

INSTRUCTIONS FOR COMPLETING THIS DOWNSTREAM PARTNER AUDIT

UER must audit its downstream vendors to verify that equipment is being sent for reuse or material recovery per UER's Hierarchy of Responsible Recycling Management Policy. This downstream due diligence audit form is intended for non-R2v3 downstream vendors. If you are R2v3 certified, notify your Asset Cellutions contact with evidence of R2v3 certification.

Please read the instructions carefully to ensure that you are sufficiently completing this audit. All answers provided on this form must include evidence. Insufficient answers or lack of evidence will result in the audit being returned to you for additional information. Approval of this audit by UER is required for continued business.

This form has multiple tabs. All non-R2v3 downstream partners must at least complete the "General Questions" Tab. Depending on the services that you provide to UER, additional tabs may be required.

* if you provide material recovery services (destructive dismantling, shredding or other material recovery processes for scrap material), you must also complete the "Material Recovery Questions" tab.

* If you receive media devices (for example: Hard Drives) or equipment that contain media devices that require destruction or sanitizaion, you must also complete the "Data Sanitization Questions" tab.

* If you receive equipment for testing or refurbishment, you must also complete the "Testing and Repair Questions" tab.

* If you ship equipment from a supplier to a customer withouth physically taking possession, you must complete the "Broker Questions" tab.

Furthermore, unless you provide "End of Life" services (converting materials into a form that they can be reintroduced into industry - for example: copper ingot), the applicable tabs will be required to be completed for

GENERAL DOWNSTREAM VENDOR QUESTIONS for all downstream vendor types (including sorting and accumulation services)		
TIER 1 PARTNER QUESTIONS		
Tier 1 Partner Name:	Partner Location:	
Auditor Name:	Audit Date(s):	
Partner Representative:	Partner Contact Information:	
Focus Materials Shipped Since Last Audit:		
Receives equipment for data sanitization? Receives equipment for testing or repair? Receives scrap for material recovery? Performs brokering services (does not receive material)?	If yes, complete Data Sanitization tab. If yes, complete Testing and Repair tab. If yes, complete Material Recovery tab. If yes, complete Brokering tab.	
Management Approval of Tier 1 Downstream Vendor	Signature and Date	
Material Approved For: Lamps	Services Approved For:	
Are there any Downstream Vendors in the recycling chain that are R2v3 certified? If so, document the names of the vendors, their tier level, and the types of FM that they receive below. Use the "R2v3 Downstream Audit Form" for these partners. Any tiers below these R2v3 partners do not need to be documented on this audit checklist.		
R2v3 Vendor Name	Types of FM Processed	Tier Level

Verification to Focus Material Management Plan		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner have demonstrated expertise and capabilities required to process each type of electronic equipment containing an FM?		
Does the Partner have the methods and demonstrated capacity needed to process each type of electronic equipment containing an FM?		
Does the Partner meet all of the applicable regulatory requirements to receive the FMs?		
Tracking Throughput		
Audit Question	Audit Notes / Evidence	C / NC / OFI
If not the final point of processing of FM, does the partner have a flowchart of the downstream recycling chain including names and locations?		
Does the partner maintain documentation for the flow of all FMs down the recycling chain for at least three years (e.g. commercial contracts, bills of lading)? Note: The company does not need to track non-FMs beyond the first tier downstream vendor. Can the partner provide a BOL (or other proof of shipment/receipt) for shipments that have occurred in the last 6 months for each downstream partner that the company engages with throughout the recycling chain to the end processor.		
If the partner is in a foreign country, can the partner provide documentation showing the legality of the export, in-transit, and import of the focus materials?		
Will the Partner provide receipt and acceptance of R2 Controlled Streams for each shipment?		
Does the Partner store R2 Controlled Streams and materials with a negative value (CRT, lithium button batteries, fluorescent tubes) for longer than one year?		
Environmental, Health & Safety		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner adhere to a documented system to manage environmental, health, and safety risks and legal requirements. The management system shall include, at a minimum, the components of: i.hazards identification and risk assessment ii.legal and other requirements		
Has the Partner demonstrated knowledge of, and has taken measures to comply with applicable environmental, health and safety legal requirements as identified in its compliance plan		

SUB-TIER PARTNER QUESTIONS (if applicable)

Tier #	Upstream Partners Name:
Partner Name:	Partner Location:
Receives equipment for data sanitization?	If yes, complete Data Sanitization tab.
Receives equipment for testing or repair?	If yes, complete Testing and Repair tab.
Receives scrap for material recovery?	If yes, complete Material Recovery tab.
Performs brokering services (does not receive material)?	If yes, complete Brokering tab.

