R2:2013 Checklist

This checklist is not sufficient for determining conformity to the R2:2013 Standard during audits by Certification Bodies. It is only an aid, among others, for preparing a facility for certification. It is recommended for use during an internal audit or other assessment of readiness for R2:2013 certification

General Requirements			
#	R2:2013 Requirement	Y/N	Evidence/Comments
1.	Does the recycler have a current licensing agreement with R2 Solutions? [R2 Code of Practices – Section VI]		
2.	Is the recycler following the Logo Usage Rules? [R2 Code of Practices – Section VI]		
3.	Are 100% of approved downstream vendors audited by the recycler? [R2 Code of Practices – Section V(C)(5)]		
4.	Does the recycler have at least 3 months of records to verify conformance to the R2 Standard? [R2 Code of Practices – Section V(C)(5)]		

Provision 1 – Environmental, Health and Safety Management System			
#	R2:2013 Requirement	Y/N	Evidence/Comments
5.	Has the recycler documented the scope of activities included in the R2:2013 and EHSMS certifications, including any allowance to the R2:2013 standard expressly listed in the R2 Code of Practices? [section (a)]		
6.	If an Allowance as specified in the R2 Code of Practices Section VII is being utilized, has it been authorized in writing by the recycler's Certification Body? [section (a)]		

Provision 1 – Environmental, Health and Safety Management System		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
7.	**For R2:2013 Certified Recyclers**: Has the recycler been continuously certified by an accredited Certification Body to either RIOS™; or both ISO 14001 and OHSAS 18001? [section (b)]		
8.	**For recyclers seeking R2:2013 Certification**: Is the recycler currently certified by an accredited Certification Body to either RIOS™; or both ISO 14001 and OHSAS 18001, or will be certified prior to R2:2013 audits, or in a combined certification audit with R2:2013? [section (b)]		
9.	Has the recycler developed and documented a written EHSMS covering the activities in its approved scope? [section (c)]		
10.	Has the recycler implemented the documented EHSMS with records to demonstrate execution of documented procedures? [section (c)]		
11.	Has the recycler updated controlled documentation in the EHSMS to reflect changes in operations, laws, products, technologies, vendors, etc.? [section (c)]		
12.	Does the EHSMS include written goals and procedures covering, and requiring the organization to systematically manage, its on-site and downstream environmental, health, safety, and data security matters in a manner consistent with each requirement of the R2:2013 Standard? [section (c)(1)]		
13.	Does the EHSMS include a list of the activities necessary to conform to each requirement of R2:2013? For example, a mapping of controlled documents to each requirement of R2:2013. [section (c)(2)]		
14.	Does the EHSMS include a list of the documentation necessary to show conformity with these requirements? For example, a mapping of records to each requirement of R2:2013. [section (c)(2)]		

Provision 1 – Environmental, Health and Safety Management System			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
15.	Does the EHSMS include a commitment to take corrective action to address any issues of non-conformance? [section (c)(2)]		

Provision 2 – "Reuse, Recover, ..." Hierarchy of Responsible Management Strategies			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
16.	Does the recycler have a written policy stating how it manages used and end-of-life electronic equipment, components, and materials, both on-site and by downstream vendors that is based on the hierarchy of responsible management strategies (Reuse > Recover > Dispose)? [section (a)]		
17.	Is the written policy for responsible management strategies consistent and inclusive of the Focus Materials Management Plan? [section (b)]		
18.	Does the recycler adhere to the written policy for responsible management strategies with the selection and usage of downstream vendors? [section (a)]		
19.	Reuse – Does the recycler take all practical steps to separate and direct products for reuse first (according to Provision 6) unless a customer directs otherwise? [section (a)(1)]		
20.	Materials Recovery – Does the recycler take all practical steps to separate the materials in equipment and components that are not directed to reuse or refurbishment and recover materials or direct them to properly-equipped materials recovery facilities? [section (a)(2)]		
21.	Energy Recovery or Land Disposal Prohibited Does the recycler not direct material to incineration, energy recovery, or land disposal facilities unless no reuse or recycling options are viable? (See Provision 5(d) for the relevant requirements.) [section (a)(3)]		

Provision 3 – Legal Requirements		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
22.	Has the recycler developed a legal compliance plan and included it as a section of its EHSMS? [section (a)]		
23.	Does the legal compliance plan include all applicable environmental legal requirements? Examples: International regulations, national regulations, local laws, air pollution control, waste laws, etc. [section (a)]		
24.	Does the legal compliance plan include all applicable health and safety requirements? Examples: worker safety regulations, fire codes, building codes, etc. [section (a)]		
25.	Does the legal compliance plan include data security regulations? Examples include health information protection, financial information, personal identity information, etc. [section (a)]		
26.	Does the legal compliance plan include applicable import and export laws covering shipments of FMs and shipments of untested or non-functioning equipment or components containing FMs? [section (a)]		
27.	Does the legal compliance plan cover the legality of exports and imports through all countries? [section (a)(2)]		
28.	Does the legal compliance plan include imports/exports by downstream vendors? [section (a)(2)]		
29.	Does the recycler have evidence that transit or destination countries were determined prior to shipment by the recycler or downstream vendors? [section (a)(2)]		
30.	Does the recycler have evidence of the legality of imports by each transferring or receiving country for which exports/imports move through? This includes imports/exports by the recycler or any downstream vendor for FM's?		

Provision 3 – Legal Requirements		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
	[section (a)(2)]		
31.	Does the recycler keep the legal compliance plan current? [section (a)(3)]		
32.	Does the recycler identify and implement the steps necessary to comply with each requirement, and document the implementation of these steps? [section (a)(3)]		
33.	Does the recycler periodically <u>audit</u> its compliance with applicable legal requirements? [section (a)(3)]		
34.	Does the recycler have evidence of corrective actions that address issues of non-compliance? [section (a)(3)]		

Provision 4 – On-Site Environment, Health, and Safety		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
35.	Does the recycler demonstrate the expertise, knowledge, and technical capability to process each type of equipment, component, and material it accepts in a manner that is legal and protective of worker safety, public health, and the environment? [section (a)]		
36.	Does the recycler adhere to good housekeeping standards, including keeping all work and storage areas clean and orderly? [section (b)]		
37.	Is housekeeping for all areas of the facility planned, regularly implemented, and monitored? [section (b)]		

	Provision 4 – On-Site Environment, Health, and Safety		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
38.	Does the recycler conduct on an ongoing basis (e.g., as new types of materials are processed or new processes are used) a hazards identification and assessment of occupational health and safety and environmental risks that exist or could reasonably be expected to develop at the facility? [section c]		
39.	Does the hazards identification and assessment include all reasonably foreseeable sources? Examples include emissions, exposure to substances, noise, ergonomic factors, thermal stress, substandard machine guarding, cuts and abrasions, etc.? [section c]		
40.	Is the hazards identification and assessment captured in writing and incorporated as a component of the recycler's EHSMS? [section c]		
41.	Does the recycler have records of managing the EH&S hazards through corrective action? [section (d)]		
42.	Does the recycler have evidence demonstrating it has minimized the risks identified? [section (d)]		
43.	Does the recycler implement and prioritize the use of appropriate strategies, including engineering controls, administrative controls, and personal protective equipment? [section (d)(1-3)]		
44.	Does the recycler use monitoring and sampling protocols to continuously manage the risks it has identified? [section (e)]		
45.	Does the recycler comply with all applicable permissible exposure limits for sampling and/or monitoring? [section (e)]		

Provision 4 – On-Site Environment, Health, and Safety			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
46.	Does the recycler treat anyone performing activities under its direction, using the same standard of care? [section (f)]		
47.	Has the recycler designated a qualified employee(s) or consultant(s) to coordinate its efforts to promote worker health and safety and environmental protection? [section (g)]		
48.	Is the designated individual(s) identified to all employees and two-way communication encouraged between employees and this individual regarding potential hazards and how best to address them? [section (g)]		
49.	Has the recycler identified probable emergency situations and exceptional circumstances? [section (h)]		
50.	Has the recycler documented and updated as necessary an emergency plan(s) for the probable emergencies? [section (h)]		
51.	Does the emergency plan(s) consider workers, the public, and the environment? [section (h)]		
52.	Does the recycler periodically test the emergency plans(s)? [section (h)]		
53.	Are occurrences of emergency events, reported to the required authorities? [section (h)]		

Provision 5 – Focus Materials			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**

Provision 5 – Focus Materials			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
54.	Development and Adherence to an FM Management Plan – Has the recycler analyzed, planned, and documented in an "FM Management Plan" how the FMs that pass through its facility or control are properly managed in accordance with Provision 5? [section (a)]		
55.	Does the FM Management Plan address on-site requirements for managing FMs? [section (a)]		
56.	Does the FM Management Plan address downstream vendor requirements for managing FMs? [section (a)]		
57.	Has the recycler regularly reviewed, and updated as necessary the FM Management Plan? [section (a)]		
58.	Is the document or section in the EHSMS titled "FM Management Plan"? [section (a)]		
59.	Removal of FMs – Are FM's and toner cartridges safely removed prior to shredding or materials recovery of equipment or components? (Note exceptions in section (5)(b)).		
60.	Are items containing mercury sent for mercury retorting, or other legal methods, excluding incineration? [section (c)]		
61.	Are batteries and mercury relays removed from circuit boards prior to processing? [section (c)]		

Provision 5 – Focus Materials

#	R2:2013 Requirement	Y/N	Evidence/Comments
62.	Are circuit boards processed for metals recovery? [section (c)]		
63.	Are items containing polychlorinated biphenyls (PCBs) destroyed with technology for safe and effective destruction in facilities meeting applicable legal requirements for PCB destruction? [section (c)]		
64.	<u>Prohibition on Energy Recovery, Incineration, and Land Disposal of FMs</u> – Verify no Focus Materials are sent for disposal by land, incineration, or energy recovery. [section (d)]		
65.	Does the recycler have a documented process for evaluating downstream vendors for conformance to the R2:2013 downstream due diligence requirements? [section (e)]		
66.	Is downstream due diligence completed for 100% of approved recyclers? [section (e)]		
67.	Is downstream due diligence completed for 100% of approved refurbishers under R2/Ready for Repair? [section 6(c)(3)]		
68.	Have all approved downstream vendors been verified to conform to the recycler's FM Management Plan? [Section (e)(1)]		
69.	Have all approved downstream vendors been verified to have a documented EH&S management system? [Section (e)(2)]		

Provision 5 – Focus Materials			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
70.	For downstream vendors without a certified EH&S Management System, is there evidence that the EHSMS was evaluated for the components of R2:2013 Provision 3 and 4 as criteria for the documented EHSMS? [Section (e)(2)]		
71.	Have all approved downstream vendors had a thorough review of legal compliance history to applicable EH&S regulations? [section (e)(3)]		
72.	Do all approved downstream vendors maintain a list of current environmental permits and copies of each? [section (e)(3)]		
73.	Do all approved downstream vendors conduct due diligence at least annually on further downstream vendors of FM's to these same requirements? [section (e)(4)]		
74.	Do all approved downstream refurbishers conform to the reuse requirements in Provision 6? [section (e)(5)]		
75.	Have all approved downstream vendors provided a list of names and locations for all downstream vendors handling recycler's focus materials throughout the recycling chain? [section (e)(6)]		
76.	Do all approved downstream vendors maintain commercial documentation to track the transfer of equipment, components, and materials from recycler? [section (e)(6)]		
77.	Does each approved downstream vendor maintain a security program for recycler's material commensurate with the degree of sensitivity of the equipment provided? [section (e)(7)]		

	Provision 5 – Focus Materials		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
78.	Are there controls in place to secure the shipment of electronic equipment between the recycler and each downstream vendor? [section (e)(7)]		
79.	Does the recycler confirm at least annually and document that each approved downstream vendor continues to conform to the requirements of Section (e) for as long as it receives FMs directly or indirectly from the recycler? [section (f)]		
80.	If the recycler uses an R2:2013 certified downstream facility, does the recycler verify conformance to the recyclers FM Management Plan in 5(e)(1)? [section (g)]		
81.	If the recycler uses an R2:2013 certified downstream facility, does the recycler document the throughput of FM's by the downstream facility through the recycling chain as required in 5(e)(6)? [section (g)]		
82.	Does the recycler manage print cartridges in accordance with the reuse hierarchy of Provision 2?[section (h)]		
83.	Are ink and toner print cartridges sent to either remanufacturers, recyclers, or Original Equipment Manufacturers (OEM)? [section (h)]		

Provision 6 – Reusable Equipment and Components			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
84.	Does the recycler prevent customer equipment or components from being resold or donated for reuse if contrary to the customer's agreement? [section (a)]		
85.	Does the recycler label and sort each shipment downstream to track throughput? [section (b)(1)]		
86.	Does the recycler sanitize all data on reusable equipment before it is shipped downstream? [section (b)(2)]		
87.	Does the recycler handle and package shipments for reuse to prevent damage of the equipment during transit? [section (b)(3)]		
88.	Does the recycler package shipments for reuse in light of the risks posed during shipment? For example, refurbished batteries packaged according to transport regulations to prevent fires or spills. [section (b)(3)]		
89.	Are shipments for reuse identified prior to shipment as: (1) Tested for Full Functions, R2/Ready for Reuse; (2) Tested for Key Functions, R2/Ready for Resale; and/or (3) Evaluated and Non-Functioning, R2/Ready for Repair? [section (c)]		
90.	**Tested and Full Functions, R2/Ready for Reuse –** Are all equipment functions tested, working properly and ready for reuse as if it were new? [section (c)(1)(A)]		
91.	Is R2/Ready for Reuse equipment loaded with legally licensed software, drivers, and configured? [section (c)(1)(A)]		

Provision 6 – Reusable Equipment and Components			
#	R2:2013 Requirement	Y/N	Evidence/Comments
92.	Is the recycler currently certified to RIOS or ISO 9001 for refurbishment activities? [section (c)(1)(B)]		
93.	If not certified to RIOS or ISO 9001, has the recycler documented a Quality Assurance Policy? [section (c)(1)(B)]		
94.	If not certified to RIOS or ISO 9001, has the recycler documented a Quality Assurance Plan? [section (c)(1)(B)]		
95.	Does the Quality Assurance Plan include steps to verify the accuracy of test methods (monitoring) and test equipment (calibration) [section (c)(1)(B)]		
96.	Does the Quality Assurance Plan include procedures to maintain records of verification and results of testing? [section (c)(1)(B)]		
97.	Does the recycler have a written Product Return Policy which includes specific policies for R2/Ready for Reuse equipment? [section (c)(1)(C)]		
98.	Does the recycler have a written Product Return Plan that includes plans for R2/Ready for Reuse equipment sold? [section (c)(1)(C)]		
99.	Is the Product Return Policy and Plan appropriate for the final destination of R2 Ready for Reuse equipment? [section (c)(1)(C)]		
100.	Is the Product Return Policy and Plan appropriate for the type of equipment sold to an end user as R2 Ready for Reuse? [section (c)(1)(C)]		

Provision 6 – Reusable Equipment and Components			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
101.	Has the Product Return Policy and Plan been communicated to buyers and sales persons as one step in the implementation? [section (c)(1)(C)]		
102.	Is the recycler's R2/Ready for Reuse equipment and components clean and free of major cosmetic defects? [section (c)(1)(D)]		
103.	Does the recycler ensure that R2/Ready for Reuse equipment or components meet the requirements of the recipient? [section (c)(1)(E)]		
104.	**Tested for Key Functions, R2/Ready for Resale** – Does the recycler use effective test methods and testing equipment to confirm that the Key Functions of the equipment or components are working properly? For example, are "key functions" defined for each type of equipment and processes written to specify expected results for "working"? [section (c)(2)(A)]		
105.	Is the recycler currently certified to RIOS or ISO 9001 for refurbishment activities? [section (c)(2)(B)]		
106.	If not certified to RIOS or ISO 9001, has the recycler documented a Quality Assurance Policy? [section (c)(2)(B)]		
107.	If not certified to RIOS or ISO 9001, has the recycler documented a Quality Assurance Plan? [section (c)(2)(B)]		
108.	Does the Quality Assurance Plan include steps to verify the accuracy of test methods (monitoring) and test equipment (calibration) [section (c)(2)(B)]		

Provision 6 – Reusable Equipment and Components			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
109.	Does the Quality Assurance Plan include procedures to maintain records of verification and results of testing? [section (c)(2)(B)]		
110.	Does the recycler have a written Product Return Policy which includes specific policies for R2/Ready for Resale equipment? [section (c)(2)(D)]		
111.	Does the recycler have a written Product Return Plan that includes plans for R2/Ready for Resale equipment sold? [section (c)(2)(D)]		
112.	Is the Product Return Policy and Plan appropriate for the final destination of R2 Ready for Resale equipment? [section (c)(2)(D)]		
113.	Is the Product Return Policy and Plan appropriate for the type of equipment sold? [section (c)(2)(D)]		
114.	Has the Product Return Policy and Plan been communicated to buyers and sales persons as one step in the implementation? [section (c)(2)(D)]		
115.	Does the recycler disclose to buyers any functions that are not working properly with R2/Ready for Resale shipments? [section (c)(2)(C)]		
116.	Does the recycler provide a description of cosmetic defects and missing components with R2/Ready for Resale shipments? [section (c)(2)(C)]		
117.	Does the recycler ensure that the equipment or components meet the specifications of the recipient vendor or the end user? [section (c)(2)(E)]		

Provision 6 – Reusable Equipment and Components			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
118.	**Evaluated and Non-Functioning, R2/Ready for Repair** – Does the recycler have a process to evaluate equipment for repair and qualify downstream refurbishers for testing/repairing of non-functioning equipment? [section (c)(3)]		
119.	Has the recycler documented a Quality Assurance Policy? [section (c)(3)(A)]		
120.	Has the recycler documented a Quality Assurance Plan? [section (c)(3)(A)]		
121.	Does the Quality Assurance Plan include steps to determine if the equipment is capable of repair and refurbishment? [section (c)(3)(A)]		
122.	Does the Quality Assurance Plan evaluation for repair include evaluating condition, functionality, and sales price of the equipment in the destination market? [section (c)(3)(A)]		
123.	For shipments of R2/Ready for Repair equipment to an R2:2013 certified refurbisher, is the downstream refurbisher qualified according to Provision 5(g)? [section (c)(3)(B)(i)]		
124.	For shipments of R2/Ready for Repair equipment to any other vendor, is the downstream refurbisher verified to meet the R2:2013 requirements under 6(c)(1) and 6(c)(2)? [section (c)(3)(B)(ii)]		
125.	For shipments of R2/Ready for Repair equipment to any other vendor, does the downstream refurbisher only resell R2/Ready for Reuse and R2/Ready for Resale equipment? The downstream refurbisher cannot sell equipment to another refurbisher in an untested or non-functioning condition. [section (c)(3)(B)(ii)]		

Provision 6 – Reusable Equipment and Components			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
126.	Do the buyers/downstream vendors of equipment in <u>Evaluated and Non-Functioning, R2/Ready for Repair</u> condition meet the downstream requirements of Provision 5? [section (c)(3)(B)(iii)]		
127.	Do the shipments of equipment in <u>Evaluated and Non-Functioning, R2/Ready for Repair</u> condition meet the exporting requirements of Provision 3? [section (c)(3)(B)(iii)]		
128.	Does the recycler ensure that the equipment or components meet the specifications of the recipient vendor? [section (c)(3)(C)]		
129.	If the recycler sells "Collectible Electronics" are these items qualified as "rare, vintage, and no longer manufactured or supported by the original manufacturer?" [Definitions]		
130.	If the recycler sells "Specialty Electronics" are these items qualified as "rare and specialized equipment not generally available in retail?" [Definitions]		
131.	Does the recycler <u>not</u> possess the technical capability to test or repair collectible or specialty electronics? [section (d)]		
132.	Is the recycler tracking sales of collectible or specialty electronics to verify the sales are less than 1% of total individual units by quantity sold on a rolling 12 month average? [section (d)]		
133.	Do sales of collectible or specialty electronics include returns at no cost to the buyer? [section (d)]		
134.	Do sales of collectible or specialty electronics conform to the legal requirements in Provision 3? [section (d)(1)]		

Provision 7 – Tracking Throughput

#	R2:2013 Requirement	Y/N	Evidence/Comments
135.	Does the recycler maintain for at least three years commercial contracts, bills of lading, or other commercially-accepted documentation for all transfers of equipment, components, and material? Note: The recycler does not need to track non-FMs beyond the first tier downstream vendor. [section (a)]		
136.	Does the recycler provide, to each customer that is R2:2013 certified or in the process of R2:2013 certification, upon request the names and locations of all downstream vendors in the recycling chain that handle said customer's FMs? [section (b)]		

Provision 8 – Data Destruction

#	R2:2013 Requirement	Y/N	Evidence/Comments
137.	Has the recycler incorporated the applicable requirements of NIST 800-88 or other generally-accepted standard into its data destruction procedures? [section (a)]		
138.	Does the recycler adhere to the incorporated data destruction standards for all data bearing media? [section (a)]		
139.	Does the recycler document its data destruction procedures and include this documentation as part of its EHSMS? [section (b)]		
140.	Are instructions for the identification of media containing data and requiring sanitization included in the recycler's EHSMS? [NIST 800-88 Section 4.2]		
141.	Do employees involved in data destruction receive appropriate training in data destruction processing? [section (c)]		

Provision 8 – Data Destruction		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
142.	Do employees involved in data destruction receive repeat training in data destruction processing on a regular basis? [section (c)]		
143.	Are employees involved in data destruction pre-qualified through an evaluation of competency prior to processing media for data destruction? [section (c)]		
144.	Are data destruction validation requirements and processes documented in the data destruction procedures as part of the EHSMS? [section (d)]		
145.	Are data destruction processes reviewed and validated by an independent party on a periodic basis as defined in the data destruction procedures? [section (d)]		
146.	Are quality controls for data destruction documented? [section (e)]		
147.	Are quality controls for data destruction effectively implemented and used? [section (e)]		
148.	Are quality controls for data destruction regularly monitored internally for effectiveness? [section (e)]		
149.	Has the level of sensitivity of data on media received at the facility been determined? [section (f)]		
150.	Are security controls for media containing data documented? [section (f)]		

Provision 8 – Data Destruction		
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**

#	R2:2013 Requirement	Y/N	Evidence/Comments
151.	Are documented security controls for media containing data implemented? [section (f)]		
152.	Are security controls and procedures maintained and updated as changes occur in facility, personnel, or media sensitivity? [section (f)]		
153.	Are implemented security controls appropriate for the most sensitive classification of media accepted at the facility? [section (f)]		
154.	Do security controls consider physical security, monitoring, chain-of-custody, and personnel qualifications? [section (f)]		
155.	Are adequate records of data destruction maintained by the recycler and each downstream vendor conducting data destruction? [section (g)]		
156.	If data destruction is handled by a downstream vendor, does the R2:2013 electronics recycler maintain responsibility for data destruction? [section (h)(1)]		
157.	If data destruction is handled by a downstream vendor, does the R2:2013 electronics recycler ensure appropriate security, controls, and processing techniques continue to conform to Provision 8 through audits or other similarly effective means? [section (h)(1)]		
158.	If data destruction is handled by a downstream vendor, are media or devices containing media with data tracked and secured during transportation, storage, and processing? [section (h)(2)]		

Provision 8 – Data Destruction

#	R2:2013 Requirement	Y/N	Evidence/Comments
159.	If data destruction is handled by a downstream vendor, does each downstream vendor adhere to the requirements of Provision 8? [section (h)(3)]		

