**Back Thru The Future Downstream Vendor Questionnaire**

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| **Vendor Company Information** | | | | | | |
| Company Name | |  | | | | |
| Facility Address | |  | | | | |
| Mailing Address  (if different from above) | |  | | | | |
| Contact Name | |  | | email | |  |
| Main Phone | |  | | Fax | |  |
| Website Address | |  | | | | |  | Fax |  |
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| **COMPANY HISTORY** | | | | | | |
| Current Owner |  | | Size of facility (sq. ft.) | |  | |
| Hours of Operation |  | |  | | | |
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| **MATERIAL PROCESSING** | | | | | | |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | |  | Raw Metals - Metals |  |  | CRT – Television Equipment (CRT glass) | |  | PCBs - Equipment w/ PCB |  |  | Mercury Devices (CFLs, LCD displays, etc.) | |  | Circuit Boards – Equipment with Circuit Boards |  |  | Batteries – (Ni, Lithium, Lead Acid, etc.) | |  | Reselling – PC/ Laptops |  |  | Recycling Ink/Toner | |  | Reselling – LCD |  |  | Other: | |  | Reselling – RAM |  |  | Other: | |  | Reselling – Ink/Toner |  |  | Other: | | | | | | | |
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| **PERMITS, LICENSES AND CERTIFICATIONS** –Please provide all applicable as an attachment with your response |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Business License Permits – REQUIRED** |  | **Included** |  | **N/A**  **(must explain)** | | **List of all DSV receiving PCBs, batteries, circuit boards, CRT glass, equipment containing mercury (including all types of fluorescent lights) – REQUIRED** |  | **Included** |  | **N/A**  **(must explain)** | | Environmental Permits |  | Included |  | N/A | | Waste Permits |  | Included |  | N/A | | Air Emission Permits |  | Included |  | N/A | | Water Permits |  | Included |  | N/A | | Export Permits |  | Included |  | N/A | | ISO Certificate 9001 |  | Included |  | N/A | | ISO Certificate 14001 |  | Included |  | N/A | | ISO Certificate 45001 |  | Included |  | N/A | | Other ISO Certificate(s) - Specify: |  | Included |  | N/A | | e-Stewards Certificate |  | Included |  | N/A | | **R2 Certificate – REQUIRED if Certified** |  | **Included** |  | **N/A** | | RIOS Certificate |  | Included |  | N/A | | OHSAS 18001 Certificate |  | Included |  | N/A | | NAID Certification |  | Included |  | N/A | | Environmental Policy |  | Included |  | N/A | | Health and Safety Policy |  | Included |  | N/A | |

