Supplier's Check Sheet for Management System of Chemical Substances in Products

Revised on October 01.2018.

■Company Information

<Suppliers Entries>		<Requesting Department's Entries of OKI Group>	
Company name		Company Code	
company Address		Name of deliverables (Target product group)	
Name of deliverables (Target product group)		Contact department	
Department name		Contact department person in charge	
Person in charge of management (title)		Contact telephone No.	
Contact telephone No.		Contact Email address	
Fax No.		Name of requesting department (Name of person in charge)	
Email address of person in charge of management		Requesting department Email address	

Certificate name		Certified year and month*	Name of certified organization	Certificate No.	Expiration date
ISO9001					
ISO14001					
Other official certificates					

* Certified year and month: if not certified, enter the schedule or plans (if any).

Date implemented	Year	Month	Day	to	Day
Type of audits (Please choose one)					

■ Person performing self-check (or Audit observer in OKI Group)

Department name	Name

■ Person performing OKI Group's audit

Department name	Name

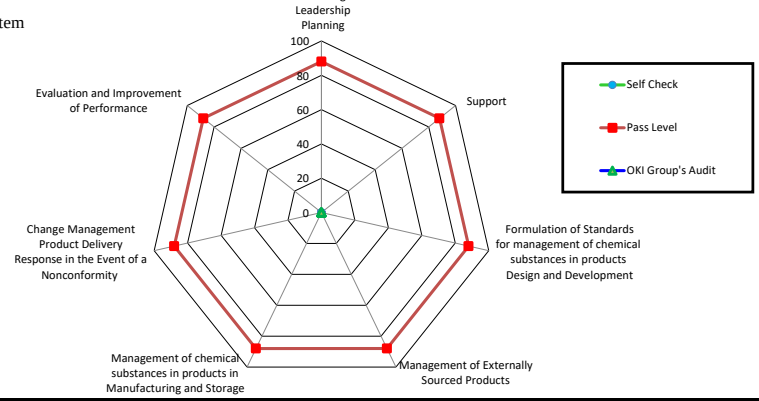
Comments for audit results (Describe advantages and disadvantages in reference to the achievement rate by audit item.)	
Comments for self-check	Comments for OKI Group audit

Context of the Organization

Total evaluation (Please choose one.)	

Pass	The evaluation of basic items should be 88 points or more, and there should be no non-conformity item in evolution of significant items. If any response to REACH regulations is required, the evaluation of items corresponding to REACH should be 88 points or more. There should be corrective actions for items of non-conformity.
Quasi-pass	The evaluation of basic items should be between 60 points and 87points, and there should be no non-conformity item in evolution of significant items. If any response to REACH regulations is required, the evaluation of items corresponding to REACH should be 60 points or more. There should be corrective actions for items of non-conformity.
Fail	The evaluation of basic items is less than 60 points, or there are one or more non-conformity items in evolution of significant items. If any response to REACH regulations is required, the evaluation of items corresponding to REACH is less than 60 points.

■ Evaluation Results in Each Audit Item



Note 1 Significant Items: Indicate significant required items in the basic required items of the Management System of Chemical Substances in Products.
Note2 Indicate items effective for the determination of conformity to REACH regulations.
Note3 Items of risk evaluation: Indicate items effective for risk avoidance for containing of banned chemical substances.
Note4 Indicate items effective for the evaluation of conformity to Industrial Safety and Health Act.

Results of supplier's self-check (Results on the check sheet will be automatically calculated.)					
Audit items	Basic items	Significant items Note1	REACH Corresponding items Note2	Risks Evaluation items Note3	Note 4 Industrial Safety and Health Act evaluation items
Total Count of Judgment	0	0	0	0	0
5.1 Context of the Organization 5.2 Leadership 5.3 Planning	0	0	—	0	0
5.1.3 Determination of scope of management of chemical substances in products	0	0		0	0
5.2.2 Policy	0				
5.2.3 Organization Roles, Responsibilities and Authorities	0				
5.3.2 Targets and Planning of Actions for Their Achievement	0				
5.4 Support	0	0	—	0	0
5.4.2 Competence	0				
5.4.4 Communication	0	0		0	0
5.4.5 Documented Information	0				
5.5 Operation	0	0	0	0	0
5.5.2 Formulation of Standards for management of chemical substances in products 5.5.3 Management of chemical substances in products in Design and Development	0	0	0	0	0
5.5.2 Formulation of Standards for management of chemical substances in products	0	0			
5.5.3 Management of chemical substances in products in Design and Development	0	0	0	0	0
5.5.4 Management of Externally Sourced Products	0	0	—	0	0
5.5.4.1 Acquisition and Confirmation of Information on Chemical Substances in Products	0	0			0
5.5.4.2 Confirmation of Management Conditions of chemical substances in products at Providers.	0	0		0	
5.5.4.3 Management of chemical substances in products at Acceptance.	0	0		0	0
5.5.4.4 Confirmation of Management Conditions of chemical substances in products at Outsourcing Companies.	0	0			0
5.5.5 Management of chemical substances in products in Manufacturing and Storage	0	0	0	0	0
5.5.5.1 Management in the Manufacturing Process	0	0	0	0	0
5.5.5.2 Prevention of improper use and pollution	0	0	0		
5.5.5.3 Identification and Traceability	0				
5.5.6 Change Management 5.5.7 Product Delivery 5.5.8 Response in the Event of a Nonconformity	0	0	—	0	0
5.5.6 Change Management	0	0			
5.5.7 Product Delivery	0			0	0
5.5.8 Response in the Event of a Nonconformity	0	0			
5.6. Evaluation and Improvement of Performance	0	—	—	—	—
5.6. Evaluation and Improvement of Performance	0				

