



Downstream Vendor Qualification & Agreement

2701 Market Street Garland TX 75041

<https://vhtechworks.com/>

Document Number

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COMPANY INFORMATION

Legal Facility Name:	
Facility Address:	
Country:	
Website	
Days/Hours of operation	
Years in operation	
Facility Size	
CEO/PRESIDENT	
Compliance Contact	

VH Techworks, LLC Downstream Vendor Audit Notice: VH Techworks, LLC has chosen to perform a **desktop audit** of your company, identified as a current or potential downstream partner handling **Focus Materials (FM), Hazardous Electronic Waste (HEW), or hazardous e-waste** from VH Techworks.

The audit's purpose is to:

- **Communicate and validate compliance** with **R2 or e-Stewards standards** for handling materials from VH Techworks.
- Ensure all downstream vendors understand and acknowledge these compliance requirements **before** any partnership begins.

Key points:

- **Annual audits** will be conducted to verify provided information and assess downstream activities.
- If any discrepancies or concerns arise, **additional documentation** or **site visits** may be required.
- Your cooperation in this process is appreciated.

Downstream Vendors must provide verification of the following:

- **Ongoing Regulatory Compliance**
Documentation demonstrating continued adherence to all applicable federal, state, and local regulations, as well as relevant industry-specific standards.
- **Electronic Waste Tracking System**
Evidence of a sufficient tracking system that enables VHT to monitor the disposition of electronic waste handled under its recycling program, ensuring full traceability and accountability.
- **Certification**
Proof of relevant certifications (e.g., R2, e-Stewards, ISO 14001, or equivalent), demonstrating that operations meet recognized environmental and operational standards.
- **Insurance Coverage**
Proof of current and adequate insurance coverage appropriate to the scope, nature, and risk profile of the vendor's operations. This may include, but is not limited to, general liability, environmental liability, and worker's compensation insurance.
- **Facility Closure Assurance**
Legal and financial mechanisms must be in place to ensure the proper closure of the vendor's facility, including the safe and compliant handling of any remaining materials or waste in the event of a shutdown or cessation of operations.

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PLEASE RETURN THE FOLLOWING DOCUMENTATION WITH THIS AGREEMENT:

R2V3 CORE REQUIREMENTS	DOCUMENT EVIDENCE
Core Requirement 1 – Scope	<input type="checkbox"/> R2 Certificate <input type="checkbox"/> Business License <input type="checkbox"/> Any Permits (Stormwater/No Exposure, etc.)
Core Requirement 2 – Hierarchy of Responsible Management Strategies	<input type="checkbox"/> Policy for managing end-of- life electronic equipment, components, and materials
Core Requirement 3 – EH&S Management System	<input type="checkbox"/> Accredited EHS Certificates <input type="checkbox"/> Environmental, Health & Safety Policy
Core Requirement 4 – Legal and Other Requirements	<input type="checkbox"/> Legal compliance plan <input type="checkbox"/> Non-discrimination policy
Core Requirement 5 – Tracking Throughput	<input type="checkbox"/> Downstream Vendor Flow Chart <input type="checkbox"/> Bills of lading or other commercially accepted records for all tiers <input type="checkbox"/> Import/Export approval (if applicable) <input type="checkbox"/> Copy of Downstream vendor audits for all tiers <input type="checkbox"/> Copy of Return policy
Core Requirement 6 – Sorting, Categorization, & Processing	<input type="checkbox"/> Process to evaluate, sort, and categorize electronic equipment <input type="checkbox"/> Quality Assurance Plan <input type="checkbox"/> Testing Record examples (If applicable) <input type="checkbox"/> Categories, for Functioning Product, Data Sanitization Status or grading matrix
Core Requirement 7 – Data Security	<input type="checkbox"/> Data Sanitization Plan <input type="checkbox"/> Wiping Record/Results Examples (if applicable) <input type="checkbox"/> Written contractual requirements not to sanitize data on user's data storage devices when requested (if applicable) <input type="checkbox"/> Data security policy <input type="checkbox"/> Internal data security audit <input type="checkbox"/> Security Program <input type="checkbox"/> Training & Confidentiality Agreements
Core Requirement 8 – Focus Materials	<input type="checkbox"/> FM Management Plan <input type="checkbox"/> Flowchart of the DSV Names and Locations
Core Requirement 9 – Facility Requirements	<input type="checkbox"/> Insurance COI <input type="checkbox"/> Closure Plan and Financial Instrument
Core Requirement 10 – Transport	<input type="checkbox"/> Transportation Plan



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Labor and Business Practices (Code of Conduct)

1. Prohibited Labor Practices

- **No prison or child labor** is allowed at any stage of service for VHT.
- A *child* is defined as someone below the legal age for completing compulsory education or minimum employment age, whichever is higher. **Apprenticeships** are allowed if they follow all laws and regulations.
- Workers under 18 must not perform tasks that endanger their health or safety.

2. Legal Compliance

- Vendors must comply with **all applicable laws and regulations** at the federal, state, and local levels.
- All required **permits and licenses** must be obtained and maintained.

3. Operational Procedures & Subcontractors

- Vendors must create and provide VHT with **standard operating procedures (SOPs)** for:
 - Handling, transport, and recycling/disposal of all **Covered Electronic Devices (CEDs)** and related parts/items.
- **Recycling vendors** must:
 - Notify VHT **immediately** of any proposed or actual changes in subcontractors.
 - Provide **up-to-date descriptions** of subcontractor roles and activities.

Downstream Compliance

As an approved downstream vendor for VHT, you agree to the following requirements based on your certification:

- **Conduct due diligence** on all downstream entities that receive Focus Material (FM) and provide VHT with information or reports demonstrating this diligence upon request.
- **Provide End-of-Life (Life Cycle) reporting** to VHT, upon request, for any FM/HEW received.
- **Notify VHT of any changes** to your downstream vendors **prior to** the shipment of VHT material. New downstreams must be approved by VHT before any such shipment occurs.

Import/Export Compliance, Reporting, and Tracking

1. Legal Compliance Verification

Vendors are required to verify that each international shipment complies with applicable import/export laws and regulations as part of their established legal compliance plan. This includes confirming that shipments are lawful for export, transit, and import.

2. Waste Classification and Documentation

As part of the verification process, vendors must determine whether any equipment, components, or materials qualify as regulated waste under the laws of the exporting, transiting, and importing countries. If classified as regulated waste, vendors must assess whether the waste is hazardous and comply with all documentation and procedural requirements under applicable law.

3. Documentation Retention

Vendors shall maintain all relevant written reports, shipping documentation (e.g., bills of lading), packing lists, and any additional transactional records required by law or regulation. Documentation must be sufficient to enable VHT to verify the downstream markets for all materials processed by the vendor.



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4. Reporting Obligations

Vendors must notify VHT in writing within **30 business days** of:

- Any change in ownership
- Any reportable fines or regulatory enforcement actions
- Any reportable incidents or injuries.

By returning this document, the Vendor agrees to comply with the requirements outlined herein while conducting business with or on behalf of VHT. Vendor management shall ensure that all relevant employees are informed of these requirements and that the company maintains full compliance. Both parties agree to treat this information as confidential and shall not disclose it to any third party without the prior written consent of the other party.

Name of Management Representative:

Date Click or tap to enter a date.

Position:

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DESKTOP AUDIT RESULTS (To be completed by VH Techworks, LLC)

CERTIFICATIONS	CURRENT	EVIDENCE/REFERENCED DOCUMENT
ISO 9001	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
ISO 14001	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
ISO 45001	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
R2:2013 OR R2V3	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
eStewards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
NAID	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
OTHER CERTIFICATIONS	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
PERMITS	CURRENT	EVIDENCE/REFERENCED DOCUMENT
EPA ID	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
BUSINESS PERMIT	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
STORMWATER/NO EXPOSURE	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
HAZARDOUS MATERIAL MANAGEMENT	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
UNIVERSAL WASTE HANDLING	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
INSURANCE		EVIDENCE/REFERENCED DOCUMENT
GENERAL LIABILITY	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
WORKERS COMPENSATION	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
POLLUTION	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
AUTOMOTIVE	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	
COMPLIANCE HISTORY	RESULTS OF SEARCH	
ENFORCEMENT & COMPLIANCE HISTORY		
OSHA HISTORY		
SERI WEBSITE		

APPROVAL STATUS (Based on example BOLs of shipments to Downstream Vendors)

FOCUS MATERIAL/HEW	STATUS
WHOLE DEVICE CONTAINING FOCUS MATERIAL (CRT/LCD, Laptop/Desktop, Tablet/Mobile Device, etc.)	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
CIRCUIT BOARDS	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
BATTERIES	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
MERCURY CONTAINING DEVICES	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
CRT GLASS	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
POLYCHLORINATED BIPHENYLS	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
INK/TONER	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved
PLASTICS (Based on request)	<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved

Comments:

Audited by:

Date: Click or tap to enter a date.