Verification to Focus Material Management Plan

Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner have demonstrated expertise and capabilities required to process each type of electronic equipment containing an FM?		
Does the Partner have the methods and demonstrated capacity needed to process each type of electronic equipment containing an FM?		
Does the Partner meet all of the applicable regulatory requirements to receive the FMs?		

Tracking Throughput

Audit Question	Audit Notes / Evidence	C / NC / OFI
----------------	------------------------	--------------

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

If the partner is in a foreign country, can the partner provide documentation showing the legality of the export, in-transit, and import of the focus materials?		
Does the Partner store R2 Controlled Streams and materials with a negative value (CRT, lithium button batteries, fluorescent tubes) for longer than one year?		
Environmental, Health & Safety		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner adhere to a documented system to manage environmental, health, and safety risks and legal requirements. The management system shall include, at a minimum, the components of: i.hazards identification and risk assessment ii.legal and other requirements		
Has the Partner demonstrated knowledge of, and has taken measures to comply with applicable environmental, health and safety legal requirements as identified in its compliance plan		

SUB-TIER PARTNER QUESTIONS (if applicable)

Tier #	Upstream Partners Name:
Partner Name:	Partner Location:
Receives equipment for data sanitization? Receives equipment for testing or repair? Receives scrap for material recovery? Performs brokering services (does not receive material)?	If yes, complete Data Sanitization tab. If yes, complete Testing and Repair tab. If yes, complete Material Recovery tab. If yes, complete Brokering tab.

Verification to Focus Material Management Plan

Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner have demonstrated expertise and capabilities required to process each type of electronic equipment containing an FM?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Does the Partner have the methods and demonstrated capacity needed to process each type of electronic equipment containing an FM?		
Does the Partner meet all of the applicable regulatory requirements to receive the FMs?		
Tracking Throughput		
Audit Question	Audit Notes / Evidence	C / NC / OFI
If the partner is in a foreign country, can the partner provide documentation showing the legality of the export, in-transit, and import of the focus materials?		
Does the Partner store R2 Controlled Streams and materials with a negative value (CRT, lithium button batteries, fluorescent tubes) for longer than one year?		
Environmental, Health & Safety		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner adhere to a documented system to manage environmental, health, and safety risks and legal requirements. The management system shall include, at a minimum, the components of: i.hazards identification and risk assessment ii.legal and other requirements		
Has the Partner demonstrated knowledge of, and has taken measures to comply with applicable environmental, health and safety legal requirements as identified in its compliance plan		

SUB-TIER PARTNER QUESTIONS (if applicable)	
Tier #	Upstream Partners Name:
Partner Name:	Partner Location:

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

<p>Receives equipment for data sanitization? Receives equipment for testing or repair? Receives scrap for material recovery? Performs brokering services (does not receive material)?</p>	<p>If yes, complete Data Sanitization tab. If yes, complete Testing and Repair tab. If yes, complete Material Recovery tab. If yes, complete Brokering tab.</p>	
Verification to Focus Material Management Plan		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner have demonstrated expertise and capabilities required to process each type of electronic equipment containing an FM?		
Does the Partner have the methods and demonstrated capacity needed to process each type of electronic equipment containing an FM?		
Does the Partner meet all of the applicable regulatory requirements to receive the FMs?		
Tracking Throughput		
Audit Question	Audit Notes / Evidence	C / NC / OFI
If the partner is in a foreign country, can the partner provide documentation showing the legality of the export, in-transit, and import of the focus materials?		
Does the Partner store R2 Controlled Streams and materials with a negative value (CRT, lithium button batteries, fluorescent tubes) for longer than one year?		
Environmental, Health & Safety		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner adhere to a documented system to manage environmental, health, and safety risks and legal requirements. The management system shall include, at a minimum, the components of: i.hazards identification and risk assessment ii.legal and other requirements		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Has the Partner demonstrated knowledge of, and has taken measures to comply with applicable environmental, health and safety legal requirements as identified in its compliance plan		
--	--	--

