

RICOH GREEN PROCUREMENT SYSTEM

AUDIT SUPPORT

Supplier name :

Company address :

Management Representative for Environmental Issues :

AUDIT FORM	AUDIT TEAM ASSESSMENT
<input type="checkbox"/> First audit	<input type="checkbox"/> Conformity
<input type="checkbox"/> Renewal audit <i>Date of first audit :</i>	<input type="checkbox"/> Non-Conformity

Comment :

FINAL DECISION	
<input type="checkbox"/> CONFORMITY	<input type="checkbox"/> NON-CONFORMITY

RICOH Group's Environmental Audit Criteria for its Suppliers' EMS

(Note : in the Audit items column, dotted items will be omitted from RICOH Group's assessment, but needed for ISO 14001 conformity assessment)

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment	
					C	NC
4.1 General requirements						
The organization shall establish and maintain an environmental management system, the requirements of which are described in the whole of clause 4.	The organization has established an environmental management system (EMS) that meets the requirements described in the whole of Audit Items below, and has implemented it.					
4.2 Environmental policy						
Top management shall define the organization's environmental policy and ensure that : - it is appropriate to the nature, scale and environmental impacts of its activities, products or services - it includes a commitment to continual improvement and prevention of pollution - it includes a commitment to comply with relevant environmental legislation and regulations, and with other requirements to which the organization subscribes - it provides the framework for setting and reviewing environmental objectives and targets - it is documented, implemented and maintained and communicated to all employees - it is available to the public.	1. Top management has defined the organization's environmental policy	It will be observed that the copies of the environmental policy are presented appropriately in the premises and that employees are made aware of the policy.	Environmental policy or Environmental policy with quality policy Random interviews with employees		C	NC
	2. The environmental policy is appropriate to the nature, scale and environmental impacts of its activities, products or services				C	NC
	3. The environmental policy includes commitments to :	Observation will be made on whether or not the policy includes the following : a), b), c) and d) :				
	a) continual improvement	a) continual improvement			C	NC
	b) pollution prevention	b) pollution prevention			C	NC
	c) compliance with relevant environmental legislation and regulations, and	c) compliance with relevant environmental legislation and regulations			C	NC
	d) with other requirements to which the organization subscribes	d) other requirements to which the organization subscribes			C	NC
4. The environmental policy provides the framework for setting and reviewing environmental objectives and targets			C	NC		
5. The environmental policy is documented, implemented and maintained and communicated to all employees	<i>Note : see Environmental Policy example in guidance</i>		C	NC		
6. The environmental policy is available to the public						

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment	
					C	NC
4.3 Planning						
4.3.1 Environmental aspects	1. The organization has procedures to carry out the following 1) and 2), and has maintained a list(s) in which its environmental aspects and/or significant environmental aspects have been identified.	A brief tour will be made on the basis of the organization's factory or premises' layout diagram (including such facilities as wastewater treatment, manufacturing equipment and etc.), to notice whether or not the organization has a list in which its environmental aspects have been identified fully.	Environmental aspects' list with evaluation			
The organization shall establish and maintain (a) procedure(s) to identify the environmental aspects of its activities, products or services that it can control and over which it can be expected to have or can have significant impacts on the environment. The organization shall ensure that the aspects are considered in setting its environmental objectives.	1) The organization has identified the environmental aspects of its activities, products or services that can control and over which it can be expected to have an influence. The organization has a list(s) in which its environmental aspects have been identified fully.				C	NC
The organization shall keep this information up-to-date.	2) The environmental aspects which have or can have significant impacts on the environment have been identified. The procedure to determine whether an environmental aspect is a significant environmental aspect, allows to evaluate an environmental aspect objectively. The organization maintains a list(s) in which its significant environmental aspects have identified, with no lacks or errors. The significant environmental aspects have been determined, considering the environmental impacts at the time of normal, abnormal or emergent condition.	It will be confirmed that the significant environmental aspects have been determined on the basis of both the environmental aspect list and a criteria table for the environmental aspects' evaluation created by the organization. <i>Note : see Significant Aspects list example in guidance</i>	Criteria table for the environmental aspects' evaluation			
	2) Information pertaining to significant aspects is kept up to date.				C	NC
4.3.2 Legal and other requirements	The organization has a current procedure(s), including such procedures as the following : 1), 2) and 3), to identify and have access to requirements, that are directly applicable to the environmental aspects of its activities, products or services, and maintains a list(s) in which the requirements have been identified.	1) It will be noticed the way in which the organization has access to legal information 2) A list(s) of the legislation and regulations that are applicable to its environmental aspects is conformed 3) In addition, Ricoh Group's environmental requirements should be included in the list <i>Note : see legislation and regulations list example in guidance</i>	List of legislation and regulations Amendments made in case of new equipment, building			
The organization shall establish and maintain a procedure to identify and have access to legal and other requirements to which the organization subscribes, that are applicable to the environmental aspects of its activities, products or services.	1) a procedure to identify legal requirements				C	NC
	2) a procedure to identify other requirements to which the organization subscribes				C	NC
	3) an access procedure to legal requirements and other requirements			C	NC	
4.3.3 Objectives and targets	1. The organization has established and maintains documented environmental objectives and targets, at each relevant function and level within the organization.	The organization's environmental action plan will be observed to notice whether or not the establishment of the objectives and targets are based on the significant environmental aspects <i>Note : example attached in guidance could refer to the creation of an environmental action plan. In addition, it would be recommended for the creation of an environmental action plan to make use of an environmental aspects' list and the data which have been collected in the forms such as tables presented in the Ricoh Group's Green Procurement Guidelines.</i>	Environmental action plan			
The organization shall establish and maintain documented environmental objectives and targets, at each relevant function and level within the organization.	2. The organization considered the following : a), b), c) and d), in setting and reviewing its environmental objectives.					
When establishing and reviewing its objectives, an organization shall consider the legal and other requirements, its significant environmental aspects, its technological options and its financial operational and business requirements, and the views of interested parties.	a) the legal requirements and other requirements				C	NC
	b) its significant environmental aspects				C	NC
	c) its technological options and its financial, operational and business requirements				C	NC
	d) the views of interested parties				C	NC
The objectives and targets shall be consistent with the environmental policy, including the commitment to prevention of pollution.	3. Its objectives and targets are consistent with the environmental policy, including the commitment to prevention of pollution.			C	NC	