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| **QUALITY MANAGEMENT** |
| **If the company is NOT ISO 9001 certified, this area must be completed**   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Are controls exercised over the approval and revision of documents? (e.g. procedures, forms, drawings, specifications) |  | Yes |  | No | | Are controls exercised over the filing, maintenance, and destruction of records? |  | Yes |  | No | | Is regular backup, restore verification, anti-virus, and other relevant maintenance of your computers/servers/networks conducted? |  | Yes |  | No | | Are responsibilities, authorities, qualifications, skills, and organizational relationships defined for quality-related positions? (e.g. job specs, org chart) |  | Yes |  | No | | Is employee competence regularly evaluated? |  | Yes |  | No | | Is training provided as required to ensure employee competence and quality awareness? |  | Yes |  | No | | Are customer requirements reviewed and determined prior to submission of a quotation or acceptance of an order? |  | Yes |  | No | | Are customer communication interfaces and methods defined? (e.g. inquiries, orders/amendments, feedback/complaints) |  | Yes |  | No | | Do purchase orders to suppliers clearly specify all relevant product and/or service requirements? |  | Yes |  | No | | Are prospective suppliers audited or otherwise evaluated prior to product and/or service procurement? |  | Yes |  | No | | Are purchased products or services verified prior to use? (e.g. source inspection, receiving inspection, C of Cs) |  | Yes |  | No | | Are relevant product or service requirements/information available to production, service, and QA/QC staff? (e.g. drawings, specifications, acceptance criteria) |  | Yes |  | No | | Is suitable process and monitoring/measuring equipment available to staff and regularly maintained? |  | Yes |  | No | | Is appropriate inspection and/or testing conducted during product or service realization, and prior to product or service release? |  | Yes |  | No | | Is suitable product/service identification and status identified throughout all stages of realization? (e.g. tagging, labeling) |  | Yes |  | No | | Is customer-supplied property identified, verified, and safeguarded while under the company’s control? |  | Yes |  | No | | Is the customer advised of damage, deterioration, or loss of their property while under the company’s control? |  | Yes |  | No | | Is product adequately packaged to prevent its damage or deterioration while in-house or in-transit? |  | Yes |  | No | | Is calibration or other verification of monitoring/measuring equipment conducted prior to use and at defined intervals thereafter? |  | Yes |  | No | | Are calibration results traceable to the NIST or other national or international measurement standards? |  | Yes |  | No | | Are periodic internal quality audits conducted by trained auditors to ensure ongoing compliance and effectiveness of the Quality System? |  | Yes |  | No | | Are nonconforming products or services controlled to prevent their unintended delivery or use? |  | Yes |  | No | | Is customer approval obtained for use concession of nonconforming products or services, if required by contract? |  | Yes |  | No | | Are nonconforming products or services that undergo rework subjected to re-verification prior to delivery or use? |  | Yes |  | No | | Are Corrective/Preventive Actions initiated to eliminate the causes of product, service, or process nonconformities? |  | Yes |  | No | | Does the Corrective/Preventive Action process entail problem investigation, analysis, and identification of root cause? |  | Yes |  | No | | Is Corrective Action effectiveness verified to ensure that problem recurrence has been eliminated? |  | Yes |  | No | | Is a documented Quality Manual and/or procedures describing the above aspects maintained? |  | Yes |  | No |   Notes on items listed above: |

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| **ENVIRONMENTAL MANAGEMENT** |
| **If the company is NOT ISO 14001 certified, this area must be completed**   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Does the company have a commitment to the prevention of pollution? |  | Yes |  | No | | Does the company have a commitment to continual improvement? |  | Yes |  | No | | Have there been any regulatory violations, fines, citations, corrective actions or remediation against the company? |  | Yes (incl. explanation) |  | No | | Does the company have documented procedures for processing, handling and storage of universal waste that complies with all applicable regulations (federal, state, county, city and industry)? |  | Yes |  | No | | Does the reselling company have a process for the proper handling of unsold/returned material? |  | Yes |  | No | |

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| **HEALTH AND SAFETY** |
| **If the company is NOT ISO 45001 certified, this area must be completed**   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Does the company have health and safety policy? |  | Yes |  | No | | Does the company regularly review health and safety policies and procedures for adequacy? |  |  |  |  | | Have there been any regulatory safety violations, fines, citations, corrective actions or remediation against the company? |  | Yes  (incl. explanation) |  | No | | Does the company conduct on an ongoing basis a hazards identification and assessment of occupational health and safety that exist or could reasonably be expected to develop at the facility? |  | Yes |  | No | | Does the company maintain records of managing the health and safety hazards through corrective action? |  | Yes |  | No | | Does the reselling company maintain records of injuries and accidents at their facility? |  | Yes |  | No | | Does the company have evidence demonstrating it has minimized safety risks? |  | Yes |  | No | | Are occurrences of emergency events, reported to the required authorities? |  | Yes |  | No | | Does the company have a commitment to continual improvements to health and safety? |  | Yes |  | No | |

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| **By signing below, the person signing agrees that they have completed this form truthfully and to the best of their knowledge. They also acknowledge that Back Thru The Future may conduct random checks on shipments, including, but not limited to: GPS Trackers, Mass Balances and accompanying BOLs, etc.** | | |
| **Form Completed By: (Name and Title)** | **Signature:** | **Date:** |