<p>MATERIAL RECOVERY VENDOR QUESTIONS</p> <p>for vendors that perform dismantling, shredding and material recovery services throughout recycling chain</p>

Partner Name:	Types of FM:	Tier Level
----------------------	---------------------	-------------------

Focus Material Management Plan

Audit Question	Audit Notes / Evidence	C / NC / OFI
If applicable, prior to shredding or materials recovery of equipment or components, are FMs (batteries, mercury switches, print cartridges, etc.) removed using safe and effective mechanical processing or manual dismantling? - Workers are protected from hazards by technology designed to safely and effectively process equipment or components containing these FMs, and - The shredding and/or materials recovery occurs in facilities that meet all applicable regulatory requirements to receive and process these FMs, and - Processing demonstrates effective recovery of these FMs		
If applicable, are items containing mercury processed using methods designed to safely and effectively capture mercury? - Workers are protected from the potential risks of handling mercury? - The materials recovery occurs in facilities that meet all applicable regulatory requirements to receive and process mercury? - Processing demonstrates mercury recovery?		
Does the Partner ensure that controls are maintained in any disassembly areas to minimize the risk of environmental, health or safety incidents during dismantling operations such as battery removal?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

If applicable, for items containing polychlorinated biphenyls, does the downstream partner use technologically specifically designed for PCB destruction or disposal?		
Environmental, Health & Safety		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the partner maintain pollution liability insurance, guaranteed reserves, or government guarantee to cover potential environmental incidents?		
Does the Partner conduct on a regular basis (e.g., as new types of materials are processed, or new processes or equipment are used) a documented hazards identification and assessment of occupational health and safety, and environmental risks that exist or could reasonably be expected to develop at the facility.		
Is the hazards identification and assessment conducted by an individual trained in risk assessment and analysis techniques, and knowledgeable of the hazards associated with the materials recovery activities.		
Does the hazards identification and assessment at a minimum address the following additional EH&S criteria:		
Establish wash facilities for decontamination, clean areas for eating and drinking, and transition areas from materials recovery areas to clean areas to prevent transfer of contamination?		
Prohibit food and drink in materials recovery areas unless ongoing industrial hygiene (IH) records show no detectable risk?		
Prohibit work clothes and shoes from being taken home by workers unless ongoing industrial hygiene (IH) records show no detectable risk?		
Implement procedures for cleaning and caring for personal protective equipment?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Implement cleaning procedures to regularly remove contaminants from equipment and work areas consistent with the Focus Materials processed?		
Implement procedures for control of hazardous energy (lockout/tagout) in equipment and processes, and ensure workers are trained and competent?		
Ensure physical safety guards are in use on mechanical equipment?		
Perform pre-use safety inspections of equipment before use in accordance with the manufacturer's specifications and do not use equipment that has failed the inspection?		
Implement an industrial hygiene monitoring program, including air, noise, and wipe sampling to monitor applicable risks at a frequency consistent with past results and current trends of the results?		
Risks associated with mechanical separation processes shall be re-evaluated at least annually?		
Air quality shall be periodically monitored for mercury in material recovery areas where electronic equipment with fluorescent lamps is dismantled or lamps are removed?		
Implement a medical monitoring program to establish baseline and regularly evaluate worker exposures to mercury, lead, or other toxic substances consistent with hazards in the materials recovered and trends in monitoring results.		

Partner Name:	Types of FM:	Tier Level
Focus Material Management Plan		
Audit Question	Audit Notes / Evidence	C / NC / OFI