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment	
					C	NC
4.3.4 Environmental management program(s) The organization shall establish and maintain (a) program(s) for achieving its objectives and targets. It shall include : - designation of responsibility for achieving objectives and targets at each relevant function and level of the organization - the means and timeframe by which they are to be achieved. If a project relates to new developments and new or modified activities, products or services, program(s) shall be amended where relevant to ensure that environmental management applies to such projects.	1. There is an established environmental management program for achieving environmental objectives and targets.	An environmental management program(s) to achieve the objectives and targets presented in the organization's action plan will be observed. The environmental management program(s) should include designation of responsibility for achieving objectives and targets at each relevant function and level, and the means and timeframe by which the objectives and targets are to be achieved. <i>Note : example attached in guidance could refer to the creation of an environmental management program(s).</i>	Environmental management program		C	NC
	2. The environmental management program includes the following items :					
	a) designation of responsibility for achieving objectives and targets at each relevant function and level of the organization				C	NC
	b) the means and timeframe by which the objectives and targets are to be achieved				C	NC
3. If a project relates to new developments and new or modified activities, products or services, the environmental program(s) has been amended where relevant to ensure that environmental management applies to such projects.				C	NC	

4.4 Implementation and operation

4.4.1 Structure and responsibility Roles, responsibility and authorities shall be defined, documented and communicated in order to facilitate effective environmental management. Management shall provide resources essential to the implementation and control of the environmental management system. Resources include human resources and specialized skills, technology and financial resources. Top management shall appoint (a) specific environmental management representative(s), whose responsibilities and authorities have been identified in order to : - ensure that environmental management system requirements are established, implemented and maintained in accordance with this international standard - report on the performance of the EMS to top management for review and as a basis for improvement of the EMS	1. The organization defines the roles, responsibility and authorities of the personnel, function or level pertaining to its environmental management.	An environmental management diagram in which roles, responsibility and authorities relevant to the environmental management are defined, will be observed.	Environmental management diagram		C	NC	
	2. The definitions are documented and communicated appropriately.					C	NC
	3. Resources essential to the implementation and control of the EMS are provided, including human resources and specialized skills, technology and financial resources.						
	4. Top management has appointed a specific environmental management representative(s)	It will be observed a way that the organization has made its employees aware of an environmental management representative(s) appointed by its top management				C	NC
	5. The roles, responsibilities and authorities of the specific environmental management representative(s) have been defined for following items : a) and b)						
	a) Ensuring that environmental management system requirements are established, implemented and maintained in accordance with this international standard						
b) reporting on the performance of the EMS to top management for review and as a basis for improvement of the EMS	Any document or record reported by the representative(s) to the top management on the progress of implementation of the program(s) will be observed.				C	NC	

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment		
					C	NC	
4.4.2 Training, awareness and competence The organization shall identify training needs. It shall require that all personnel whose work may create a significant impact upon the environment, have received appropriate training. It shall establish and maintain procedures to make its employees or members at each relevant function and level aware of : - the importance of conformance with the environmental policy and procedures and with the requirements of the environmental management system - the significant environmental impacts, actual or potential, of the work activities and the environmental benefits of improved personal performance - their roles and responsibilities in achieving conformance with the environmental policy and procedures and with the requirements of the environmental management system, including emergency preparedness and response requirements - the potential consequences of departure from specified operating procedures. Personnel performing the tasks which can cause significant environmental impacts shall be competent on the basis of appropriate education, training and/or experience.	1. Training needs have been identified.				C	NC	
	2. All the personnel whose work may create a significant impact upon the environment have received appropriate training.				C	NC	
	3. Procedures (documented) are established and maintained to make its employees at each relevant function and level aware of the following : a), b), c) and d).						
	a) The importance of conformance with the environmental policy and procedures and with the requirements of the EMS						
	b) The significant environmental impacts, actual or potential, of their work activities and the environmental benefits of improved personal performance						
	c) Their roles and responsibilities in achieving conformance with the environmental policy and procedures and with the requirements of the EMS, including emergency preparedness and response requirements	Interview with some employees will be made to notice the c) in the immediate left column.				C	NC
	d) The potential consequences of departure from specified operating procedures						
	4. Personnel who perform the tasks that can cause significant environmental impacts are competent on the basis of appropriate education, training or experience.	It will be noticed that whether or not personnel performing the tasks for which legal competence is required, have a legal license.	List of personnel who have a license(s) relevant to environmental activities		C	NC	
4.4.3 Communication With regard to its environmental aspects and environmental management system, the organization shall establish and maintain procedures for : - internal communication between the various levels and functions of the organization - receiving, documenting and responding to relevant communication from external interested parties The organization shall consider processes for external communication on its significant environmental aspects and record its decision.	1. Procedures (documented) are established and maintained for communication on the environment.						
	2. The procedures include the following : a) and b), about the organization's environmental aspects and environmental system						
	a) Internal communication between the various levels and functions of the organization						
	b) Receiving, documenting and responding to relevant communication from external interested parties	A document(s) responded to the claim(s) or request(s) from external parties, including a written request(s) from Ricoh Group, if any, will be observed.				C	NC
	3. The organization has considered processes for external communication on its significant environmental aspects and has recorded its decision (including the decision to not make information public).						
4.4.4 Environmental management system documentation The organization shall establish and maintain information, in paper or electronic form, to : - describe the core elements of the management system and their interaction - provide direction to related documentation	1. Environmental management system documentation is established and maintained.						
	2. The documentation includes the following : a) and b)						
	a) the core elements of the management system and their interaction						
	b) direction to related documentation						

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment		
					C	NC	
4.4.5 Document control The organization shall establish and maintain procedures for controlling all documents required by this international standard to ensure that : - they can be located - they are periodically reviewed, revised as necessary and approved for adequacy by authorized personnel - the current versions of relevant documents are available at a locations where operations essential to the effective functioning of the environmental management system are performed - obsolete documents are promptly removed from all points of issue - any obsolete documents retained for legal or knowledge preservation purposes are suitably identified - Documents are legible, dated (with dates of revision), readily identifiable and maintained in an orderly manner, retained for a specific period. Procedures and responsibilities are established and maintained for creating and modifying the various types of document.	1. The organization has established and maintained procedures for controlling all documents required by the ISO 14001 standard.						
	2. The procedures (documented) ensure the following : a), b), c), d) and e). a) all documents can be located						
	b) they are periodically reviewed, revised as necessary and approved for adequacy by authorized personnel (only the documents in the immediate right column will be targeted for the assessment)	Whether or not current versions of the following documents are available and in their proper locations will be observed during the brief tour.			C	NC	
	c) current versions of relevant documents are available and in their proper locations for effective functioning of the EMS (only the documents in the immediate right column will be targeted for the assessment)	Environmental documents : policy, an aspect list(s), a legal list(s), an environmental action plan, procedures created by organization			C	NC	
	d) obsolete documents are promptly removed from all points of issue and use, and or otherwise assured against unintended use						
	e) any obsolete documents retained for legal or knowledge preservation purposes are suitably identified						
	3. Documents are legible.						
	4. Documents are dated (with dates of revision), readily identifiable and maintained in an orderly manner.						
	5. Documents are retained for a specific period.						
	6. There are procedures and responsibilities established and maintained for creating and modifying the various types of document.						
4.4.6 Operational control The organization shall identify those operations and activities that are associated with the identified significant environmental aspects in line with its policy, objectives and targets. The organization shall plan these activities, including maintenance, in order to ensure that they are carried out under specified conditions by : a) establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets b) stipulating operating criteria in the procedures c) establishing and maintaining procedures related to the identifiable significant environmental aspects of goods and services used by the organization and requirements to suppliers and contractors	1. The organization has identified operations and activities that are associated with the identified significant environmental aspects in accordance with its policy, objectives and targets.	The means by which the carbon dioxide emissions or the waste generations might be reduced will be noticed. Examples of the means could be the temperature settings of rooms for the carbon dioxide emission and the ways of the sorting of waste for the waste generation.			C	NC	
	2. In order to ensure that these activities, including maintenance, are carried out under specified conditions, the organization has implemented the following : a), b), c) and d). a) the organization has established and maintained documented procedures to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets <i>Note : such documented procedures for the operations addressed in a monitoring list and a legal list</i>	A difference between marked quantity and actual quantity of a flammable material or an oil at a storage space will be observed. A storage space and the storing way for hazardous material will be observed.			C	NC	
	b) operating criteria are stipulated in the procedures	A way how to keep the standards for noise levels, vibration levels, air quality, etc, if any standard applicable to the organization by a law, will be noticed.			C	NC	
	c) procedures related to the significant environmental aspects of goods and services from suppliers and contractors are established and maintained				C	NC	
	d) relevant procedures and requirements are communicated to suppliers and contractors						

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment		
					C	NC	
<p>4.4.7 Emergency preparedness and response</p> <p>The organization shall establish and maintain procedures to identify potential for and respond to accidents and emergency situations and for preventing and mitigating the environmental impacts that may be associated with them.</p> <p>The organization shall review and revise, where necessary, its emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations.</p> <p>The organization shall also periodically test such procedures where practicable.</p>	1. The organization has established and maintained procedures (documented) that identify the potential for and the response to accidents and emergency situations.	<p>The procedure for dealing with the environmental impacts which have a high score under incidents or potential emergency situations in the organization's environmental aspects' list, will be noticed.</p> <p>Examples of incidents or potential emergency situations are a case of a sudden shut-down of the electric power, a fire, the earthquake, a typhoon, a heavy rain, or etc. In addition, procedures for preventing a miss operation of equipment or a miss handling will be noticed. The procedures have better to have operational points in them.</p>	Response and operational points under abnormal conditions		C	NC	
	2. The organization has established and maintained the procedures for preventing and mitigating the environmental impacts that may be associated with any accidents or emergency situations.						
	3. Emergency preparedness and response procedures are reviewed and revised, where necessary, but in particular after the occurrence of accidents or emergency situations.						
	4. Emergency preparedness and response procedures are periodically tested where practicable.						

4.5 Checking and corrective action

<p>4.5.1 Monitoring and measurement</p> <p>The organization shall establish and maintain documented procedures to monitor and measure, on a regular basis, the key characteristics of its operations and activities that can have significant impacts on the environment. This shall include the recording of information to track performance, relevant operational controls and conformance with the organization's environmental objectives and targets.</p> <p>Monitoring equipment shall be calibrated and maintained and records of this process shall be retained according to the organization's procedures.</p> <p>The organization shall establish and maintain a documented procedure for periodically evaluating compliance with relevant environmental legislation and regulations.</p>	1. There are documented procedures established and maintained to monitor and measure, on a regular basis, the key characteristics of operations and activities that can have a significant impact on the environment.	The results of a monitoring or measurement for the key characteristics of the organization's operations and activities that can have a significant impact on the environment, will be observed.	Monitoring and measurement list		C	NC	
	2. Monitoring and measurement includes recording information to track performance, relevant operational controls and conformance with objectives and targets.	A listing of the key characteristics to monitor or measure is preferable to other forms.				C	NC
	3. Monitoring equipment is calibrated and maintained and a record of the calibration process is retained, according to the organization's procedures.	<i>Note : the records of calibration on monitoring equipment will be observed.</i>				C	NC
	4. A procedure is established and maintained for periodically evaluating compliance with relevant environmental legislation and regulations.	<p>The results of evaluation of the compliance with relevant environmental legislation and regulations, will be observed.</p> <p><i>Note : example attached in guidance could refer to the creation of a documented procedure for periodically evaluating compliance with the legislation and regulations</i></p>	Periodical evaluation procedure of compliance with environmental legislation and regulations			C	NC