Results of OKI Group's audit (Results on the check sheet will be automatically calculated.)					
Audit items	Basic items	Significant items Note1	REACH Corresponding items Note2	Risks Evaluation items Note3	Note 4 Industrial Safety and Health Act evaluation items
Total Count of Judgment	0	0	0	0	0
5.1 Context of the Organization 5.2 Leadership 5.3 Planning	0	0	—	0	0
5.1.3 Determination of scope of management of chemical substances in products	0	0		0	0
5.2.2 Policy	0				
5.2.3 Organization Roles, Responsibilities and Authorities	0				
5.3.2 Targets and Planning of Actions for Their Achievement	0				
5.4 Support	0	0	—	0	0
5.4.2 Competence	0				
5.4.4 Communication	0	0		0	0
5.4.5 Documented Information	0				
5.5 Operation	0	0	0	0	0
5.5.2 Formulation of Standards for management of chemical substances in products 5.5.3 Management of chemical substances in products in Design and Development	0	0	0	0	0
5.5.2 Formulation of Standards for management of chemical substances in products	0	0			
5.5.3 Management of chemical substances in products in Design and Development	0	0	0	0	0
5.5.4 Management of Externally Sourced Products	0	0	—	0	0
5.5.4.1 Acquisition and Confirmation of Information on Chemical Substances in Products	0	0			0
5.5.4.2 Confirmation of Management Conditions of chemical substances in products at Providers.	0	0		0	
5.5.4.3 Management of chemical substances in products at Acceptance.	0	0		0	0
5.5.4.4 Confirmation of Management Conditions of chemical substances in products at Outsourcing Companies.	0	0			0
5.5.5 Management of chemical substances in products in Manufacturing and Storage	0	0	0	0	0
5.5.5.1 Management in the Manufacturing Process	0	0	0	0	0
5.5.5.2 Prevention of improper use and pollution	0	0	0		
5.5.5.3 Identification and Traceability	0				
5.5.6 Change Management 5.5.7 Product Delivery 5.5.8 Response in the Event of a Nonconformity	0	0	—	0	0
5.5.6 Change Management	0	0			
5.5.7 Product Delivery	0			0	0
5.5.8 Response in the Event of a Nonconformity	0	0			
5.6. Evaluation and Improvement of Performance	0	—	—	—	—
5.6. Evaluation and Improvement of Performance	0				

Check items	Contents for checks	Response	
Retention of XRF and ICP, etc.	Retention of devices that can measure banned substances (Choose any of Yes/No, or To be purchased)		(Describe a device name for Yes, or scheduled year and month for To be purchased):
Mixed production of RoHS products/ Non-RoHS products (Choose Yes/No of Mixed Production, or Not Checked)	No Mixed Production in All Plants.		
	Mixed Production in Some Plants.		
	Not Checked		
If banned substances are used, describe the name of the substances, use, and purpose:			

Procedure for audit

1. Evaluate audit items by category, and enter "1" in an appropriate option of "Conformity, Quasi-conformity, Non-conformity, and NA".
2. The evaluation for conformity or non-conformity is determined below in reference to audit points.
   - Conformity: Case where appropriate rules (systems) to satisfy audit contents are established and operation (efforts) is performed based on the rules
   - Quasi-conformity: Case where appropriate rules (systems) are established, but operation (efforts) is insufficient, or case where operation is performed, but rules are inadequate or incomplete.
   - Non-Conformity: Case where rules are established, but operation based on the rules is not performed, case where operation is performed, but rules are not established.
     Or both rules and operation are inadequate, incomplete, and insufficient.
     For the evaluation of non-conformity, make sure to enter problems in the comment field.
   -For items to be skipped due to NA, make sure to enter reasons in the comment field.
3. Except for NA items, evaluation points are automatically collected and calculated out of 100 points for each audit category.
4. Based on the point rating (Total Count of Judgment), determine Conformity, Quasi-conformity, or Non-conformity, and fill in the total evaluation field.

Judgment Standard			Evaluation Points
	Rules	Operation	
Conformity	○	○	3
Quasi-conformity	○	△	2
	△	○	
Non-conformity	○	×	0
	×	○	
	△	△	
	△	×	
	×	△	
	×	×	
NA	—	—	—

○ : Implementation items are satisfied.
△ : There are incomplete points in a part of implementation items.
× : Implementation items are not satisfied.

Note1 Significant Items (●): Indicate significant required items in the basic required items of the management of chemical substances in products.
Note2 Indicate items effective for the determination of conformity to REACH regulations.
Note3 Items of risk evaluation (*): Indicate items effective for risk avoidance for containing of banned chemical substances.
Note4 Indicate items effective for the evaluation of conformity to Industrial Safety and Health Act.