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

<p>If applicable, prior to shredding or materials recovery of equipment or components, are FMs (batteries, mercury switches, print cartridges, etc.) removed using safe and effective mechanical processing or manual dismantling? - Workers are protected from hazards by technology designed to safely and effectively process equipment or components containing these FMs, and - The shredding and/or materials recovery occurs in facilities that meet all applicable regulatory requirements to receive and process these FMs, and - Processing demonstrates effective recovery of these FMs</p>		
<p>If applicable, are items containing mercury processed using methods designed to safely and effectively capture mercury? - Workers are protected from the potential risks of handling mercury? - The materials recovery occurs in facilities that meet all applicable regulatory requirements to receive and process mercury? - Processing demonstrates mercury recovery?</p>		
<p>Does the Partner ensure that controls are maintained in any disassembly areas to minimize the risk of environmental, health or safety incidents during dismantling operations such as battery removal?</p>		
<p>If applicable, for items containing polychlorinated biphenyls, does the downstream partner use technologically specifically designed for PCB destruction or disposal?</p>		
<p>Environmental, Health & Safety</p>		
<p>Audit Question</p>	<p>Audit Notes / Evidence</p>	<p>C / NC / OFI</p>
<p>Does the partner maintain pollution liability insurance, guaranteed reserves, or government guarantee to cover potential environmental incidents?</p>		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Does the Partner conduct on a regular basis (e.g., as new types of materials are processed, or new processes or equipment are used) a documented hazards identification and assessment of occupational health and safety, and environmental risks that exist or could reasonably be expected to develop at the facility.		
Is the hazards identification and assessment conducted by an individual trained in risk assessment and analysis techniques, and knowledgeable of the hazards associated with the materials recovery activities.		
Does The hazards identification and assessment shall at minimum address the following additional EH&S criteria:		
Establish wash facilities for decontamination, clean areas for eating and drinking, and transition areas from materials recovery areas to clean areas to prevent transfer of contamination?		
Prohibit food and drink in materials recovery areas unless ongoing industrial hygiene (IH) records show no detectable risk?		
Prohibit work clothes and shoes from being taken home by workers unless ongoing industrial hygiene (IH) records show no detectable risk?		
Implement procedures for cleaning and caring for personal protective equipment?		
Implement cleaning procedures to regularly remove contaminants from equipment and work areas consistent with the Focus Materials processed?		
Implement procedures for control of hazardous energy (lockout/tagout) in equipment and processes, and ensure workers are trained and competent?		
Ensure physical safety guards are in use on mechanical equipment?		
Perform pre-use safety inspections of equipment before use in accordance with the manufacturer's specifications and do not use equipment that has failed the inspection?		
Implement an industrial hygiene monitoring program, including air, noise, and wipe sampling to monitor applicable risks at a frequency consistent with past results and current trends of the results?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Risks associated with mechanical separation processes shall be re-evaluated at least annually?		
Air quality shall be periodically monitored for mercury in material recovery areas where electronic equipment with fluorescent lamps is dismantled or lamps are removed?		
Implement a medical monitoring program to establish baseline and regularly evaluate worker exposures to mercury, lead, or other toxic substances consistent with hazards in the materials recovered and trends in monitoring results.		

Partner Name:	Types of FM:	Tier Level
Focus Material Management Plan		
Audit Question	Audit Notes / Evidence	C / NC / OFI
If applicable, prior to shredding or materials recovery of equipment or components, are FMs (batteries, mercury switches, print cartridges, etc.) removed using safe and effective mechanical processing or manual dismantling? - Workers are protected from hazards by technology designed to safely and effectively process equipment or components containing these FMs, and - The shredding and/or materials recovery occurs in facilities that meet all applicable regulatory requirements to receive and process these FMs, and - Processing demonstrates effective recovery of these FMs		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

<p>If applicable, are items containing mercury processed using methods designed to safely and effectively capture mercury?</p> <ul style="list-style-type: none"> - Workers are protected from the potential risks of handling mercury? - The materials recovery occurs in facilities that meet all applicable regulatory requirements to receive and process mercury? - Processing demonstrates mercury recovery? 		
<p>Does the Partner ensure that controls are maintained in any disassembly areas to minimize the risk of environmental, health or safety incidents during dismantling operations such as battery removal?</p>		
<p>If applicable, for items containing polychlorinated biphenyls, does the downstream partner use technologically specifically designed for PCB destruction or disposal?</p>		
Environmental, Health & Safety		
Audit Question	Audit Notes / Evidence	C / NC / OFI
<p>Does the partner maintain pollution liability insurance, guaranteed reserves, or government guarantee to cover potential environmental incidents?</p>		
<p>Does the Partner conduct on a regular basis (e.g., as new types of materials are processed, or new processes or equipment are used) a documented hazards identification and assessment of occupational health and safety, and environmental risks that exist or could reasonably be expected to develop at the facility.</p>		
<p>Is the hazards identification and assessment conducted by an individual trained in risk assessment and analysis techniques, and knowledgeable of the hazards associated with the materials recovery activities.</p>		
<p>Does The hazards identification and assessment shall at minimum address the following additional EH&S criteria:</p>		
<p>Establish wash facilities for decontamination, clean areas for eating and drinking, and transition areas from materials recovery areas to clean areas to prevent transfer of contamination?</p>		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Prohibit food and drink in materials recovery areas unless ongoing industrial hygiene (IH) records show no detectable risk?		
Prohibit work clothes and shoes from being taken home by workers unless ongoing industrial hygiene (IH) records show no detectable risk?		
Implement procedures for cleaning and caring for personal protective equipment?		
Implement cleaning procedures to regularly remove contaminants from equipment and work areas consistent with the Focus Materials processed?		
Implement procedures for control of hazardous energy (lockout/tagout) in equipment and processes, and ensure workers are trained and competent?		
Ensure physical safety guards are in use on mechanical equipment?		
Perform pre-use safety inspections of equipment before use in accordance with the manufacturer's specifications and do not use equipment that has failed the inspection?		
Implement an industrial hygiene monitoring program, including air, noise, and wipe sampling to monitor applicable risks at a frequency consistent with past results and current trends of the results?		
Risks associated with mechanical separation processes shall be re-evaluated at least annually?		
Air quality shall be periodically monitored for mercury in material recovery areas where electronic equipment with fluorescent lamps is dismantled or lamps are removed?		
Implement a medical monitoring program to establish baseline and regularly evaluate worker exposures to mercury, lead, or other toxic substances consistent with hazards in the materials recovered and trends in monitoring results.		

<p>DATA SANITIZATION VENDOR QUESTIONS</p> <p>for partners that perform either physical or logical destruction of data throughout recycling chain</p>

Partner Name:	Types of FM:	Tier Level
----------------------	---------------------	-------------------

<p>SMELTING/INCINERATING</p> <p>(If applicable, other audit sections below not required)</p>

Audit Question	Audit Notes / Evidence	C / NC / OFI
Partner smelts or incinerates data devices and media for final destruction, and provides written confirmation of processing of all devices?		

<p>ALL OTHER DATA SANITIZATION PROCESSES</p>

Audit Question	Audit Notes / Evidence	C / NC / OFI
Is the Partner annually audited by a competent auditor, that is: - Independent of both the R2 Facility and organization being audited, and - Has demonstrated knowledge of data security best management practices and data sanitization processes; and - Has demonstrated knowledge of management systems auditing; and - Has successfully completed a SERI approved data sanitization training with maintenance through annual refresher training,		
Has the Partner been confirmed through the annual audit to be operating in conformance with all requirements of R2v3 Core Requirement 7 and Appendix B – Data Sanitization?		
Does the Partner provide records of proof of sanitization of all data containing equipment and components?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Partner transfers all R2 Controlled Streams to: - An R2v3 Certified Facility, or - A non-R2 facility qualified to R2v3 Appendix A by the Partner?		
---	--	--

Partner Name:	Types of FM:	Tier Level
----------------------	---------------------	-------------------

SMELTING/INCINERATING		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Partner smelts or incinerates data devices and media for final destruction, and provides written confirmation of processing of all devices?		

ALL OTHER DATA SANITIZATION PROCESSES		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Is the Partner annually audited by a competent auditor, that is: - Independent of both the R2 Facility and organization being audited, and - Has demonstrated knowledge of data security best management practices and data sanitization processes; and - Has demonstrated knowledge of management systems auditing; and - Has successfully completed a SERI approved data sanitization training with maintenance through annual refresher training,		
Has the Partner been confirmed through the annual audit to be operating in conformance with all requirements of R2v3 Core Requirement 7 and Appendix B – Data Sanitization?		
Does the Partner provide records of proof of sanitization of all data containing equipment and components?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Partner transfers all R2 Controlled Streams to: - An R2v3 Certified Facility, or - A non-R2 facility qualified to R2v3 Appendix A by the Partner?		
---	--	--

Partner Name:	Types of FM:	Tier Level
----------------------	---------------------	-------------------

SMELTING/INCINERATING		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Partner smelts or incinerates data devices and media for final destruction, and provides written confirmation of processing of all devices?		

