

## FINAL DRAFT Sanctioned Interpretations for Version 3.0

### *e-Stewards Standard for Responsible Recycling and Reuse of Electronics*

The following are FINAL DRAFT Sanctioned Interpretations proposed for Version 3.0 of the e-Stewards Standard. In the text below, proposed new text is found in **red font**, proposed deleted text is crossed out, and proposed new locations for existing text is marked as **[MOVED]**. As in the e-Stewards Standard, *italics* font indicates ISO 14001 language. At the end of the FINAL DRAFT Sanction Interpretations you will find a new Appendix D, which is cites all of the sections with a proposed S.I.

| Section or Clause from e-Stewards V 3.0   | Proposed changes to 3.0   |
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| <p>Acronyms and Abbreviations Used in This Standard.</p> <p>Table 2 (found on page 4)</p> | <p>DP = Downstream <del>Processor</del> <b>Provider</b></p> <p>IDP = Immediate Downstream <del>Processor</del> <b>Provider</b></p> <p>NOTE: This change applies throughout the Standard, wherever the abbreviations for DP and IDP are used. The reason for this change is to correct an issue in sections 3.5.10 and 3.5.23, due to conflicting definition between DP and IDP, and inclusion/exclusion of Final Disposal facility. This correction includes adding Final Disposal facility to section 8.9.1, and excluding Final Disposal facility in sections 8.9.3 and 8.9.4.</p>  |
| 3.5.10  | <p><b>Downstream <del>Processor</del> Provider (DP)</b></p> <p>Any facility which Recycles/Processes, <b>disposes of</b>, or otherwise manages any Electronic Equipment (including materials derived from it) that pass through the organization's facility or Control. Downstream <del>Processors</del> <b>Providers</b> include initial processors <b>and Final Disposal</b> facilities that an e-Stewards organization arranges to directly receive/Process <b>or dispose of</b> customer equipment, if the organization benefits in any way or represents such services as e-Stewards services. Downstream <del>Processors</del> <b>Providers</b> do not include Intermediaries. <del>or Final Disposal Facilities.</del></p> |

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| 3.5.13 | <p><b>End Processor</b></p> <p>Final Downstream <del>Processor</del><b>Provider</b> at the end of Recycling Chain that transforms a mixed, waste, or scrap material into products or Commodities with no further refinement or separation of materials or wastes.</p>  |
| 3.5.14 | <p><b>End Refurbisher</b></p> <p>A certified e-Stewards organization or their Immediate Downstream <del>Processor</del><b>Provider</b>(s) that completes the e-Stewards requirements for reuse, as defined in this Standard.</p>   |
| 3.5.18 | <p><b>Final Disposition</b></p> <p>The last facility or operation in the e-Stewards Recycling Chain at which an <del>e-waste</del> <b>HEE, PCM, or HEW</b> either:</p> <ul style="list-style-type: none"> <li>a. Ceases to be a waste by being Processed into a Commodity;</li> <li>Is prepared for Direct Reuse by completing reuse requirements in this Standard, and/or</li> <li>b. Has arrived at Final Disposal and is finally disposed, <b>including processing residuals, e.g. ash, filter cake, and slag.</b></li> </ul>   |
| 3.5.21 | <ul style="list-style-type: none"> <li>d. Circuit boards, lamps, switches, or any Electronic Equipment (such as other parts, assemblies, housings, plastics, cables, and wires) that contain any of the substances listed in Table 3 below in levels exceeding the indicated thresholds. In the absence of knowledge or information regarding the toxicity of Electronic Equipment, in any form, it shall be presumed to be Hazardous Electronic Equipment, unless it can be demonstrated via the US EPA's TCLP Method 1311 <b>[New Link, old link not active]</b> <a href="https://www.epa.gov/sites/production/files/2015-12/documents/1311.pdf">https://www.epa.gov/sites/production/files/2015-12/documents/1311.pdf</a> (<del><a href="http://www.epa.gov/epawaste/hazard/testmethods/sw846/pdfs/1311.pdf">http://www.epa.gov/epawaste/hazard/testmethods/sw846/pdfs/1311.pdf</a></del>)-sw846 that the material does not exceed threshold limits shown in Table 3 below. It shall be presumed that all circuit boards fail these thresholds and therefore are HEE due to common constituents such as lead &amp; beryllium, unless they are tested and demonstrated to fall below limits in Table 3;</li> </ul> |
| 3.5.23 | <p><b>Immediate Downstream-ProcessorProvider (IDP)</b></p> <p>A next-tier facility or operation to which the e-Stewards organization transfers (with or without Intermediaries involved) Hazardous Electronic Equipment, Hazardous e-Waste, or Problematic Components</p>  |

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|        | <p>and Materials in any form. It also includes a next-tier facility or operation to which the organization outsources activities it is responsible for under this Standard, e.g. reuse and data security requirements. An IDP can include End Refurbishers, Downstream <del>Processors</del><b>Providers, including</b> Final Disposal facilities, and End Processors, but does not include Intermediaries such as Brokers.</p>   |
| 3.5.25 | <p><b>Intermediary</b></p> <p>Any entity within the Recycling Chain which brokers, holds, buys, sells, transfers, stores, manages, or facilitates transactions of any <b>Electronic Equipment</b><del>waste</del> (including material derived from it) that passes through the organization's facility or Control, but does not Recycle. Intermediaries include, but are not limited to, Brokers, independent representatives, agents, logistics and cross-docking firms, and freight forwarders. The term Intermediary does not include Downstream<del>Processors</del><b>Providers</b>.</p>   |
| 3.5.29 | <p><b>Prison Operation</b></p> <p>Facilities that Recycle/Process Electronic Equipment in which work on <del>e-waste</del><b>Electronic Equipment</b> is performed by incarcerated workers, except in facilities where the e-Stewards program administrator agrees in writing that all of the following criteria are met:</p>   |
| 3.5.31 | <p><b>Qualified Auditor</b></p> <p>A second or third party auditor with the demonstrated competence to perform effective downstream Due Diligence audits or internal audits who is qualified on the basis of knowledge of risk assessments and e-Stewards requirements for Downstream <del>Processors</del><b>Providers</b> or e-Stewards management system requirements, as applicable, and who is free from conflicts of interest (e.g. auditor must not audit their own work). In addition, their qualifications shall include an effective combination of:</p>  |
| 3.5.33 | <p><b>Recycling Chain</b></p> <p>All entities, activities, and operations beginning with the initial e-Stewards organization and including any of its downstream vendors that manage, receive, transfer, store, Broker, Process, Repair/Refurbish, Recycle and/or dispose of Electronic Equipment that passes through an e-Stewards organization's facility or Control. The Recycling Chain includes, but is not limited to, all Ancillary Sites, Downstream <del>Processors</del><b>Providers (including Final Disposal facilities)</b>, End Refurbishers, Intermediaries (including Brokers), <del>and End Processors, and Final Disposal facilities</del> that manage any Electronic Equipment from the organization or under its Control.</p> |

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| 6.2.5   | <p><b>Planning for site closure</b></p> <p>d) Up-to-date written information identifying:</p> <ol style="list-style-type: none"> <li>1. Name of financial instrument required in 6.2.6, and names and current contact information for <b>independent</b> third party company holding financial instrument;</li> <li>2. Names &amp; current contact information for third party persons authorized to access the funds in the financial instrument; and</li> <li>3. Any additional information needed by authorities with jurisdiction to enable access to funds and implement site closure plan.</li> <li>4. <b>Assets (e.g. equipment, buildings, wholly owned by the organization) may be used as collateral to secure a financial instrument, and shall be legally designated for the intended site closure, even in the event of bankruptcy.</b></li> </ol>  |
| 6.2.6   | <p><b>Establishing financial surety to implement site closure plan</b></p> <p>The organization shall establish a financial instrument(s) sufficient to cover costs for the execution and completion of site cleanup and closure according to the site closure plan (6.2.5), even in the case of abandonment by or dissolution of the organization, including Final Disposition of Electronic Equipment and residuals that are in and outside the facility, Ancillary Sites, and in transport. The financial instrument(s) shall be held in the custody of a third party, <b>or corporate parent company</b>, that will provide access to funds in the case of abandonment by or dissolution of the organization; e.g. in escrow, or in insurance, or <b>a surety bond held by a third party, or an escrow account, or an irrevocable letter of credit, or an irrevocable trust,</b> or in a financial tool specified by law.</p>   |
| 7.4.3.1 | <p><b>External communication</b></p> <p><i>The organization shall externally communicate information relevant to the environmental management system, as established by the organization's communication process(es) and as required by its compliance obligations.</i></p> <p><b>Communication with upstream customers</b></p> <p>If requested by upstream customers (suppliers), including other e-Stewards organizations, the organization shall provide, or allow detailed review of, verifiable records of:</p> <ol style="list-style-type: none"> <li>a) The organization's HEWs and PCMs shipped to and received by approved facilities for Recycling, Repair/Refurbishment, and Final Disposal operations, through Final Disposition. Records shall include: <ol style="list-style-type: none"> <li>1. Address, country, and contact information for each Downstream <del>Processor</del><b>Provider (DP), including</b> <del>and</del> Final Disposal facility;</li> <li>2. Weights/quantities, contents, &amp; dates of each shipment to Immediate Downstream <del>Processors</del><b>Providers (IDPs); and</b></li> </ol> </li> </ol> |

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| 8.4.4 | <p>a) Safely separate and consolidate removed HEE and PCMs [8.4.1], and place in containers that:</p> <ol style="list-style-type: none"> <li>1. Protect human health &amp; the environment during storage, shipping, loading &amp; unloading of each material;</li> <li>2. Satisfy the packaging and shipping requirements of respective Downstream Processors Providers;</li> </ol>   |
| 8.5.6 | <p><b>Restrict outsourcing of data security</b></p> <p>If outsourcing any data security tasks, an organization shall retain responsibility for Customer Data and shall implement, operate, and maintain a documented system of controls that:</p> <p>b) Allows outsourcing only to Immediate Downstream Processors Providers (e.g. End Refurbishers); and</p>  |
| 8.6   | <p><b>Reuse and Refurbishment of Electronic Equipment</b></p> <p>The organization shall ensure that Electronic Equipment is donated, transferred, and/or sold for reuse, throughout Final Disposition, according to requirements in 8.6.1 through 8.6.6. <b>The organization shall retain responsibility for completion of these requirements prior to EE going into reuse, regardless of whether or not the organization outsources any of the associated activities to an End Refurbisher.</b></p>   |
| 8.6.1 | <p><b>Test Electronic Equipment and ensure Full Functionality &amp; data sanitization</b></p> <p>a)</p> <ol style="list-style-type: none"> <li>3. When a non-removable battery makes it impossible to assess the battery's state of health, utilize reputable third-party software to conduct a pass-fail battery test, only allowing batteries that pass with a 'good' rating to be sent into the reuse market;</li> <li>4. In equipment designed to include both removable and non-removable batteries, non-removable batteries that do not pass testing may remain in place, as long as full functionality can be achieved using the removable batteries. The existence of a non-removable, non-functioning battery shall be disclosed to buyer.</li> </ol> <p>b) Determine <b>and document</b> the state of health of each mobile phone battery destined for reuse (unless mobile phone is Repurposed to a use that does not require a battery), <del>ensuring that it is capable of holding a charge of at least 80% of its original rated capacity. This should be</del> <b>by</b> accomplished by the following:</p> <ol style="list-style-type: none"> <li>1. <b>[MOVED] Ensure that each battery is capable of holding a charge of at least 80% of its original rated capacity as follows:</b></li> </ol> |

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|        | <p>Recharge each battery (at least 30% recharged) and then perform a 'quick test' (e.g. with a quick sort analyzer set to a minimum threshold of 80% pass rate), if a reliable quick test is available for battery type; or</p> <p>Fully charge and discharge the battery to measure its current capacity; or</p> <p>2. When a non-removable battery makes it impossible to assess a battery's state of health, utilize reputable third-party software to conduct a pass-fail test, only allowing batteries that pass with a 'good' rating to be sent into the reuse market;</p>  |
| 8.6.2  | <p><b>Label or list identifying records for each item of Electronic Equipment</b></p> <p>The organization shall provide and retain identifying information for each item of Electronic Equipment (including components) destined for reuse, except for ink and toner cartridges, integrated circuits, and random access memory (RAM).</p>   |
| 8.6.6  | <p><b>Control outsourced reuse activities</b></p> <p>If outsourcing any reuse tasks (8.6), retain full responsibility for all outsourced tasks and establish, implement, and maintain a system of controls to ensure that the organization:</p> <p>a) Only transfers Electronic Equipment to End Refurbishers that are Immediate Downstream Processors Providers and they complete all applicable requirements in this section [8.6] and 8.9 (Downstream Accountability), except as allowed in the note below;</p>  |
| 8.6.6. | <p>d). To domestic End Refurbishers only (but not to Brokers), the organization may initially send limited untested or non-working Electronic Equipment (EE) for the purpose of repair/refurbishment, without having completed initial on-site audits [8.9.3.d)], if the organization:</p> <ol style="list-style-type: none"> <li>5. First completes a thorough 'administrative audit' of each End Refurbisher and completes all other requirements in 8.9.3 except for 8.9.3 d);</li> <li>6. First sanitizes all Customer Data from memory devices &amp; equipment according to requirements in 8.5;</li> <li>7. Completes an on-site audit in conformity with 8.9.3 for each End Refurbisher within 6 months after the initial transfer of EE to the End Refurbisher;</li> <li>8. Ensures that revenue generated from such EE is limited to a maximum of 30% of the organization's Annual revenues from total EE destined for reuse;</li> <li>9. Demonstrates with objective evidence that such End Refurbishers are <del>located and perform all reuse requirements domestically</del> domestic only; and</li> </ol> |