Audit Items and Audit Contents

Audit items	Audit Contents		Evaluation objective: Basic Item	Evaluation objective: RoHS Applicable Item	Evaluation objective: Significant Note1 Item	REACH Note2 Corresponding Item	Risk Note3 Evaluation Item	Note 4 Industrial Safety and Health Act evaluation items	Self Check: Evaluation: Conformity	Self Check: Evaluation: Quasi-conformity	Self Check: Evaluation: Non-conformity	Self Check: Evaluation: NA	Self-check comments	OKI Group's Audit: Evaluation: Conformity	OKI Group's Audit: Evaluation: Quasi-conformity	OKI Group's Audit: Evaluation: Non-conformity	OKI Group's Audit: Evaluation: NA	Audit comments	Problems
5.1 Context of the Organization																			
5.1.1 Understanding the Organization and its Context	Clarify external and internal issues		–																
		Audit point: —																	
5.1.2 Understanding the Needs and Expectations of Interested Parties	Clarify the following in order to understand the needs and expectations of interested parties. ·Closely-related interested parties ·Requirements of interested parties		–																
		Audit point: —																	
5.1.3 Determination of scope of management of chemical substances in products	The management standards and scope of application related to chemical substances in products are made clear and necessary information is properly distributed to related departments.	Are the management standards documented and maintained for management? In addition, is the necessary information distributed to related departments?	○		●														
		Audit point: ·Is the latest information such as customer demands, laws and regulations, regulations related to your own business, and industrial standards, included in the management standards? ·Check that related departments can access the latest version at any time.																	
		Is the scope of control documented, and maintained for management?	○		●														
		Audit point: ·Are "Chemical substances and threshold level", "Parts and products", and "Packaging materials, sub-materials (solder, adhesive, tapes, etc.)", which are to be controlled, made clear such as in a list etc.? ·Do the controlled chemical substances and threshold levels conform to the latest version of laws and regulations, and customer demands?																	
		Is the "Process" to be managed made clear including subcontract companies and outsourcing companies?	○																
		Audit point: ·Is the management process (purchase, storage, sales, and maintenance) covered in addition to the design development process and manufacturing process?																	
		Is the cause of contamination made clear in the scope of control? (E.g. transition by adhesion (contact) of phthalate esters, which is a substance subject to RoHS directive)		○			※												
		Audit point: ·Are resin or rubber materials that directly contact the product in the assembly process in scope? (Conductive mats, belt conveyor mats, tape, working gloves, pallets/boxes for storage and transportation) ·Are parts materials or packing materials purchased from suppliers, or packing materials made of resin or rubber that are in direct contact with purchased or delivered products in the packaging materials used for delivery to the OKI Group in scope? (Bags, cushioning materials, boxes)																	
		Are items relating to SDS issuance and labeling, as stipulated in Industrial Safety and Health Act (Japanese law), considered to be in scope?						○											
		Audit point: ·If an SDS is provided to customers or contractors through your company, is it in scope, whether or not there is processing by your company? ·Are cases such as delivery of raw materials that your company provides to subcontract companies or outsourcing companies included, whether or not it is for a fee? ·Are indirect sales, rental/leasing, and transactions between group enterprises added to sales processes? ·Subject products in gaseous, liquid, or powder form: Are toner, ink, lubricating oil, sprays, adhesives, coatings, molten solder, cream solder, some batteries, etc. checked?																	
5.1.4 Implementation of management of chemical substances in products	Establish, implement, maintain, and continuously improve a management system for chemical substances in products, in accordance with the basic concept and implementation items of management of chemical substances in products. In order to realize products that meet the standards for management of chemical substances, implement management of chemical substances in products at each stage of design/development, purchase, manufacture and delivery according to the business type of the organization.		–																
		Audit point: —																	
5.2 Leadership																			
5.2.1 Leadership and Commitment	Demonstrate leadership and commitment regarding management of chemical substances in products by the following items. ·Accountability for effectiveness ·Position of organization activity ·Use of necessary resources ·Compliance with management standards		–																
		Audit point: —																	
5.2.2 Policy	Top management shall establish policies on management of chemical substances in products and maintain them as documented information.	Is policy including customer demands and compliance with related laws and regulations documented and maintained for management?	○																
		Audit point: ·Is the work of approvals by managers included in the environmental policy, product quality policy, management policy, etc.?																	
		Is the policy made known to related departments and are reviews carried out as necessary?	○																
		Audit point: ·Do the relevant people understand the policy? ·Is the policy reviewed at the necessary time?																	
5.2.3 Organization Roles, Responsibilities and Authorities	Stipulate responsibilities and authorities for relevant roles and communicate them within the organization in order to implement management of chemical substances in products.	Are target organizations and scope of work (role), and responsibilities and authorities in each organization made clear by documented informations?	○																
		Audit point: ·Is the department that maintains and manages the latest information of customer demands and laws and regulations made clear? ·Is the department that maintains and manages the information for chemical substances in products obtained from suppliers made clear? ·Are the scope of surveys and allocation of materials, parts, packaging materials, and sub-materials (solder, adhesive, tapes, etc.) made clear? ·Has a person authorized to stop processing and shipping if errors occur in the manufacturing process or in shipping been determined? ·Are the roles and scope of responsibility of subcontract companies and outsourcing companies made clear?																	
		Are the roles, responsibilities and authorities made known to related departments and are reviews carried out as necessary?	○																
		Audit point: ·Are the people to be made aware and the method of doing so clear?																	
5.3 Planning																			
5.3.1 Actions to Address Risks and Opportunities	Plan actions for risks and opportunities, which are necessary to achieve the targets of management of chemical substances in products, taking into account the following when planning. ·External and internal issues ·Requirements of interested parties and scope of application		–	○															
		Audit point: —																	
5.3.2 Targets and Planning of Actions for Their Achievement	Establish targets and implementation plans for the management of chemical substances in products.	Are implementation plans for setting targets established, and reviewed as needed?	○																
		Audit point: ·Do the targets comply with environmental policy? (compliance with laws and regulations concerning chemical substances in products and other requirements such as accepted customer requirements) ·Have policies, necessary resources, person responsible for implementation, timing for achievement, method of evaluating results, etc. been established? ·Are these reviewed in accordance with changes in legal and other requirements or the progression of the situation? ·Is the progress status of plans reported to the person in charge of management, and checked?																	
		Are the targets and implementation plans made known to relevant departments?	○																
		Audit point: ·Are the people to be made aware and the method of doing so clear?																	
5.4 Support																			
5.4.1 Resources	It is confirmed that the information of chemical substances in products for purchased products is obtained from suppliers, necessary information is prepared, and products conform to management standards.		–																
		Audit point: —																	
5.4.2 Competence	The education and training required for employees involved with management of chemical substances in products are made clear at the stages of design and development, purchasing, manufacturing and shipment, and the education and training are appropriately implemented.	Are necessary education and training specified and implemented for person involved in work related to management of chemical substances in products?		○															
		Audit point: ·Check the system (education planning lists, etc.) and implementation records for the education of employees. ·Are indirect departments, sales departments, and temporary staff and part-time staff included in the persons covered? ·Is the importance of the management of chemical substances in products included? Examples of educational contents are as follows: your own company's management standard and operational procedure, customer demands, RoHS directives, REACH regulations, and effects when exceeding those. ·Check that handling of inspection equipment (ICP, XRF, etc.) and education implementation records of inspection methods (if facilities are owned).	○																
		Is the necessary competence (knowledge, skills etc.) made clear?	○																
		Audit point: ·Is a method established to check the degree of comprehension of education results? ·Are requirements for Industrial Safety and Health Act also in the scope of education, if necessary?																	
5.4.3 Awareness	Conduct general environmental education etc. to make employees (including temporary staff, part-time staff, etc.) involved in the management of chemical substances in products aware of the necessary relevant matters. Also, educate suppliers, outsourcing companies, etc. as necessary.		–																
		Audit point: —																	
5.4.4 Communication	Provide information related to the management of chemical substances in products within the organization and conduct internal communication between various levels and functions. Also, clarify and implement methods for external communication with customers, suppliers, outsourcing companies, etc. necessary information for management of chemical substances in products, and maintain the details as documented information.	Are rules, targets and standards for providing information on chemical substances in products and management systems to the organization made clear and implemented?	○		●														
		Audit point: ·Confirm the provision of information on management of chemical substances in products by the Internet etc. (policy, targets, implementation plan, management standard, etc.) ·Are management standards (managed substances and thresholds etc.) provided to the target organization? ·Confirm the information transmission route in the event of occurrence of trouble in a process etc.																	
		Is information concerning management of chemical substances in products for communication with suppliers, outsourcing companies, etc. made clear and implemented?	○		●														
		Audit point: ·Are they provided with the policy, scope of application, standards, etc. on the management of chemical substances in products? ·Are confirmation results obtained based on procurement standard documents? ·Is 4M change information obtained, which may cause a change in information on the chemical substances contained in the product?																	
		Are rules of information provision to customers related to information on chemical substances in products and the management system made clear and implemented?	○		●														
		Audit point: ·Is a person or department in charge made clear? ·Is the information provision procedure, format (chemSHERPA, etc.) made clear?																	
		For inquiries and complaints from customers, are the handling procedure and a department in charge made clear?	○																
		Audit point: ·Is a person or department in charge made clear? ·Have the records for handling been kept?																	
		Is the conformity to RoHS directives declared in catalogs and webpage? Is the information of chemical substances in products compiled into a database?		○			※												
		Audit point: ·Check the examples.																	
		Is there any record that the information of chemical substances in products has been provided by chemSHERPA, or is it possible to provide such?					※												
		Audit point: ·Confirm the format examples provided to customers (chemSHERPA, etc.)																	
		Has an agreement or memorandum been made for the management of chemical substances in products with our company, or is it possible to make one?	○				※												
		Audit point: ·Check the agreement or memorandum.																	
		At the time products are transferred or provided to customers, contractors, etc., is the SDS stipulated by the Industrial Safety and Health Act (Japanese Law) and a label (or tag) displaying items required by laws and regulations attached to the container in which the subject chemical substances are packed?						○											
		Audit point: ·Is one provided, whether or not required by the receiving enterprise? ·Is the most recent version of the SDS managed and maintained, and is up-to-date information provided to the party being supplied? ·Are indirect sales of products of other companies' brands, rental/leases, and transaction between group enterprises in scope?																	