ALL OTHER DATA SANITIZATION PROCESSES		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Is the Partner annually audited by a competent auditor, that is: - Independent of both the R2 Facility and organization being audited, and - Has demonstrated knowledge of data security best management practices and data sanitization processes; and - Has demonstrated knowledge of management systems auditing; and - Has successfully completed a SERI approved data sanitization training with maintenance through annual refresher training,		
Has the Partner been confirmed through the annual audit to be operating in conformance with all requirements of R2v3 Core Requirement 7 and Appendix B – Data Sanitization?		
Does the Partner provide records of proof of sanitization of all data containing equipment and components?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Partner transfers all R2 Controlled Streams to: - An R2v3 Certified Facility, or - A non-R2 facility qualified to R2v3 Appendix A by the Partner?		
---	--	--

TESTING & REPAIR VENDOR QUESTIONS for partners that perform testing or repair throughout recycling chain		
--	--	--

Partner Name:	Types of FM:	Tier Level
----------------------	---------------------	-------------------

SORTING, CATEGORIZING AND PROCESSING		
---	--	--

Audit Question	Audit Notes / Evidence	C / NC / OFI
Has the Partner developed and maintained a documented process to evaluate, sort, and categorize electronic equipment, components, and materials controlled and processed.		
Does the Partner test, refurbish, and repair equipment and components in accordance with R2v3 Core Requirement 6 (Sorting, Categorizing and Processing)?		
For equipment and components received from the R2 Facility, does the Partner only sell or donate Functional category equipment and components according to the REC?		
Does the Partner transfer all R2 Controlled Streams to: (A) An R2 Certified Facility, or (B) A non-R2 facility qualified to this Appendix A by the R2 Facility?		

APPENDIX C - TEST & REPAIR		
---------------------------------------	--	--

Audit Question	Audit Notes / Evidence	C / NC / OFI
Has the Partner documented an R2 Reuse Plan including competency requirements? Does the Partner ensure workers are competent in testing and that the R2 Reuse Plan is being followed?		
Has the Partner documented Product safety plans? Does the Partner execute the Safety plans?		
Has the Partner documented Test plans to verify the functions of the equipment or components are working?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

<p>Has the partner documented Quality assurance plans to ensure the effectiveness of tests?</p>		
<p>Has the Partner documented a Product return policy and plan appropriate to the final destinations of the equipment and components being reused?</p>		
<p>Does the Partner test, repair, and refurbish R2 Controlled Streams within one year of receipt from suppliers, or evaluate and inventory components for future use in repairing other equipment?</p>		
<p>Does the partner ensure data is sanitized (if applicable) on the equipment or components being tested in accordance with Appendix B – Data Sanitization?</p>		
<p>Does the partner generate and maintain records of test results for each function tested for each unique identifier assigned?</p>		
<p>For equipment or components that do not meet a REC functioning product category when tested, does the Partner:</p> <ul style="list-style-type: none"> (1) Identify the equipment or components as non-functioning products, and (2) Repair the equipment or component and repeat testing after repair, or (3) Harvest the reusable components, or (4) Evaluate the equipment in accordance with Core Requirement 6 to continue processing, 		
<p>For equipment or components that meet a functioning product category in the REC when tested, does the Partner:</p> <ul style="list-style-type: none"> (1) Identify and disclose the appropriate REC, or equivalent correlated internal categories, for Functioning Product, Data Sanitization Status, and either the Cosmetic Condition or provide other detailed description of the cosmetic condition, and (2) Execute the quality assurance plans to confirm the assigned categories, and (3) Based on the new category assigned after test and/or repair, manage the equipment in accordance with Core Requirement 6 to continue processing. 		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Partner Name:	Types of FM:	Tier Level
SORTING, CATEGORIZING AND PROCESSING		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Has the Partner developed and maintained a documented process to evaluate, sort, and categorize electronic equipment, components, and materials controlled and processed.		
Does the Partner test, refurbish, and repair equipment and components in accordance with R2v3 Core Requirement 6 (Sorting, Categorizing and Processing)?		
For equipment and components received from the R2 Facility, does the Partner only sell or donate Functional category equipment and components according to the REC?		
Does the Partner transfer all R2 Controlled Streams to: (A) An R2 Certified Facility, or (B) A non-R2 facility qualified to this Appendix A by the R2 Facility?		
APPENDIX C - TEST & REPAIR		
Audit Question	Audit Notes / Evidence	C / NC / OFI
Has the Partner documented an R2 Reuse Plan including competency requirements? Does the Partner ensure workers are competent in testing and that the R2 Reuse Plan is being followed?		
Has the Partner documented Product safety plans? Does the Partner execute the Safety plans?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