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|         | <p>10. Ensures that all HEWs and PCMs, including those generated from Repair/Refurbishment activities, are managed according to applicable requirements for HEWs and PCMs in this Standard.</p>   |
| 8.8.2.1 | <p><b>Control exports &amp; imports of materials allowed under certain conditions</b></p> <p>c) New parts and new devices purchased under repair, replacement, or money-back warranty are exempt from requirements in 8.8.1 <del>and</del> 8.8.2, and 8.9 if they:</p>  |
| 8.9.1   | <p><b>Establish and maintain a downstream disposition chart of all HEWs &amp; PCMs</b></p> <p>The organization shall create and maintain an up-to-date downstream disposition chart that documents approved Downstream Processors<del>Providers</del> (including End Refurbishers, End Processors, and Final Disposal facilities), and Brokers, and Final Disposal facilities managing all HEWs and PCMs that come through the organization's facility and Control, throughout each material's Recycling Chain. In addition, the chart shall include HEWs and PCMs going to alternative uses or processes (8.7.2) and HEWs residuals (e.g. hazardous slag, filter residues, and CRT Processing residuals), and document the following for each entry in the chart:</p> <p>a) Current company/entity name, contact information, address of physical location of Processing or Final Disposal facility (including country) and headquarters office (including country), and type of operation; and</p> <p>b) Identification of downstream certified e-Stewards organizations.</p> |
| 8.9.2   | <p><b>Conduct Due Diligence &amp; ensure responsible management of PCMs</b></p> <p>Prior to shipment, and Annually thereafter, verify and document that PCMs are only transferred to Downstream Processors<del>Providers</del> throughout Recycling Chain in accordance with 6.1.3 and 6.1.3.1 [Compliance], 8.4 (Responsible Management of EE), 8.6 (Reuse), 8.7 [Final Disposition], and 8.8 (Export).</p>  |
| 8.9.3   | <p><b>Conduct ongoing Due Diligence on IDPs &amp; ensure responsible management of HEWs by IDPs</b></p> <p>The organization shall ensure that HEWs are managed only by Immediate Downstream Processor<del>Provider</del> (IDP) facilities approved by the organization, with or without Intermediaries involved in transfers to IDPs, as follows:</p> <p>a) Retain ongoing records of all transfers of organization's HEWs to each IDP</p> <p>For all HEWs, including those under its Control, the organization shall maintain ongoing Shipping Records of all its outgoing shipments/sales/donations to each IDP and the corresponding acknowledgements of</p>   |

receiving and Processing/~~Final Disposition~~ of these same shipments from each IDP (End Processors may provide records Annually), including certified e-Stewards IDPs;

~~b) Ensure authorized transport companies are equipped to adequately respond to accidents~~

~~Determine that transport companies utilized to transfer HEW(s) to all IDPs:~~

- ~~1. Are fully authorized by regulatory agencies to transport the specific type of HEW(s);~~
- ~~2. Maintain effective accident response procedures adequate to protect human health, the environment, and security;~~
- ~~3. Have adequate financial guaranty to cover costs in the event of an accident;~~

c). Evaluate each IDP for each HEW

Prior to initial shipment, at least Annually, and whenever changes in IDPs or Brokers are made, evaluate (e.g. via an administrative audit) each IDP (including e-Stewards IDPs) and ensure it has the in-house technical capability and operational capacity (including controls) to further process and/or dispose of the organization's HEW(s).

In addition, ensure that non-e-Stewards IDPs:

1. Manage the HEW(s) in a manner that meets IDP's legal requirements. The organization shall determine if each IDP has had regulatory violations, fines, and/or related enforcement actions in the past 5 years, and consider these facts in choosing responsible Downstream Processors Providers;
2. Have valid and current business licenses, process and facility permits, control permits, and import permits, as applicable, to properly receive and manage the organization's materials;
3. Have adequate insurance and site closure plans, appropriate to the scope and scale of their operations and potential remediation costs;

d). Conduct on-site audits of each IDP, with some exceptions

Prior to initial shipment and at least every 2 years thereafter, perform on-site audits of each IDP ~~{see exception in third paragraph of e}~~ for HEW(s) using Qualified Auditors, unless the organization has objective evidence that IDP has a valid e-Stewards certification, **is a Final Disposal facility, meets requirements in 8.6.6.d)**, or is a licensed & permitted smelter located in an OECD country, in which cases no on-site audits are required. The organization's on-site audits shall verify that each IDP manages and transfers HEW(s) in a manner that meets the organization's obligations in the following sections in Standard:

1. Organization's stewardship policy [5.2];
2. Export, Transit, and Import Compliance Obligations [6.1.3.1];
3. Planning for responsible management of EE [6.2.3];
4. Planning for responsible downstream management of HEW(s) and PCMs [6.2.4];
5. Responsible management of EE [8.4];



6. Data security [8.5], if applicable;
7. Reuse [8.6], if applicable, including confirm that all reuse tasks conducted by the End Refurbisher(s) are effectively implemented and completed in-house, with no further outsourcing except as noted;
8. Final Disposition [8.7];
9. Export & Import Controls [8.8];
10. This subsection (8.9.3) and 8.9.4, and ensure each IDP controls its downstream & the Processing and Final Disposal of organization's HEWs throughout Recycling Chain. The organization shall ensure that each IDP achieves the following:
  - Implements and maintains an effective system of controls that restricts and documents downstream destinations of the organization's HEWs to Processing and Final Disposal facilities approved by the e-Stewards organization, throughout the Recycling Chain;
  - Ensures that when Intermediaries (such as Brokers) are used, the IDP restricts the transfer of HEWs only to Downstream Processors Providers (DPs), including and Final Disposal facilities, approved by the e-Stewards organization;
  - Creates and enforces written agreements with their Downstream Processors Providers, except with Final Disposal facilities, requiring that each DP in the Recycling Chain restricts & documents downstream destinations of HEWs to facilities approved by the e-Stewards organization in conformity with 8.9.4;
  - Provides organization with access to records required in 8.9.4 b) & c) throughout Recycling Chain;
11. Ensure that each IDP, except Final Disposal facilities, has a documented environmental, health and safety management system (EHSMS) and effectively implements environmental, health & safety procedures, controls, and monitoring to prevent exposure and releases to toxics such as lead, mercury, and cadmium. The organization shall verify that each IDP either:
  - Has a current certified EHSMS from a certification body accredited to certify to such, or
  - Fully implements, Annually reviews, and updates as needed a documented environmental health & safety management system for: identifying and complying with legal requirements; identifying and effectively responding to environmental, health, and safety risks; and continually evaluating and improving that system and reducing the negative EH&S impacts of their operations accordingly;

e). Approve each qualified IDP for each HEW

Prior to initial shipment, whenever IDPs change, and Annually, the organization shall first complete applicable requirements in 8.9.3 a) – d), then approve (or reapprove) each qualified IDP and document the decision.

An organization shall ensure that Electronic Equipment under their Control is not processed by any Downstream Processor **Provider**, anywhere in the Recycling Chain, that has lost its e-Stewards certification due to a Critical Nonconformity, unless or until the processor is re-certified.

~~To domestic End Refurbishers only (but not to Brokers), the organization may initially send untested or non-working EE for the purpose of repair/refurbishment, without having completed initial on-facility audits, if the organization meets all other requirements for IDPs in 8.9, and:~~

- ~~1. First completes a thorough 'administrative audit' of each End Refurbisher confirming their conformity to requirements in 8.9.3;~~
- ~~2. Sanitizes all Customer Data from memory devices in conformity with 8.5 prior to sending to such an End Refurbisher;~~
- ~~3. Completes an on-site facility audit in conformity with 8.9.3 for each End Refurbisher within 6 months after initial transfer of EE to domestic End Refurbisher;~~
- ~~4. Ensures that revenue generated from such EE is limited to a maximum of 30% of organization's Annual revenues from total EE destined for reuse;~~
- ~~5. Demonstrates with objective evidence that such End Refurbishers are located and perform all reuse requirements domestically;~~
- ~~6. Ensures that all HEE, HEWs, and PCMs resulting from the End Refurbisher's operation(s) are managed according to the Standard; and~~

f). Maintain and retain written agreements with IDPs, **except Final Disposal facilities**

Prior to transferring ongoing shipments of HEWs to an IDP, the organization shall create, enforce (on an ongoing basis), and review at least every 3 years a written agreement with each approved IDP, unless the organization has objective evidence that the IDP has a current and valid e-Stewards certification **or is a Final Disposal facility for the HEW material(s)**, requiring each IDP to:

1. Restrict and control the organization's HEWs in accordance with 8.9.3 and 8.9.4;
2. Provide records required in 8.9.3 a) - d) to the organization; and
3. Notify the organization immediately (within 15 business days) if:
  - Any of the IDP's Downstream Processors **Providers**, Brokers, or Final Disposal facilities change; and/or
  - IDP is out of conformity with the written agreement.

If the IDP is an End Processor, such as a smelter or mercury retort operation, the organization may alternatively obtain and retain objective evidence of the End Processor's current and valid IAF-member accredited certifications to ISO 14001 and OHSAS 18001 (ISO 45001, when available). In this case, the organization shall advise the End Processor of the organization's requirements in 8.7 (Final Disposition) & document End Processor's acknowledgement of these.