5.4.5 Documented Information	Establish, maintain, and manage standards related to management of chemical substances in products. In addition, create and manage the records of operation results appropriately.	Are documents related to chemical substances in products systematically organized and regularly reviewed, and is the latest version maintained and managed?		○																			
		Audit point	·Are documents to be revised in the case laws and regulations or customer requirements are changed made clear? ·Is the latest version maintained and managed?																				
		Is the storage period made clear for survey data and inspection data of chemical substances in products, before managing and storing the data?			○																		
		Audit point	·Check the data of contained chemical substances; acceptance, shipping and analysis data; education records; and internal audit result records, etc. ·Is the date of reply from the supplier and the date of the survey made clear, and is the storage period determined? ·Is the storage period consistent with that required by laws and regulations, customer requirements, etc.? (If it is necessary to comply with the RoHS Directive, the period shall be over 10 years after the launch of the product in which the part/material is used)	○																			
		Are the SDS for chemical substances in products subject to the Industrial Safety and Health Act (Japanese law) that your company manufactures or sell controlled by ledger, and is the storage period clear?						○															
		Audit point	·Are products procured from suppliers also in scope, whether or not there is processing by your company? ·When documents are updated, is the storage period for old documents clear? ·Is the storage period consistent with that required by laws and regulations, customer requirements, etc.?																				
5.5 Operation																							
5.5.1 Operational Planning and Control	Plan, implement, and maintain the necessary processes in order to implement matters decided by risk and opportunity actions in order to meet the standards for management of chemical substances contained. Keep the documented information necessary to confirm that the process was carried out as planned. Subcontracted processes are also subject to management.			—																			
		Audit point	—																				
5.5.2 Formulation of Standards for management of chemical substances in products	The management standards and scope of application related to chemical substances in products are made clear and necessary information is properly distributed to related departments.	Are the management standards documented and maintained for management? In addition, is the necessary information distributed to related departments?		○		●																	
		Audit point	·Is the latest information such as customer demands, laws and regulations, regulations related to your own business, and industrial standards, included in the management standards? ·Check that related departments can access the latest version at any time.																				
		Is the scope of control documented, and maintained for management?																					
		Audit point	·Are "Chemical substances and Threshold level", "Parts and products", and "Packaging materials, sub-materials (solder, adhesive, tapes, etc.)", which are to be controlled, made clear such as in a list etc.? ·Do the controlled chemical substances and threshold levels conform to the latest version of laws and regulations, and customer demands?	○		●																	
		Is the "Process" to be managed made clear including subcontract companies and outsourcing companies?		○																			
		Audit point	·Is the management process (purchase, storage, sales, and maintenance) covered in addition to the design development process and manufacturing process?																				
		Are items relating to SDS issuance and labeling, as stipulated in Industrial Safety and Health Act, considered to be in scope?							○														
		Audit point	·If an SDS is provided to customers or contractors through your company, is it in scope, whether or not there is processing by your company? ·Are cases such as delivery of raw materials that your company provides to subcontract companies or outsourcing companies included, whether or not it is for a fee? ·Are indirect sales, rental/leasing, and transactions between group enterprises added to sales processes? ·Subject products in gaseous, liquid, or powder form: Are toner, ink, lubricating oil, sprays, adhesives, coatings, molten solder, cream solder, some batteries, etc. checked?																				
5.5.3 management of chemical substances in products in Design and Development	It is confirmed that the information of chemical substances in products is checked and products conform to the management standards in product design and development.	Are management standards informed to suppliers, and is conformity checked?		○		●																	
		Audit point	·Are the management standards properly informed to suppliers by description on specifications of parts and materials, etc.? ·Are the management standards described on assembly drawings, manufacturing instruction drawings, etc., and are the standards on the manufacturing process informed? ·If design and development are outsourced, is the management of chemical substances in products implemented in the outsourcing companies equivalent to that your company implements?																				
		Concerning materials and parts, are products that do not contain SVHC under REACH regulations chosen to the extent possible?					○	※															
		Audit point	·Is there a system to choose products that do not contain SVHC by component approval instructions, to the extent possible?																				
		Are the design standards and confirmation method, instructions and procedures for related departments made clear for use of resin materials and recycled materials?						※															
		Audit point	·In order to reduce the risk of products containing banned substances, are resin materials to be used integrated in design standards? ·If recycled materials are used, is the information on risks of containing banned substances (e.g. used sections, confirmation method, etc.) provided to related departments including acceptance departments?																				
		If it is necessary to comply with the Industrial Safety and Health Act (Japanese law), is the scope made clear in the design process?							○														
		Audit point	·Are SDS which contain items regulated by the law received? ·Are the SDS and the label delivered consistent with the SDS received? ·Is there indication by labels and provide an SDS even if there is no indication of hazard?																				
5.5.4 Management of Externally Sourced Products																							
5.5.4.1 Acquisition and Confirmation of Information on Chemical Substances in Products	It is confirmed that the information of chemical substances in products for purchased products is obtained from suppliers, necessary information is prepared, and products conform to management standards.	Is the procedure to obtain the information on chemical substances in products for all parts, materials, packaging materials and sub-materials (solder, adhesive, etc.) that comprise products or accessories made clear by documented information, etc.?		○		●																	
		Audit point	·Are departments in charge, survey formats and flows made clear?																				
		Are the details of the obtained information on chemical substances in products checked?																					
		Audit point	·Is conformity with the management standards checked? ·Are the standards to judge the validity of obtained information made clear? (E.g. comparison with data of similar existing products) ·When the information is incomplete or the management standards are not satisfied, are methods for countermeasures and departments in charge made clear? ·Are improvements and instructions issued to suppliers, and are alternatives considered as needed?	○																			