<p>Has the Partner documented Test plans to verify the functions of the equipment or components are working?</p>		
<p>Has the partner documented Quality assurance plans to ensure the effectiveness of tests?</p>		
<p>destinations of the equipment and components being reused?</p>		
<p>Does the Partner test, repair, and refurbish R2 Controlled Streams within one year of receipt from suppliers, or evaluate and inventory components for future use in repairing other equipment?</p>		
<p>Does the partner ensure data is sanitized (if applicable) on the equipment or components being tested in accordance with Appendix B – Data Sanitization?</p>		
<p>Does the partner generate and maintain records of test results for each function tested for each unique identifier assigned?</p>		
<p>For equipment or components that do not meet a REC functioning product category when tested, does the Partner:</p> <ul style="list-style-type: none"> (1) Identify the equipment or components as non-functioning products, and (2) Repair the equipment or component and repeat testing after repair, or (3) Harvest the reusable components, or (4) Evaluate the equipment in accordance with Core Requirement 6 to continue processing, 		
<p>For equipment or components that meet a functioning product category in the REC when tested, does the Partner:</p> <ul style="list-style-type: none"> (1) Identify and disclose the appropriate REC, or equivalent correlated internal categories, for Functioning Product, Data Sanitization Status, and either the Cosmetic Condition or provide other detailed description of the cosmetic condition, and (2) Execute the quality assurance plans to confirm the assigned categories, and (3) Based on the new category assigned after test and/or repair, manage the equipment in accordance with Core Requirement 6 to continue processing. 		

<p>BROKER VENDOR QUESTIONS</p> <p>for partners that transfer product from suppliers to buyers without physically taking possession</p>		
---	--	--

Partner Name:	Types of FM:	Tier Level
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner include downstream vendors receiving R2 Controlled Streams in the R2 Facility's audited activities?		
Does the Partner identify and demonstrate conformance to all legal requirements in accordance with Core Requirement 4 (Legal & Other Requirements)?		
Manage the movement of all R2 Controlled Streams through their downstream recycling chain using the REC?		
Is the Partner responsible for data and physical security of the equipment, components, and materials throughout transport in conformance with Core Requirement 10 (Transportation)?		
Does the Partner conform to the throughput tracking requirements of Core Requirement 5 (Tracking Throughput)?		
Does the Partner provide packaging requirements to the seller and/or transporter prior to shipment to conform to Core Requirement 10?		

Partner Name:	Types of FM:	Tier Level
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner include downstream vendors receiving R2 Controlled Streams in the R2 Facility's audited activities?		

NON-R2v3 DOWNSTREAM PARTNER CHECKLIST

Does the Partner identify and demonstrate conformance to all legal requirements in accordance with Core Requirement 4 (Legal & Other Requirements)?		
Manage the movement of all R2 Controlled Streams through their downstream recycling chain using the REC?		
Is the Partner responsible for data and physical security of the equipment, components, and materials throughout transport in conformance with Core Requirement 10 (Transportation)?		
Does the Partner conform to the throughput tracking requirements of Core Requirement 5 (Tracking Throughput)?		
Does the Partner provide packaging requirements to the seller and/or transporter prior to shipment to conform to Core Requirement 10?		

Partner Name:	Types of FM:	Tier Level
Audit Question	Audit Notes / Evidence	C / NC / OFI
Does the Partner include downstream vendors receiving R2 Controlled Streams in the R2 Facility's audited activities?		
Does the Partner identify and demonstrate conformance to all legal requirements in accordance with Core Requirement 4 (Legal & Other Requirements)?		
Manage the movement of all R2 Controlled Streams through their downstream recycling chain using the REC?		
Is the Partner responsible for data and physical security of the equipment, components, and materials throughout transport in conformance with Core Requirement 10 (Transportation)?		
Does the Partner conform to the throughput tracking requirements of Core Requirement 5 (Tracking Throughput)?		
Does the Partner provide packaging requirements to the seller and/or transporter prior to shipment to conform to Core Requirement 10?		