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment		
					C	NC	
4.5.2 Non-conformance and corrective and preventive action The organization shall establish and maintain procedures for defining responsibility and authority for handling and investigating non-conformance, taking action to mitigate any impacts caused and for initiating and completing corrective and preventive action. Any corrective or preventive action taken to eliminate the causes of actual and potential non-conformances shall be appropriate to the magnitude of problems and commensurate with the environmental impact encountered. The organization shall implement and record any changes in the documented procedures resulting from corrective and preventive action.	1. Procedures are established and maintained for defining responsibility and authority for the following : a), b) and c).						
	a) handling and investigating non-conformance						
	b) taking action to mitigate the impacts caused by non-conformance						
	c) initiating corrective and preventive action						
	2. Any corrective and preventive action is appropriate for the magnitude of actual or potential non-conformance and the environmental impact encountered.	Records will be observed to notice whether or not the organization has taken any corrective or preventive action to eliminate the causes of non-conformances which have been found through an environmental audit by the organization or Ricoh.	Reporting format for corrective and preventive action		C	NC	
	3. Procedures are modified to reflect corrective and preventive action.						
4.5.3 Records The organization shall establish and maintain procedures for the identification, maintenance and disposition of environmental records. These records shall include training records and the results of audits and reviews. Environmental records shall be legible, identifiable and traceable to the activity, products or service involved. Environmental records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Their retention times shall be established and recorded. Records shall be maintained, as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this international standard.	1. Procedures are established and maintained for the identification, maintenance and disposal of environmental records.						
	2. Environmental records include training records, records of audit results and records of management reviews.						
	3. Environmental records are legible, identifiable and traceable to the activity, product or service involved.	An observation will be done to notice that the organization has stored and maintained the following environmental records.				C	NC
	4. Environmental records are easily retrievable and are protected against damage, deterioration or loss.	Records on corrective or preventive action.				C	NC
	5. The retention times of the records are established and recorded.	Records on performance of the reduction or of carbon dioxide emissions, waste generations, and other environmental burdens. Records on the results of monitoring or measurement of the key characteristics.				C	NC
	6. The records are maintained to demonstrate compliance with the standard.						

Requirements in ISO 14001 standard	Audit items	Descriptions	Examples	Comments / Evidence	Assessment	
					C	NC
<p>4.5.4 Environmental management system audit</p> <p>The organization shall establish and maintain (a) program(s) and procedures for periodic environmental management system audits to be carried out, in order to :</p> <ul style="list-style-type: none"> - determine whether or not the environmental management system conform to planned arrangements for environmental management including the requirements of this international standard, and - has been properly implemented and maintained and - provide information on the results of audits to management <p>The organization's audit program, including any schedule, shall be based on the environmental importance of the activity concerned and the results of previous audits. In order to be comprehensive, the audit procedures shall cover the audit scope, frequency and methodologies, as well as the responsibilities and requirements for conducting audits and reporting results.</p>	1. A program and procedures are established and maintained for periodic environmental management system audits to be carried out, for the following : a), b) and c).	<p><i>Note : before the Ricoh Group's initial auditing or periodic re-evaluation auditing for Ricoh's certification and registration of a supplier, the organization would be recommended to have done a self-auditing. The example of Checks Lists for Environmental Management System Audit annexed to this document could refer to the use for a self-assessment.</i></p>			C	NC
	a) determining whether or not the EMS conforms to planned arrangements for environmental management, including the requirements of the standard				C	NC
	b) determining whether or not the EMS has been properly implemented and maintained				C	NC
	c) providing information on the audit results to management for review.				C	NC
	2. The audit program, including a schedule are based on the environmental of importance of the activity concerned and the results of previous audits.				C	NC
3. The audit procedures cover the audit scope, frequency and methodologies, and responsibilities and requirements for conducting audits and reporting results.	C	NC				
4.6 Management review						
<p>The organization's top management shall, at intervals that determines, review the environmental management system, to ensure its continuing suitability, adequacy and effectiveness. The management review process shall ensure that the necessary information is collected to allow management to carry out this evaluation. This review shall be documented.</p> <p>The management review shall address the possible need for changes to policy, objectives and other elements of the environmental management audit results, changing circumstances and the commitment to continual improvement.</p>	1. Top management periodically reviews the EMS to ensure continuing suitability, adequacy and effectiveness.				C	NC
	2. Necessary information is collected and provided to allow management to carry out the evaluation.				C	NC
	3. The review is documented.				C	NC
	4. Management assesses the need for changes in policy, objectives and other elements of the EMS, as indicated by environmental audit results, changing circumstances, and the commitment to continual improvement.				C	NC
	It will be noticed that what action has been taken by the top management, after he or she knew the fact that an environmental targets had not been achieved sufficiently or a cause of non-conformance had not been eliminated.					