		Are all the items to be checked for chemical substances in products made clear by the start of product production?		○																			
		Audit point	·Is it confirmed that the information on chemical substances in products for all materials and parts is obtained and the management standards are satisfied?																				
		For the obtained information on chemical substances in products, can the information be checked by related persons as needed?		○																			
		Audit point	·Are the rules for storage of obtained information and a maintenance and management department made clear?																				
		Is the handling procedure for when the information on chemical substances in products cannot be obtained made clear?		○																			
		Audit point	·Check the handling procedure including analysis in your own company and requests to external organizations as measures for risk avoidance.																				
		If it is necessary to comply with the Industrial Safety and Health Act (Japanese law), is the scope in the procurement process made clear?							○														
		Audit point	·Are SDS which contain items regulated by the law received? ·Are the SDS and the label created consistent with the SDS received? ·Are labels and SDS created even if there is no indication of hazard?																				
5.5.4.2 Confirmation of Management Conditions of chemical substances in products at Providers.	There is system to check the management system of chemical substances in products for the selection of new suppliers and ongoing suppliers, and it is appropriately operated.	Are requirements related to chemical substances in products clearly informed to suppliers by documented information, etc.?		○		●																	
		Audit point	·Are the requirements not only sent as documents but also managed in acceptance (version no., person in charge, date)? ·Check that concrete requirements related to banned substances are included. (E.g. threshold levels of banned substances, non-inclusion of SVHC, etc.)																				
		Are the standards to confirm the management system for chemical substances in products at suppliers made clear by documents, etc.?		○																			
		Audit point	·Check the confirmation standards at the start of new procurement. (System and implementation results) ·Check the documents of audit plans and the records of confirmation results related to ongoing suppliers. ·Are the requirements for secondary suppliers incorporated into the standard?																				
		Are countermeasures against pollution caused by the migration of phthalate esters made clear to suppliers by means of documents etc.?			○																		
		Audit point	·Is the non-inclusion of phthalate esters required of resin or rubber materials that directly contact the product in the production process? (Conductive mats, belt conveyor mats, tape, working gloves, pallets/boxes for storage and transportation) ·Regarding packaging materials used for delivery to the OKI Group, is the non-inclusion of phthalate esters required of packing materials made of resin or rubber that are in direct contact with delivered products? (Bags, cushioning materials, boxes)					※															
5.5.4.3 management of chemical substances in products at Acceptance.	Inspection standards at the time of acceptance are established, it is confirmed that the purchased item meets the management standard related to the management of chemical substances in products, and the results are stored as records.	Are the acceptance inspection standards related to the chemical substances in products documented and appropriately operated?		○		●																	
		Audit point	·Is it confirmed that the acceptance inspection standards comply with management standards? (E.g.: Non-inclusion of banned substances) ·Are the acceptance inspection standards established according to the degree of risk by supplier? (Analysis is required, or only check the information of chemical substances in products, etc.) ·For purchase from multiple companies, are the acceptance inspection standards established according to the degree of risk by supplier? ·Check the results of acceptance inspection and the storage period of analysis data (three years or more is preferable). However, if there are laws and regulations, the standards shall be subject to the laws and regulations. (E.g. the storage period is 10 years in REACH Regulations.)																				
		If chemical substances subject to SDS issuance and labeling, as stipulated in the Industrial Safety and Health Act (Japanese law), are contained in procured goods in gaseous, liquid, or powder form, is it confirmed that the SDS for the subject chemical substances has been received and that the proper labels have been attached?							○														
		Audit point	·Are the SDS received consistent with the chemical substances contained in the corresponding products, and does the content listed on SDS satisfy the requirements of laws and regulations? ·Does the content of labels attached to products (or tags displayed on them) procured from suppliers satisfy the requirements of laws and regulations? ·Are checks made to confirm that SDS and labels are consistent with each other? ·Are customer-supplied components / materials and designated components / materials added to the scope of survey?																				
		If recycled materials are used, are the acceptance standards made clear?						※															
		Audit point	·Is a confirmation method established according to the degree of risk, including implementation of regular analysis, and acquisition of the information on chemical substances in products?																				
		Is the response method made clear for the case where the inspection result does not conform to management standards, and is it appropriately operated?		○																			
		Audit point	Is the response method performed according to the handling procedure in the event of a nonconformity? (Subject to section 3.8)																				
		Is an XRF or ICP inspection facility retained? If retained, are the acceptance/rejection standards for analysis results made clear?			○			※															
		Audit point	·Check the frequency of use. ·Do workers have the competence needed to handle the facilities?																				
5.5.4.4 Confirmation of Management Conditions of chemical substances in products at Outsourcing Companies.	For outsourced products, the management of chemical substances in products equivalent to that your company implements is implemented.	Are the management items and details to request to outsourcing companies documented, and properly informed to the outsourcing companies?		○		●																	
		Audit point	·Are the management items and their details informed to the outsourcing companies, and also managed in acceptance (person in charge, date) etc.?																				
		Is the procedure to confirm the management condition of the outsourcing companies documented, and appropriately operated?		○																			
		Audit point	·Check the records of confirmation results with the documents of confirmation plans and procedure for the management condition of the outsourcing companies. ·For the reaction process in outsourcing companies, is the management equivalent to that your company implements implemented?																				
		If it is necessary to respond to Industrial Safety and Health Act (Japanese law), is the response at the outsourcing company made clear?							○														
		Audit point	·Are labels and SDS which contain items regulated by the law received? ·Is there indication by labels and provide an SDS even if there is no indication of hazard?																				

5.5.5 management of chemical substances in products in Manufacturing and Storage																									
5.5.5.1 Management in the Manufacturing Process	Manage the manufacturing process and store the results as documented information.	Understand the conversion process, and establish and maintain management standards for the applicable process.			○																				
			Audit point	·Confirm that there is no process (conversion process) that causes a change in composition or change in concentration in the manufacturing process E.g.: polymer polymerization (PVC: chemical reaction by vinyl chloride), electroless nickel plating process (lead: change in concentration of plating solution), inking/painting, etc. ·Confirm management standards and records of relevant process	○																			
	Solder bath If "Applicable"	Are standards made clear for lead impurity management in lead-free solder?			○																				
			Audit point	·Is the concentration of impurities noted in work instruction sheets etc. and is regular analysis instructed? ·Are there any problems in the records of the analysis results?	○		●																		
	Plating, painting process, etc. If "Applicable"	Are your company's processes understood, where compositions of chemical substances are changed due to oxidation-reduction reaction or concentrations of chemical substances in products are changed due to evaporation and sublimation?			○																				
			Audit point	·Are processes in which composition change and concentration change in chemical substances occurs made clear? (Plating, painting, solder bath, etc.)	○				※																
		Are the management items for the applicable process specified, and are the management standards made clear?			○																				
			Audit point	·Are the management items for corresponding process established? 1) Management items for plating solution: Liquid composition, update cycle, concentration, impurity concentration, pH, current density, processing time, etc. 2) Management items for painting process: Pigment/dyes, solvent, adjuvant, impurity concentration, processing/drying temperature & time, etc. 3) Management items for molding process: Residuals of mold corrosion inhibitor, mold release agent, cleaner, etc. ·Is the response procedure when management standards are exceeded documented and appropriately operated?	○				※																
		Are SDS and the composition table of plating solution, paints, inks, etc. obtained, and are their contents checked?				○				○															
			Audit point	·Is it checked that descriptions on obtained materials are complete? ·Are there rules for the procedure for incomplete descriptions, and are they appropriately operated?																				
		Is the chemSHERPA-CI of plating solution, paints, inks, etc. obtained and is its contents checked?				○		○	※																
			Audit point	·Is it checked that descriptions on obtained materials are complete? ·Are there rules for the procedure for incomplete descriptions, and are they appropriately operated?																				
5.5.5.2 Prevention of improper use and pollution	Measures are taken to prevent incorporation and improper use of controlled chemical substances, as well as pollution from such substances.	In the case where RoHS products and non-RoHS products are produced simultaneously, is identification management performed so as not to incorporate substances of non-RoHS products in manufacturing process, storage of parts and products, and at external warehouses, etc.?			○																				
			Audit point	·Check the implementation status for prevention of incorporation and measures against improper use, such as labeling by color of work areas, storage areas, storage boxes, storage shelves (including external storage) and materials and parts. ·For trading companies and agencies, check the measures for prevention of incorporation in acceptance, storage, and shipment.	○		●																	
		Is appropriate management performed for parts and products under REACH regulations to prevent mixture with parts and products containing SVHC?				○																			
			Audit point	·Check the implementation status of prevention of mixing such as by area indication in work areas, storage areas, storage boxes, and storage shelves (including external storage). ·For trading companies and agencies, check the prevention of incorporation in acceptance, storage, and shipment.				○																
		Are fixing tools, testing machines, and manufacturing facilities appropriately managed and are measures taken for prevention of pollution?				○																			
			Audit point	·Are RoHS products and non-RoHS products not used in combination in production? ·If used in combination, are measures taken to prevent incorporation of lead etc.? ·If molding machines and mixing machines are used in combination, check the measures for prevention of pollution (cleaning standards, etc.). ·Check by records whether lead concentration standards are established for lead-free solder baths and whether lead concentration is regularly inspected. [Response to migration of phthalate esters] ·Are phthalate esters not included in resin or rubber materials that directly contact the product in the production process? (Conductive mats, belt conveyor mats, tape, working gloves, pallets/boxes for storage and transportation) ·Regarding packaging materials for parts or materials purchased from suppliers, are phthalate esters not included in packing materials made of resin or rubber that are in direct contact with delivered products? (Bags, cushioning materials, boxes) ·Regarding packaging materials used for delivery to the OKI Group, are phthalate esters not included in packing materials made of resin or rubber that are in direct contact with delivered products? (Bags, cushioning materials, boxes)	○		●																		
		Are chemical substances used in the manufacturing process appropriately managed, and is the prevention of pollution implemented properly?			○																				
			Audit point	·Are chemical substances controlled by laws including the "Law Concerning the Protection of the Ozone Layer Through the Control of Specified Substances and Other Measures" (Japanese law) not used in the manufacturing process? ·Are chemical substances used in the processes of cleaning and affixing seals made clear?																				
5.5.5.3 Identification and Traceability	Properly implement traceability of information on chemical substances in products (lot tracking).	Are identification management performance standards made clear by documented information etc.?			○																				
			Audit point	·Associate the obtained information on chemical substances in products with the components of the product ·Are the processes which need identification management made clear, and is the procedure for identification or replacement also made clear? ·Are objects to be identified (materials, parts, packaging materials, finished products, etc.) made clear?	○																			
		Is traceability secured, from acceptance of materials and parts to product manufacturing and shipping?																							
			Audit point	·Can manufacturing history records such as manufactured date, manufacturing facilities, testing machine and parts lot number of products be traced? ·Is change information including plating, repair of the solder bath, and replacement of solder managed in the process, and can the information be traced? ·Can reclaimed products due to repairs and returns from the market be traced, and are actions for when they cannot be traced made clear? ·Can materials which have higher risk of incorporation of banned substances be traced, such as recycled materials? ·Are subsidiary materials used in products and shipped without change also in scope?	○																			
5.5.6 Change Management	With respect to 4M and other changes, confirm changes in chemical substances in products and review compliance with the management standard "5.5.2.2 Clarification of Management Standards for Chemical Substances in Products" before implementation, and store records of the person in charge who authorized the change and the results of actions.	In the case where customer demands or laws and regulations are changed (change in threshold level for banned substances or addition of new substances), is the handling procedure made clear?			○			●																	