8.9.4

**Conduct ongoing Due Diligence to ensure responsible management of HEWs beyond IDPs, throughout Recycling Chain**

The organization's system of controls shall extend to the entire Recycling Chain for each HEW and ensure that each IDP effectively restricts and documents downstream destinations for the organization's HEWs (including residuals) according to requirements in this subsection [8.9.4]. Prior to initial shipments to each IDP, at least Annually, and whenever there are changes in IDPs or their Downstream Processors Providers and Brokers, and Final Disposal facilities, the organization shall conduct the following Due Diligence, except where a Downstream Processor Provider has a valid e-Stewards certification:

a). Evaluate and approve each Downstream Processor Provider (including Final Disposal facility), and Broker beyond each IDP

The organization shall evaluate, approve, and document the approval of each of these entities beyond IDPs throughout Recycling Chain, ensuring HEWs and HEW residuals are only sent to and Processed/disposed by Downstream Processors Providers and disposed of by Final Disposal facilities, with or without Intermediaries involved in transferring them, in conformity with:

1. Organization's stewardship policy [5.2];
2. Export, Transit, and Import Compliance Obligations [6.1.3.1];
3. Responsible management of EE [8.4];
4. Final Disposition [8.7];
5. Export & Import Controls [8.8];
6. The following downstream accountability (8.9) requirements, ensuring each Downstream Processor Provider (DP):
  - Implements and maintains an effective system of controls that restricts and documents downstream destinations of the organization's HEWs to Processing and Final Disposal facilities approved by the organization, throughout the Recycling Chain;
  - Establishes written agreements (e.g. scope of work agreements, memorandums of understanding, or buy/sell agreements) containing e-Stewards restrictions or alternative control systems with their Downstream Processors Providers, except Final Disposal facilities, requiring that each Downstream Processor Provider in the Recycling Chain restricts and documents downstream destinations of HEWs to facilities approved by the organization in conformity with 8.9.4;
  - Ensures that when Intermediaries (such as Brokers) are used, they restrict the transfer of HEWs only to Downstream Processor Provider(s) and Final Disposal facilities approved by the organization;
  - Provides organization with access to records required in 8.9.4 b) & c) throughout Recycling Chain;

b). Verify ongoing business relationships downstream of IDPs, to Final Disposition of each HEW

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|       | <p>The organization shall confirm with objective evidence ongoing business relationships between each IDP &amp; their Downstream <del>Processors</del> <b>Providers</b> (DPs), as well as between these DPs and all additional DPs throughout the Recycling Chain, including:</p> <ol style="list-style-type: none"> <li>1. Verify that written agreements or alternative control systems are in place, maintained, and enforced between each facility throughout the Recycling Chain to restrict HEWs and HEW residuals in conformity with the organization's e-Stewards obligations in 8.9.4 a);</li> <li>2. For each HEW and HEW residuals, obtain and document the following (via IDPs or DPs): company name, current contact information, facility and office address (physical location, including country), and type of operation for each Downstream <del>Processor</del> <b>Provider</b>, <b>including</b> Final Disposal facility(s), <b>and</b> Brokers involved;</li> </ol> <p>a) Confirm ongoing materials flow and records between IDP and each Downstream <del>Processor</del> <b>Provider</b> in Recycling Chain</p> <p>The organization shall:</p> <ol style="list-style-type: none"> <li>1. Identify and document all process outputs that contain the organization's HEWs from each facility in the Recycling Chain, and track and restrict these to Final Disposition in accordance with this Standard;</li> <li>2. Create, maintain, and implement a written procedure for reviewing and documenting an Annual random sampling of Shipping Records of HEW shipments between each vendor in the Recycling Chain, including: <ul style="list-style-type: none"> <li>➤ Annually obtain copies (or visually inspect and create a detailed written report) of a sampling of a minimum of three randomly chosen months of outgoing Shipping Records from each Downstream <del>Processor</del> <b>Provider</b> for each HEW throughout the Recycling Chain, and</li> <li>➤ Compare these records with corresponding acknowledgements of receipt from next tier vendors, to ensure that shipments of HEWs have been transferred to and received by approved facilities in conformity with 8.9.4 a), including when Brokers are involved; and</li> </ul> </li> </ol> |
| 9.1.5 | <p><b>Facility Inspections</b></p> <p>The organization shall establish and maintain a regular schedule of documented facility environmental, health and safety inspections in order to ensure that:</p> <ol style="list-style-type: none"> <li>a) Operational <b>and housekeeping</b> controls <del>and housekeeping procedures</del> are effectively implemented on an ongoing basis; and</li> </ol>  |

