facility's documentation and record keeping protocols: |  | | | | |
| Does the facility maintain for at least three years commercial contracts, bills of lading or other commercially-accepted documentation for all transfers of equipment components and materials? |  | |  |  |  |

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| **10.0 Waste Stream Management** | | | | | |
|  | **Yes** | | **No** | **N/A** | **Evidence / Notes** |
| What types of waste does the facility generate? |  | | | | |
| How does the facility handle Universal Waste items? |  | | | | |
| How does the facility handle Hazardous Waste items? |  | | | | |
| Is any material incinerated? |  | |  |  |  |
| **11.0 Repair and Refurbishment Operations** | | | | | |
|  | | **Yes** | **No** | **N/A** | **Evidence / Notes** |
| Does the facility refurbish, repair, and resale tested equipment? | |  |  |  |  |
| How are functions of equipment tested and results captured? | |  | | | |
| Does the facility sell and label equipment into the 3 classifications to meet R2:2013 Clause 6C?  - Tested and Full Functions / R2 Ready for Reuse  - Tested for Key Functions / R2 Ready for Resale  - Evaluated and Non-Functioning / R2 Ready for Repair | |  |  |  |  |
| Does the facility perform data destruction services? | |  |  |  |  |
| Are data destruction procedures documented? | |  |  |  |  |
| Are data destruction procedures compliant with NIST800-88? | |  |  |  |  |
| Do employees involved in the data destruction process receive training? | |  |  |  |  |
| Is the data destruction process validated by an independent party on a periodic basis? | |  |  |  |  |
| Are appropriate methods maintained to verify data destruction processing? | |  |  |  |  |
| Is equipment packaged in a sufficient manner to prevent damage? | |  |  |  |  |
| Does the facility offer a warranty or take back program for equipment that does not meet expectations or functionality results? | |  |  |  |  |

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| **12.0 Downstream Vendor Management** | | | | |
|  | **Yes** | **No** | **N/A** | **Evidence / Notes** |
| Does the facility evaluate downstream vendors that receive recovered material from its operations? |  |  |  |  |
| How is the evaluation conducted? |  | | | |
| At what intervals are downstream vendors evaluated? |  | | | |
| Please complete the downstream vendor management table for your facility’s operations on the following page. | | | | |

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| **12.1 Downstream Vendor Management Table** | | | | | | | |
| **Tier 1** | | | | | | | |
| **Material** | | **Vendor Name** | | **Location** | | **Processing Method and Disposition** | |
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| **Tier 2** | | | | | | | |
| **Material** | **Vendor Name** | | **From Tier 1 Vendor** | | **Location** | | **Processing Method and Disposition** |
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| **Tier 3** |  | |  | |  | |  |
| **Material** | **Vendor Name** | | **From Tier 2 Vendor** | | **Location** | | **Processing Method and Disposition** |
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| **12.2 Downstream Vendor Agreement** |
| VH Techworks, LLC requests that all downstream vendors receiving material that contains Focus Materials (Mercury, Circuit Boards, CRTs and CRT Glass, Polychlorinated Biphenyls (PCBs), and Batteries) agree to the following requirements:   1. Adhere to the enclosed Focus Material Management Plan for material received from VH Techworks, LLC. 2. Maintain a documented environmental, health, and safety management system. 3. Maintain a list of its environmental permits and copies of each. 4. The downstream vendor ensures that it’s downstream vendors that receive material as part of VH Techworks, LLC downstream recycling chain adhere to these requirements. 5. Focus Materials that are exported are transported in strict adherence to applicable legal requirements and Provision 3(a)(2) of the R2 Standard. 6. For any Focus Materials or items that contain Focus Materials that are reused they are handled in accordance to Provision 6 of the R2 Standard. 7. The downstream vendor maintains for at least three years commercial contracts, bills of lading, or other commercially-accepted documentation for all material shipments. |

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| **Form Completed By:** |  |
| **Signature:** |  |
| **Date:** |  |

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| **Management Representative:** |  |
| **Signature:** |  |
| **Date:** |  |