Ricoh Group's Green Procurement Standards
Separate Volume

RICOH

Ricoh Group's Guideline For Chemical Substances Management System

〈Annex〉
CMS Self-check Report/CMS Audit Checklist

April 2010 (Edition 6.0)

Ricoh Company.,Ltd.
Ricoh Group

Introduction

This document is composed of the Chemical Substances Management System Self-check Report based on the Ricoh Group Guidelines for Chemical Substances Management System (CAMS) and the CMS Audit Checklist.

Ⅰ. Chemical Substances Management System Self-check Report (CMS Self-check Report)

1. "Self-check Report" is to be used when a supplier provides Ricoh with its self-check report.

Ⅱ. Ricoh Group Guidelines for Chemical Substances Management System (CMS) Audit Checklist (CMS Audit Checklist)

1. The "CMS Audit Checklist" is to be used for the suppliers' self-check when they initially register for Ricoh Group Chemical Substances Management System Certification, and renew the registration with audit by Ricoh.
   The checklist is also used by the Ricoh Group audit representative during on-site audits.

2. The left column defines the "Ricoh Group's Requests".

3. The second column lists the "Audit Items" to be verified during the supplier's self-check.

*This booklet shall not be revised when a revision is made without relevance to the text of Ricoh Group's Guideline For Chenical Substances Management System, and when there is no impact on the content of this booklet even when the text of the Guideline is revised.

Chemical Substances Management System Self-check Report

Edition 6

(CMS Self-check Report)

Ricoh Group Chemical Substance Management System Guideline [Annex]

We hereby report our self-check in accordance with the CMS Audit Checklist.

Name of Company:

Business Establishment:

Address:

Date:

"Check Items and Check Results"

Check Items	Check Results (Circle one)		
1. Understanding information of Substances of which inclusion is ba	Pass	Fail	
2. Examination of the procurement route of materials, parts and supplies for production	Pass	Fail	
3. Examine whether Substances of which inclusion is banned are contained in the materials, parts, supplies for products	Pass	Fail	
Does it Contain Substances of which inclusion is banned?	Yes （Suppliers,Subcontracted suppliers）		No
4. Actual management of Substances of which inclusion is banned	Pass	Fail	N/A
5. Process management of Substances of which inclusion is banned			
5-1.Suppliers	Pass	Fail	N/A
5-2.Subcontracted suppliers	Pass	Fail	N/A
6. Process to prevent shipment of Substances of which inclusion is	Pass	Fail	
7. Management of change in materials, parts, supplies, mixing processes	Pass	Fail	
8. Handling of nonconforming products that contain Banned Substances	Pass	Fail	

・Circle the check results applied.
・Check items 4 and 5: If Substances of which inclusion is banned are not contained circle N/A.
・If any of the results is "Not Good", corrective measures should be taken.
(Corrective Action Report should be attached.)
・When receiving audit for Ricoh Group's CMS certification, the "CMS Audit Checklist" should be attached.
・The person who certifies should be the environment manager or the business manager.

Certified by:

Title:

Point of Contact:

Name:

Department/Section:

Telephone No.:

E-mail :

#The "personal information" of yours entered in this document will be used only for duties related to Green Procurement.
Provide the information with your agreement.

*All personal information provided in this document is private and will not be disclosed without

Ricoh Group Chemical Substance Management System Guideline [Annex]

Name of Company :

CMS Audit Checklist <Edition 6>

Business Establishment/Factory :　　**Certified By** :　　Check Date

Ricoh Group's Requests	Check Items	Check Results				Audit Results (state facts only)
		Pass	Fail	NA	Omitted	
1. Understand the information on Substances of which inclusion is banned a. The procedures clarifying source of information on Banned Substance shall be documented. b. The list of Substances of which inclusion is banned must be prepared and kept current. c. The information on Substances of which inclusion is banned shall be maintained and communicated to the employees.	1.Confirm the procedures for clarifying the source of information on Substances of which inclusion is banned, and the latest version of Green Procurement Standards are stored.					
	2.Confirm that the most current list of Substances of which inclusion is banned is secured and the measures for the changes to the list are effective.					
	3 .Confirm that sufficient training is given throughout the company with the information of Substances of which inclusion is banned posted or distributed.					
2. Examination of the procurement route of materials, parts, supplies for production a. The investigative procedures of procurement routes (subcontracted suppliers, process) are documented, and investigation is carried out to clarify whether or not Substances of which inclusion is banned are contained. b. Each process that has the possibility of contamination during the procurement process shall be identified.	1. Confirm the investigative procedures of the procurement route of materials, parts, supplies for production are documented and clarified.					
	2.Confirm that the records of investigation results show the details of the procurement route are fully examined for each part category or for each supplier to clarify if Substances of which inclusion is banned are contained or not..					
	3.Confrim that each process that has the possibility of contamination during the procurement process is understood.					
3. Examine the Presence of Substances of which inclusion is banned a. The procedures for examining whether or not Banned Substance is contained shall be documented. b. Check all related documents, etc. to find whether or not Banned Substance is contained inside of raw materials, parts, supplies for production. However, a part of products subject to Ricoh's management is excluded.	1.Verify the examination procedures and the documentation for detecting the presence of Substances of which inclusion is banned					
	2.Confirm verification of whether or not Substances of which inclusion is banned are contained in materials, parts, supplies for production.					
	3. When there are referred products, make sure to receive and store verification records from the company referred by Ricoh for supply of products.					
4. Actual management of Substances of which inclusion is banned a. The procedure to store separately the materials, parts, supplies for production that contain Substances of which inclusion is banned shall be documented. b. There shall be records of acceptance inspection, and the documentation of receipt and shipments of the materials, parts, supplies for production that contain Substances of which inclusion is banned. c. The materials, parts, supplies for production that contain Substances of which inclusion is banned shall be segregated and managed separately.	1.Confirm the documented procedure to segregate and store materials, parts, supplies for production that contain Substances of which inclusion is banned.					
	2.Confirm by the acceptance inspection record, inventory records showing receiving and shipping (tractability) of the materials, parts, supplies for production that contain Substances of which inclusion is banned.					
	3.Confirm that the materials, parts, supplies for production that contain Substances of which inclusion is banned are segregated and managed separately so that the operators will not misplace them (to be stored on separate shelves, etc.)					
	4.Confirm through interviews with operators and on-site observations that the materials, parts, supplies for production that contain Substances of which inclusion is banned are segregated and managed separately					

*For the definitions of products subject to Ricoh's management and products referred by Ricoh, see VII. Definition of terms and VIII. Products subject to investigation of presence of Substances of which inclusion is banned in the text of CMS guideline.

Ricoh Group Chemical Substance Management System Guideline [Annex]

Name of Company :

CMS Audit Checklist <Edition 6>

Business Establishment/Factory :　　**Certified By** :　　Check Date :

Ricoh Group's Requests	Check Items	Check Results				Audit Results (state facts only)
		Pass	Fail	NA	Omitted	
5. Process management of Substances of which inclusion is banned 5-1. Suppliers a. The work process must be documented so that the flow of work can be understood. b. The procedure to prevent contamination with Substances of which inclusion is banned is documented, and make sure the work is performed in conformity to the procedure.	1.Make sure the work process of parts for Ricoh Group is documented. 2.Confirm that the operational procedures are documented so that the operators will not mix Substances of which inclusion is banned. 3.Confirm through the interviews with the operators that the documented operational procedures are properly observed.					
5-2. Subcontracted suppliers(*) a. The work process must be documented so that the flow of work can be understood. b. The procedure to prevent contamination with Substances of which inclusion is banned is documented, and make sure the work is performed in conformity to the procedure.	1.Make sure the work process of parts for Ricoh Group is documented. 2.Confirm operational procedures are documented to ensure the operators from mixing Substances of which inclusion is banned. 3.Confirm through interviews with the operators that the documented operational procedures are properly observed.					
6. Prevention of shipment of Substances of which inclusion is banned a. Procedures shall be documented to check shipment lots. b. The documented procedures shall be properly observed, and inspection records of shipment lots, etc. shall be kept.	1.Confirm that procedures are documented to check shipment lots. 2.Confirm that the documented procedures are properly observed, and inspection records of shipment lots, etc. (tractability) are kept.					
7. Management of change in materials, parts, supplies, mixing processes a. There shall be a documented procedures in case of changing materials, parts, supplies for production or mixing processes, and make sure to submit a report in advance should there be such a change. b. When abnormal treatment work took place with respect to banned substances, apart from normal operation, record the incident and report it immediately to Ricoh to ensure appropriateness of the treatment.	1.Confirm there is a documented procedure for changes in materials, parts, supplies for production or mixing processes, and that the procedure is followed completely when such a change takes place. However, if there are separate rules for changing materials and parts, those rules shall be observed. As for changing supplies for production or mixing processes, this requirement applies to changes involving Substances of which inclusion is banned only. 2. When abnormal treatment occurred which is different from normal operation, confirm document of report to Ricoh Group. * Form for reporting abnormal treatment result must be prepared in advance.					
8. Handling of nonconforming products that contain Substances of which inclusion is banned a. A document shall be prepared on procedures for actions to be taken when an incident of incompliance with respect to banned substances occurred internally or externally, and when it is believed or suspected that products containing banned substances have been shipped. b. When nonconforming products are detected, the cause shall be identified and preventive measures shall be taken to ensure prevention of repetition.	1. Verify the procedures in case of emergency and measures to be taken when problem occurs (Ricoh Group must be notified). 2.Verify the procedure when nonconforming products are detected (A Corrective Action Report should clearly state the cause of the failure, solutions and preventive measures).					