Provision 9 – Storage

#	R2:2013 Requirement	Y/N	Evidence/Comments
160.	Does the recycler store items in a manner that protects them from reasonably foreseeable adverse atmospheric conditions such as rain, snow, wind, and floods? [section (a)(1)]		
161.	Does the recycler have a catchment system if warranted? [section (a)(1)]		
162.	Does the recycler store items in full legal compliance? [section (a)(2)]		
163.	Does the recycler secure items from unauthorized access? [section (a)(3)]		
164.	Does the recycler store items in clearly labeled containers and/or storage areas? [section (a)(4)]		

Provision 10 – Security			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
165.	Does the recycler maintain a security program that controls access to all or parts of the facility? [section (a)]		
166.	Is the security program appropriate for the type of equipment handled? [section (a)]		
167.	Is the security program appropriate for the sensitivity of media containing data handled? [section (a)]		
168.	Is the security program appropriate for the customers' requirements? [section (a)]		
169.	Does the recycler consider and include necessary controls to secure electronic equipment upon acceptance of said equipment? For example, this may include remote collection points or assuming liability at the customer's location during pickup. [section (b)]		

Provision 11 – Insurance, Closure Plan, and Financial Responsibility			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
170.	Has the recycler demonstrated that it has evaluated the risks arising from its certification activities? [section (a)]		
171.	Does the recycler have adequate insurance or reserves to cover liabilities from the evaluated risks of its certification activities, including environmental pollution and worker health and safety? [section (a)]		

Provision 11 – Insurance, Closure Plan, and Financial Responsibility			
#	R2:2013 Requirement	Y/N	Evidence/Comments
172.	Is a written closure plan in place and current? [section (b)]		
173.	Does the closure plan assure proper closure of the facility? [section (b)]		
174.	Does the closure plan assure against abandonment of electronic equipment, components, and materials? [section (b)]		
175.	Is a sufficient financial instrument in place to assure against abandonment? [section (b)]		
176.	Is the financial instrument(s) assigned to an independent party or corporate parent with responsibility for closure, and assignment consistent with applicable law? [section (b)(1)]		
177.	Does the financial instrument(s) include coverage for the evaluated risks identified? [section (b)(2)]		
178.	Does the financial instrument(s) include coverage for reasonably foreseeable costs of processing remaining inventory? [section (b)(2)]		
179.	Does the financial instrument(s) include coverage for sampling the site for environmental contamination? [section (b)(2)]		
180.	Does the financial instrument(s) include coverage for restoring the premise to sellable condition? [section (b)(2)]		

Provision 11 – Insurance, Closure Plan, and Financial Responsibility

#	R2:2013 Requirement	Y/N	Evidence/Comments
181.	Does the closure plan assign responsibility for closure to an independent party? [section (b)(3)]		
182.	Does the closure plan detail the closure funding information? [section (b)(3)]		
183.	Does the closure plan include plans for inventory processing, environmental sampling, and site remediation as needed? [section (b)(3)]		

Provision 12 – Transport

#	R2:2013 Requirement	Y/N	Evidence/Comments
184.	Does the recycler ensure that all equipment, components, and materials to be transported are packaged appropriately in light of the risk they could pose during transportation to public health or the environment? [section (a)]		
185.	Does the recycler ensure that equipment is packaged according to the level of care warranted by its intended use? [section (a)]		
186.	Does the recycler ensure that equipment is secured in accordance with Provision 10? [section (a)]		
187.	Has the recycler verified that its transporters, have all the necessary regulatory authorizations? [section (b)]		
188.	Has the recycler verified that its transporters, maintain adequate insurance coverage consistent with the material and method of transportation? [section (b)]		

Provision 12 – Transport			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
189.	Has the recycler verified that its transporters, maintained an acceptable vehicle and driver safety record during the previous 3 years? [section (b)]		
190.	Has the recycler maintained the same standards for its own internal fleet? [section (b)]		

Provision 13 – Documentation and Recordkeeping			
#	**R2:2013 Requirement**	**Y/N**	**Evidence/Comments**
191.	Does the recycler have access at the certified facility to documents and records necessary to demonstrate conformity to each requirement of this document? [section (a)]		