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| 9.1.6    | <p><b>Additional Industrial Hygiene monitoring for organizations using Potentially Hazardous Processing Technologies (PHPTs)</b></p> <p>An organization using one or more Potentially Hazardous Processing Technology (PHPT) shall expand their Industrial Hygiene (IH) program (8.3) to meet the following additional monitoring requirements, on an ongoing basis:</p> <p>a). Conduct additional initial IH monitoring</p> <p>Conduct and document IH monitoring <del>twice</del><b>once</b> in the <del>first</del> year <b>prior to initial e-Stewards Stage 1 audit</b> <del>at least four months apart</del>:</p>  |
| 9.1.7    | <p><b>Track Electronic Equipment</b></p> <p><b>3.</b> Link the tracking system with Shipping Records to Downstream <del>Processors</del><b>Providers</b> and reuse destinations</p>  |
| 9.1.8    | <p><b>Report to e-Stewards database</b></p> <p>Prior to initial certification, and by January 31<sup>st</sup> of every subsequent year, the organization shall provide the following data for each calendar year (January 1 – December 31) to the e-Stewards program administrator <b>for all facilities within each country</b>. For the initial certification only, the organization may provide less than a full year of data. In this case, data must be provided for the period of time from when the organization contracted for initial certification and when they accomplished their Stage One audit, and must include at least three consecutive months of data.</p> <p>The data shall be in English language using the electronic form provided and submitted at <a href="http://e-stewards.org/learn-more/for-recyclers/forms/e-stewards-recyclers-annual-database-report/">http://e-stewards.org/learn-more/for-recyclers/forms/e-stewards-recyclers-annual-database-report/</a> regarding all Electronic Equipment entering its facility(s) and/or under its Control (including associated Ancillary Sites):</p> <p>a). Address (including country) for <b>each Processing facility</b> <del>primary location(s)</del>, and a description of the site(s);</p> <p>c) Description of all Processes taking place at each facility, such as:</p> <ol style="list-style-type: none"> <li>1. De-manufacturing of <b>Electronic Equipment</b> <del>e-waste</del> for Materials Recovery and/or Final Disposal, in one of more of the following categories:</li> </ol> <p>e). A current copy of the site closure plan (6.2.5) <b>for each Processing facility</b>.</p> |
| A 8.7.1. | Materials Recovery & Final Disposition requirements for HEE & PCMs   |

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| <p>12. Halogenated<br/>Materials</p>   | <p>Never incinerate (including waste-to-energy incineration)</p> |
| <p>12.(NEW NUMBERS THROUGHOUT<br/>REMAINDER OF Table) Inks and<br/>toners, including liquid, pasty, and<br/>powder forms</p> |  |

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| <p style="text-align: center;"><b>APPENDIX B:<br/>ADMINISTRATIVE<br/>REQUIREMENTS FOR<br/>e-STEWARDS<br/>ORGANIZATIONS</b></p>                      | <p>g). Certification, Licensing, and Use of Logo all</p> <p>When the CB has concluded and confirmed that all certification requirements are met, they must notify the e-Stewards program administrator, who will then enter into an annual license agreement with the organization. Only after a license agreement is executed can an e-Stewards certificate be issued by the CB. Annual fees for Marketing and License Agreement and Performance Verification program apply.</p> <p>When a certification body suspends an organization's certificate, the e-Stewards program administrator will automatically suspend the licensing agreement. The licensing agreement will be restored when the certificate is reinstated, or terminated if the certificate is withdrawn.</p> <p>The CB is required to withhold, or withdraw or suspend, as appropriate, a certificate to an organization if the e-Stewards program administrator has issued a Critical Non-conformity to that organization, unless and until the program administrator has cleared the Critical Non-conformity, in writing to the CB.</p>  |
| <p style="text-align: center;"><b>APPENDIX C:<br/>REQUIREMENTS FOR<br/>e-STEWARDS<br/>CERTIFICATION BODIES<br/>AND ACCREDITATION<br/>BODIES</b></p> | <p>a). Accreditation of Certification Bodies</p> <p>Interested CBs shall first submit a pre-application to the e-Stewards program administrator and be pre-approved in accordance with e-Stewards CB pre-approval criteria before the application to any qualified e-Stewards Accreditation Body is made. An application fee shall apply.</p> <p>Only CBs that have been accredited under the ANAB e-Stewards program to Accreditation Rule #33 or another accreditation program approved by the e-Stewards program administrator are eligible to participate in the e-Stewards certification program.</p> <p>Candidate e-Stewards CBs shall initially deem an e-Stewards Version 3-series program manager, an e-Stewards certification decision maker, a designated technical review person, and at least two e-Stewards lead auditors competent, as defined by the CB and requirements in j) <del>for auditors</del> below, prior to accreditation. The same person may perform some of the non-auditor roles, as long as there is no conflict of interest. Candidate e-Stewards CBs and their e-Stewards audit team members shall be familiar with the Basel Convention, especially Annexes I, II, III, IV and V (<a href="http://www.basel.int">www.basel.int</a>).</p> |
| <p><b>Appendix C Continued</b></p>  | <p>c). Client Applications to CBs for e-Stewards Certification and Scope of Certification</p> <p>10. Description of exportation of Hazardous Electronic Waste and Problematic Components &amp; Materials, directly or indirectly (e.g. through Downstream <del>Processors</del> Providers or Intermediaries), including Electronic Equipment going for repair, reuse, Recycling, and Final Disposal</p>   |

## Appendix C Continued

### j). Competence, Qualifications, and Ongoing Training and Qualifications of e-Stewards CB Auditors and AB Assessors Personnel

On an ongoing basis, e-Stewards CB auditor team members shall have the following competence and qualifications:

- ▶ Be certified ISO 14001:2015 lead auditors with at least one year experience in auditing to 14001;
- ▶ Participate in refresher/retraining courses at least once every three years;
- ▶ Participate in and pass mandatory:
  - Initial e-Stewards Lead Auditor training, and
  - e-Stewards upgrade auditor training, following publication of a full revision of the e-Stewards Standard;
- ▶ Have demonstrated competency in accordance with ISO/IEC 17021 in electrical and electronic equipment and recycling industries;
- ▶ Be familiar with the Basel Convention, especially Annexes I, II, III, IV, and V.