			Audit point	·For materials and parts in process, inventories and finished products (external storage, others), is it proved that there are no issues with respect to the changed details?	○			●																	
		For changes of materials and parts, are the change procedure and communication methods made clear?			○			●																	
			Audit point	·Regarding the addition or change of parts, is it proven that banned substances are not contained using analysis and obtained data? ·If necessary, are customers informed in advance and is approval obtained?	○																			
		Are the confirmation details and change procedures made clear when making a change to facilities and processes?			○																				
			Audit point	·Is it confirmed that banned substances are not contained after changes to facilities for plating or solder baths, or replacement of solder in solder baths?	○																			
		Is information on changes of materials, facilities, and processes at outsourcing companies and outsourcing companies of materials and parts obtained in advance and checked?			○																				
			Audit point	·Check documents requesting to inform in advance according to written agreement, memorandum, or procurement standards. ·If there is and obtained change information, check the contents.	○																			
5.5.7 Product Delivery	It is confirmed that all items stipulating that chemical substances in products shall be checked in each process of design and development, purchase, reception, and manufacture are implemented before products are shipped.	Is it checked that there is no problem in each process, and an appropriate action is taken in the event of failures in each process?				○																			
			Audit point	·Confirmation in the design and development process: Is it confirmed that no parts contain banned substances, information of chemical substances in products and guarantee of non-containment have been obtained, and is the conformity to RoHS directives or REACH regulations, etc. checked as necessary? ·Confirmation in the purchase process: Are the suppliers evaluated and selected (subject to section 3.2), and has the requested information on chemical substances in products been obtained? ·Confirmation in the manufacturing process: If analysis is performed, is it confirmed that banned substances are not contained in each process including at outsourcing companies? E.g. Banned substances are not contained, lead impurity concentration in solder baths is less than standard values, etc.	○																			
		Are the handling procedure and response method for when a shipment fails release made clear by documents, etc.?			○																				
			Audit point	·Is the response in the occurrence of nonconformity performed appropriately according to the procedure? (Subject to section 5.5.8)	○																			
		In the case of providing products subject to the Industrial Safety and Health Act (Japanese law), is it confirmed that the SDS for the target chemical substance is provided and a label is attached (or tag displayed)?								○															
			Audit point	·Is it confirmed that the content of SDS received from suppliers (whether or not there is processing by your company), SDS prepared by your company, and attached labels are all consistent with each other? ·Are the SDS received consistent with the chemical substances contained in the corresponding products, and does the content listed on SDS satisfy the requirements of laws and regulations? ·Does the content of labels (or tags) satisfy the requirements of laws and regulations?						○													
		Has a similar product delivered to OKI Group been delivered to other assembly manufacturers which request the management of chemical substances in products?							※																
			Audit point	·Check shipment history records or shipment release records.																					
5.5.8 Response in the Event of a Nonconformity	Establish rules for response measures (emergency measure, investigation into cause, prevention of recurrence, horizontal deployment, etc.) in the event of a nonconformity concerning chemical substances in products.	Are the response and procedure for actions in the event of nonconformity made clear by documented information etc., and are the actions and measures for target lots, horizontal deployment, prevention of recurrence, and reporting to concerned parties (including customers) appropriately operated?			○			●																	
			Audit point	·Is there a format for recording the details, causes, emergency measures, prevention of recurrence, and horizontal deployment for nonconformity? ·Confirm the procedure for reporting to customers when nonconforming products have been already shipped. ·Is the occurrence of nonconformity reported to a person in charge of management and related departments without delay?	○		●																	
5.6. Evaluation and Improvement of Performance																									
5.6. Evaluation and Improvement of Performance	Regularly monitor and evaluate the compliance status of confirmation items concerning the management of chemical substances in products in each process. When corrective action is necessary, respond on the basis of "5.5.8 Response in the Event of a Nonconformity." Report the results of evaluations and corrective actions to top management in management reviews etc. and store the results as records.	Are the implementation plans and procedures of internal audits documented and made clear?																							
			Audit point	·Check rules for implementation standards for internal audits etc. ·Check that internal audits are regularly implemented by records such as minutes, planning documents etc. ·Are results reported to a person in charge such as a manager etc.? ·When there is a change in customer demands or laws and regulations, is the incorporation of necessary change details checked by audits?	○																			
		Is the procedure for corrective actions for items identified in internal audits and defects in process documented and made clear?			○																				
			Audit point	·Is the procedure for corrective actions checked, and are improvements horizontally deployed?	○																			
		Is the validity of actions for improvement checked?			○																				
			Audit point	·Check the validity of corrections using data and records after the implementation of improvements.	○																			
		Is the procedure for management review documented? In addition, does the manager understand and review the implementation status related to the management of chemical substances in products, and implement improvements as necessary?			○																				
			Audit point	·Is information on the occurrence of defects and internal audit results reported to a manager? ·Are reviews, which are performed once or more per year, and issues in the review reflected in the next-term targets and plans? ·Is the necessity of change in the management system for chemical substances in products considered?	○																			

Document Control No.

In charge	Created by

List of Improvement Items for Management System of Chemical Substances in Products

~~**Company Name:**~~

Date created: Month Date, Year

No	Issues		Improvement Plan			
	Audit Items	Descriptions	Improvements (Corrective action-related document No., etc.)	Implemented on (Schedule) Month, Date, Year	In charge of promotion	Complete on Month, Date, Year
1	e.g.）3.1 Design and Development	The standards to choose non-containing products of SVHC have been established, but the standards are not considered at the time of choosing products.	1. Implement the education of standards, etc. for the design and development department 2. Make use of the standards in the check list of design reviews. Add items to check the conditions. （Corrective action document:**-****）	1. Until September 30, 2011. 2. Apply from the design reviews in October 1, 2011 or later.	PJ leader	
2						
3						
4						
5						
6						
7						
8						