*The scope of audit of this supplier includes the primary supplier of this supplier for itself, suppliers for outsourced processes, and suppliers which have the grasp of the possession of important upstream processes (plating/ soldering) or banned substances.

Revision history

Revision dat	Edition	Revised contents
04.01.2004	Edition 1	
11.01.2004	Edition 2	
02.01.2005	Edition 2.	Corrected error in description
07.15.2005	Edition 2.	1. Changed the item number of requested items on the CMS audit check list from lower case alphabet to numbers with parenthesis, which are same as requested items on the guide line. The numbers are identical to the requested items on the guide line. 2. Relocated the sentence of “However, Ricoh specified/supplied products are excluded.” in 1.(3) under Requested items from Ricoh Group to Requested items 3.(2). 3. Regarding Requested items 3.(2), Research results of Banned Substances, "put in writing" was changed to “Make sure with appropriated documents, etc”. 4. The edition number of CMS audit check list has matched to the one of guide line.
09.01.2006	Edition 3	1. Background for the revision Revised this report and audit checklist in accordance with the revision of the text. 2. Main revised contents 2-1. CMS Self-check Report (1) Changed the title from Internal Audit Report to CMS Self-check Report. (2) To make clear the edition number (Management of the latest edition), entered the edition number on the upper right corner of the form. 2-2. CMS Audit Checklist (1) Used the subdivision code conforming to the text. (2) Changed the wordings of Ricoh's requests to conform to those of the text. (3) Changed the wordings of Check items in accordance with Ricoh's requests to conform to the content of the requests.
02.01.2008	Edition 4	1. Background of Revision The audit check-list was revised as a result of the regular review and revision of the text. 2. Main content of revision 2-1. Front cover The phrase, “Ricoh Group’s Green Procurement Standards, Separate Volume”, was added to clarify the system of the document. 2-2. Introduction (1) Added the term “Introduction” (2) Replaced the wording in II, “Ricoh Group Chemical Substances Management System, and renew the registration (once every two years) ”, by “Ricoh Group Chemical Substances Management System Certification, and renew the registration (once every two years) with audit by Ricoh.” 2-3 CMS Check Report (1) Deleted all wording pertaining to third party certification. 2-4 CMS Audit Check-list (1) Revised the number of edition from Third Edition to Fourth Edition. (2) Revised each requirement to match with the text. (3) Revised the expression of each check item to correspond with each requirement for consistency. (4) Revised the wording in the note outside of the column of Requirements No.3 from products specified by Ricoh to products subject to Ricoh’s management, and added VII., matters concerning investigation of presence of banned substance.
02.01.2009	Edition 5	1. Background of the revision This Annex was revised in accordance with the revision in the text of the main volume. 2. Revised content 2.1 Entire text (1) Throughout the entire text, the use of the term “banned” substance was replaced by substances “of which inclusion is banned”. 2.2 CMS Self-check Report (1) Changed the number of edition to Fifth Edition. 2.3 CMS Audit Checklist (1) Changed the number of edition to Fifth Edition. (2) Deleted the statement that MSDS is not acceptable in both Requirement 3 and Confirmation 2, as a result of the revision of DSDS. (3) Conformed the definition of terms for the statement in the margin note, and the item number of products subject to investigation of inclusion of banned substances to the text in the main volume.
04.01.2010	Edition 6	1. Background of Revision The Annex was revised in accordance with the revision of the requirements mentioned in the text of the Guideline. 2. Details of revision (1) It was mentioned that this booklet is not necessary revised when the text of the Guideline is revised. (2) In Section 7 of Requirements, subsection b. and Confirmation item 2. were added.

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