

By completing this document, you can show your auditor objective evidence that you have performed thorough and complete Due Diligence on your Downstream Vendors. R2v3 requires that and R2 Recycler perform this Due Diligence prior to shipment to a potential DSV and annually thereafter. The checklist below includes all requirements that a Downstream Vendor must meet in accordance with Appendix A – Downstream Recycling Chain §8. This checklist can also be used as a tool to send your Downstream Vendors as part of your document request. For an editable version of this document, contact Berkeley Court.

Name of Downstream Vendor:

Facility Address:

Note: The DSVs facility address must be consistent across your BOLs as well as the licenses, permits, certificates of insurance, and other certifications.

1. DSV Questionnaire

- a. Vendor has provided us the Downstream Vendor Questionnaire: ☐ Yes ☐ No
- b. Downstream Vendor Questionnaire is complete with all necessary information and signed: ☐ Yes ☐ No
- c. Scanned and saved Downstream Vendor Questionnaire in appropriate Records Folder: ☐ Yes ☐ No

2. Is the DSV R2v3 Certified? ☐ Yes ☐ No

- a. If yes, certification on file in the appropriate Records Folder: ☐ Yes ☐ No
- b. Does the scope on the certificate cover the processes required for the specific material from our facility?
☐ Yes ☐ No

Enter Downstream Vendor's Scope Statement:

- c. Due Diligence check on SERI website: ☐ Yes ☐ No

If the vendor is R2v3 Certified, and you have checked "Yes" to all of the questions in this Section 2, skip Section 12.

3. DSV has provided a Focus Material Management Plan ☐ Yes ☐ No

- a. Can the DSV demonstrate expertise and capacity needed to process each type of electronic equipment containing an FM? ☐ Yes ☐ No
- b. The FMMP accounts for all FM that pass through its control and down the recycling chain: ☐ Yes ☐ No
- c. DSV has provided a narrative of processing occurring at its Tier 1 Facility until R2 Controlled Streams are processed to end of life and/or become unrestricted streams: ☐ Yes ☐ No
- d. DSV has provided Bills of Lading (or commercially acceptable records) for each FM down the recycling chain to final destination: ☐ Yes ☐ No

4. DSV has provided documented system to manage environmental risks: ☐ Yes ☐ No

- a. DSV is ISO 14001:2015 or RIOS certified? ☐ Yes ☐ No
- b. If yes, has DSV provided copy of current certification: ☐ Yes ☐ No

If the DSV has provided a current ISO 14001:2015 or RIOS certificate, skip to the next section.

- c. Has DSV provided a process to identify, analyze, and control important environmental impacts? ☐ Yes ☐ No



5. DSV has provided documented system to manage H&S risks: ☐ Yes ☐ No

- a. DSV is ISO 45001:2018 or RIOS certified? ☐ Yes ☐ No
- b. If yes, has DSV provided copy of current certification: ☐ Yes ☐ No

If the DSV has provided a current ISO 45001:2018 or RIOS certificate, skip to the next section

- c. Has the DSV provided a process to periodically evaluate the risk of exposure to hazardous substances (such as lead, beryllium, cadmium, PCBs, phosphor compounds, flame retardants, silica dust, and hexavalent chromium) through processing or handling of electronic equipment, components, and materials? ☐ Yes ☐ No
- d. Has the DSV provided a process to visually inspect electronic equipment and components received and handled for any conditions or damage that may result in adverse environmental, health, or safety incidents? ☐ Yes ☐ No
- e. Has the DSV provided process or policies to adhere to good housekeeping standards? ☐ Yes ☐ No
- f. Has the DSV provided process or policies to provide sanity facilities for workers? ☐ Yes ☐ No
- g. Has the DSV provided process or policies to prevent the consumption of food and beverages in areas not maintained free of contaminants? ☐ Yes ☐ No
- h. Has the DSV provided process or policies to provide the same level of care to the entire workforce, including staff, volunteers, consultants, temporary workers, and anyone else performing activities under its direction? ☐ Yes ☐ No
- i. Has the DSV designated a qualified employee(s) or contract worker(s) to coordinate its efforts to promote worker health and safety and environmental protection? ☐ Yes ☐ No

6. DSV has provided document compliance plan: ☐ Yes ☐ No

- a. DSV has provided list of permits, licenses, and legal requirements? ☐ Yes ☐ No
- b. DSV has provided copies of all permits and licenses identified above: ☐ Yes ☐ No
- c. Does the DSVs compliance plan include actions and controls required to ensure compliance with all requirements? ☐ Yes ☐ No
- d. Has the DSV provided objective evidence of periodic audits of its compliance with legal requirements? ☐ Yes ☐ No
- e. Does the DSV prohibit child and forced labor?
- f. Does the DSV limit the use of prison labor to only voluntary and provides compensation beyond room and board? ☐ Yes ☐ No

7. DSV has provided General Liability Insurance certificate: ☐ Yes ☐ No

- a. Policy is currently active: ☐ Yes ☐ No

8. Is this a Materials Recovery DSV? ☐ Yes ☐ No

- a. If yes, did the DSV provide certificate of Pollution Insurance: ☐ Yes ☐ No
- b. Is policy currently active: ☐ Yes ☐ No
- c. DSV has provided hazard assessment to determine need for additional EHS controls: ☐ Yes ☐ No
- d. Has the DSV provided evidence of Industrial Hygiene testing? ☐ Yes ☐ No

9. Does this DSV perform Data Destruction or Logical Sanitization? ☐ Yes ☐ No

- a. DSV has provided audit report showing data sanitization process has been audited by independent SERI trained auditor: ☐ Yes ☐ No
- b. DSV has provided Data Sanitization Plan: ☐ Yes ☐ No
- c. DSV has provided Data Security Policy: ☐ Yes ☒ No
- d. DSV has provided documented security program: ☐ Yes ☐ No
- e. DSV has provided data wipe certificates or hard drive shred log for all drives sent: ☐ Yes ☐ No
- f. Does this DSV perform smelting or incineration on data bearing devices for final destruction: ☐ Yes ☐ No
- g. If yes, has DSV provided written confirmation that it has processed all devices: ☐ Yes ☐ No

10. Does this DSV perform Test & Repair? ☐ Yes ☐ No

- a. DSV has provided either of the following:
 - i. RIOS: 2016 certificate: ☐ Yes ☐ No
 - ii. ISO 9001:2015 certificate: ☐ Yes ☐ No
 - iii. ISO 13485 certificate: ☐ Yes ☐ No
 - iv. TL90000 certificate: ☐ Yes ☐ No
- b. DSV has provided documented process for evaluation sorting, and categorization of devices: ☐ Yes ☐ No
- c. DSV has provided Test Plans: ☐ Yes ☐ No
- d. DSV has provided Quality Control Procedure: ☐ Yes ☐ No
- e. DSV has provided its Product Return Policy: ☐ Yes ☐ No
- f. DSV has provided its product safety plan: ☐ Yes ☐ No
- g. DSV has provided sample record of test results for each function tested and unique identifier assigned: ☐ Yes ☐ No

11. Does DSV Export Devices? ☐ Yes ☐ No

- a. If yes, DSV has provided a listing of all applicable legal requirements for exporting, transit, and importing countries: ☐ Yes ☐ No
- b. DSV has provided copies of permits or law, treaty, or other documentation allowing such movement to the destination country: ☐ Yes ☐ No
- c. Documentation has been translated, reviewed, and is acceptable? ☐ Yes ☐ No

12. Approval

- a. DSV approved: ☐ Yes ☐ No
- b. Date of Completed Desk Audit:
- c. Completed By: