

## Guidelines for Auditing Computer or E-scrap Recyclers

Company \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Contact person \_\_\_\_\_ Title \_\_\_\_\_

E-mail address \_\_\_\_\_

Phone(s) \_\_\_\_\_

Respondent to this query \_\_\_\_\_

Date \_\_\_\_\_ Please return within 10 days of receipt.

### A. General company information

#### 1. What kind of company are you?

- ? Broker
- ? Refurbisher/Reseller
- ? Demanufacturer

#### 2. Please provide a general description of your business and/or a qualifications statement.

- ? Number of employees
- ? Years in business and ownership history
- ? Facility site information and plant size
- ? Summary of operations and services offered
- ? What else should we know? \_\_\_\_\_

#### 3. Do you process non-saleable equipment and components by demanufacturing or shredding?

If not, are nonsaleable components outsourced or exported?                      ? Yes                      ? No

If yes, which countries are your primary markets for scrap?

\_\_\_\_\_

What process(es) does your downstream vendor(s) employ? \_\_\_\_\_

\_\_\_\_\_

Can your downstream vendors document their procedures to your satisfaction?

? Yes    ? No

**4. What type of products do you accept?**

**Computers and peripherals**

- ? Monitors
- ? Desktop CPUs
- ? LCD displays – laptops
- ? Notebook computers
- ? CD, CDRW drives
- ? Hard drives
- ? Zip drives
- ? Scanners
- ? DVD drives
- ? Floppy drives
- ? Printers
- ? Speakers
- ? Other \_\_\_\_\_

**Other office equipment**

- ? Fax machines
- ? Multifunction machines
- ? Adding machines
- ? Copiers
- ? Other \_\_\_\_\_

**Communication devices**

- ? Cell phones
- ? Corded phones
- ? Cordless phones
- ? Answering machines
- ? Pagers
- ? Other \_\_\_\_\_

**Miscellaneous**

- ? Pocket PCs
- ? Data cartridges
- ? Battery back-ups/UPS
- ? PC and digital cameras
- ? Servers
- ? Routers
- ? Hubs
- ? Remotes
- ? PDAs
- ? Other \_\_\_\_\_

**5. What services do you provide?**

- ? Palletizing & pickup from customer
- ? Sort equipment before donation to non-profit
- ? Hard drive erasure/secure data destruction
- ? Product tracking through final fate of materials
- ? Other? \_\_\_\_\_

**6. Will you provide references, including the most recent clients you have provided service for?**

? Yes            ? No

**B. Compliance with federal, state, and local environmental laws to safeguard occupational and environmental health and safety.**

**1. Does your company have an EPA ID number?            ? Yes            ? No**

Our number is \_\_\_\_\_

**2. Can you provide information on your company's compliance history?            ? Yes            ? No**

- ? Summary of federal or state environmental agency inquiries and enforcement actions during the past three years (Please attach)
- ? Reports to government agencies from the past three years (Please attach)

Name of person \_\_\_\_\_ in a state government environmental agency  
\_\_\_\_\_ that is familiar with your operations

3. Can you provide evidence of appropriate permits?                    ? Yes                    ? No

- ? Air permit
- ? Storm water permit
- ? Solid Waste permit
- ? Business permit
- ? Zoning permit
- ? Transportation/licensure
- Other \_\_\_\_\_

4. Can you provide evidence of an environmental management system (EMS), an environmental risk management plan, or electronic recycling certification?   ? Yes                    ? No

- ? ISO 14001
- ? IAER (International Association of Electronic Recyclers)
- ? Other? \_\_\_\_\_

5. Do you have a hazardous materials management plan?                    ? Yes                    ? No

6. Do you meet OSHA requirements?                    ? Yes                    ? No

- ? List of applicable OSHA mandates
- ? Summary of OSHA inquiries for past 3 years including health hazard evaluations
- ? Full OSHA citation history
- ? Training records and written programs required by OSHA standards  
(Please attach appropriate documents)

7. Is there a trained Environment Health and Safety supervisor on site?                    ? Yes                    ? No

Name and contact info \_\_\_\_\_

**C. Documentation regarding end-use markets.**

1. Names of countries into which you directly sell unusable scrap materials:

- ? CRTs
  - Whole \_\_\_\_\_
  - Broken \_\_\_\_\_
- ? Plastics \_\_\_\_\_
- ? Metals (steel, aluminum, copper) \_\_\_\_\_
- ? Circuit Boards \_\_\_\_\_
- ? Cables/wiring \_\_\_\_\_
- ? Other materials \_\_\_\_\_

2. Do you audit the end-markets you sell to directly?                    ? Yes                    ? No

3. What percentage (by weight) of all equipment that you receive do you send for disposal as waste in landfills or for incineration? \_\_\_\_\_ % Tons/year disposed \_\_\_\_\_

4. If materials are donated to nonprofits, can you supply their federal ID numbers?  
? Yes                    ? No

5. Can you provide a complete record (including type of equipment, model number, serial number, and date received) of all equipment sent to you for recycling, as well as how it was processed?      ? Yes      ? No

6. Do you export or broker for export used equipment?      ? Yes      ? No  
If Yes, can you provide evidence that you are in compliance with notice and consent procedures specified under international laws and bilateral agreements?      ? Yes      ? No

**D. Other concerns of the State**

1. Is your company willing to accommodate state agency concerns?      ? Yes      ? No  
Examples of concerns include:  
? Provide notarized documentation of secure destruction of highly sensitive materials  
? No export of materials (whole or broken) that are known to fail EPA's TCLP tests to Third World countries  
? No use of Federal prison labor

**E. Risk management**

1. Do you have environmental liability insurance?      ? Yes      ? No  
2. Do you have General Liability Insurance?      ? Yes      ? No  
How much coverage? \_\_\_\_\_  
3. Do you have other types of insurance?      ? Yes      ? No  
4. Do you have financial assurance (e.g., bonding)?      ? Yes      ? No

**F. Disclosure verification**

Do you attest that your responses to these questions are accurate and can be verified independently, or through documentation that you provide?      ? Yes      ? No

**G. Please return this questionnaire**

By FAX to [name of agency] at [FAX number], ATTN: \_\_\_\_\_

By MAIL to: Name \_\_\_\_\_  
Agency \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_

If you have questions or need clarification please contact \_\_\_\_\_  
at [your phone number] or e-mail \_\_\_\_\_  
\_\_\_\_\_