The e-Stewards CB program managers, technical review personnel, and e-Stewards certification decision maker shall:

- ▶ Participate in refresher/retraining courses at least once every three years;
- ▶ Participate in and pass mandatory trainings:
  - Initial e-Stewards Lead Auditor training, and
  - e-Stewards upgrade auditor training provided by the e-Steward program following publication of a full revision of the e-Stewards Standard;
- ▶ Possess and apply knowledge of the current version of the e-Stewards® program requirements, the current and revised e-Stewards Standards and Sanctioned Interpretations, the environmental management system requirements of ISO 14001:2015, and recycling and electronics recycling in particular; and
- ▶ Possess and apply the skills necessary to provide effective management of the CB's program and discuss at a technical level any questions the CB's clients might have specific to this program.

AB assessors shall participate in and pass mandatory:

- ▶ Initial e-Stewards Lead Auditor training, and
- ▶ e-Stewards upgrade auditor training provided by the e-Steward program following publication of a full revision of the e-Stewards Standard.

The e-Stewards CB and AB program managers and auditors/assessors shall participate in refresher/retraining courses at least once every three years. Additionally, when new versions (e.g. 4.0 series, 5.0 series) of the e-Stewards Standard are released, an upgrade training approved by the e-



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|  | Steward program administrator shall be required prior to auditors auditing or assessing to the new version of the Standard. |
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| <p><b>Appendix C Continued</b></p> | <p style="text-align: center;"><b>CB Reporting Changes in Status of their Own Accreditations</b></p>  |
|                                    | <ul style="list-style-type: none"> <li>• The CB has had its accreditation suspended or withdrawn by an approved AB for nonconformity with e-Stewards requirements, ISO 14001, or nonconformity to any industry specific standard (e.g. TL 9000, AS9001).</li> </ul> <p>AB reporting requirements<br/>Accreditation Bodies shall report the following to e-Stewards program administrator, <del>on a monthly basis</del> in the time frames indicated:</p> <p style="text-align: center;"><b>AB Monthly Reporting</b></p> <p>The schedule for any of the following events planned in the upcoming 90 days:</p> <ul style="list-style-type: none"> <li>• Any applicant CB audits,</li> <li>• Current e-Stewards CB office visits,</li> <li>• Current CB witnessed field audits, including dates, locations, and CBs to be witnessed;</li> <li>• Completed CB upgraded accreditation to latest new version of the e-Stewards Standard.</li> </ul> <p style="text-align: center;"><b>AB Reporting within 1 Business Day</b></p> <ul style="list-style-type: none"> <li>• Notification of any e-Stewards CB that has had its accreditation suspended or withdrawn for nonconformity with e-Stewards requirements, ISO 14001, or nonconformity to any industry specific standard (e.g. TL 9000, AS9001).</li> </ul> |

**APPENDIX D:**  
**e-STEWARDS**  
**SANCTIONED**  
**INTERPRETATIONS**  
**Citation Reference**  
**Date: XX/XX/2018**

- Acronyms and Abbreviations Used in the Standard  
Table 2 (found on page 4)
- 3.5.10
- 3.5.13
- 3.5.14
- 3.5.18
- 3.5.21
- 3.5.23
- 3.5.25
- 3.5.29
- 3.5.31
- 3.5.33
- 6.2.5
- 6.2.6
- 7.4.3.1
- 8.4.4
- 8.5.6
- 8.6
- 8.6.1
- 8.6.2
- 8.6.6 a)
- 8.6.6 d)
- 8.8.2.1 c)
- 8.9.1
- 8.9.2
- 8.9.3
- 8.9.4
- 9.1.5
- 9.1.6
- 9.1.7
- 9.1.8
- 9.1.8 a)
- 9.1.8 c)

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|  | <ul style="list-style-type: none"><li>• 9.1.8 e)</li><li>• A 8.7.1</li><li>• Appendix B g)</li><li>• Appendix C a)</li><li>• Appendix C c)</li><li>• Appendix C j)</li><li>• Appendix C CB Reporting Changes in Status of their Own Accreditations</li><li>• Appendix C AB Monthly Reporting</li></ul> |
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END