Guidelines for the management of chemical substances in products

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JAMP

Introduction

The Guidelines for the Management of Chemical Substances in Products specify common management requirements for chemical substances in products for the purpose of efficient and reliable implementation of chemical management in the entire supply chain. The Guidelines are introduced with the intention of supporting each organization involved in the supply chain to implement proper management of chemical substances in products and to communicate and receive highly reliable information on chemical substances in products as the organization refers to the Guidelines.

These Guidelines are revisions of "Guidelines for Management of Chemical Substances in Products Version 2" published in March 2008 and written in compliance with Japan Industrial Standards "JIS Z 7201:2012 Management of Chemical Substances in Products – Principles and Guidelines" which was enacted in August 2012. In other words, these Guidelines are positioned as the document prepared in accordance with JIS Z 7201:2012 based on Article 3.6 "Assessment of the management system on chemical substances in products".

Hence, these Guidelines reflect the basic views of management of chemical substances in products that should be practiced in the supply chain based on Management Principles of Chemical Substances in Products stated in Chapter 3 of JIS Z 7201:2012. Furthermore, the Guidelines provide management requirements as the action items to manage chemical substances in products in compliance with Guidelines for the Management of Chemical Substances in Products as stated in Chapter 4 of JIS Z 7201:2012.

The Guidelines also express principles of evaluation and operation which facilitates the organization to conduct evaluation of conformance based on the action items as specified requirements. For this purpose, the Check Sheet is attached to conduct evaluate efficiently and objectively on management status of chemical substances in products in the organization.

※ For details of "JIS Z 7201:2012 Management of Chemical Substances in Products – Principles and Guidelines", please refer to the main text of the said Standards.

1. About the Guidelines for the Management of Chemical Substances in Products

1.1 The objective of the Guidelines for the Management of Chemical Substances in Products

The Guidelines for the Management of Chemical Substances in Products (hereinafter referred to as "the Guidelines") are prepared with the intention of providing practical supports to the organizations implementing the management of chemical substances in products that is the base of supplying products with information on chemical substances contained in products.

In the supply chain, all organizations engaged in manufacturing or sales of products using chemical substances should implement management of chemical substances in products. These Guidelines specify the action items which are the requirements for managing chemical substances in products in such a way that all organizations can commonly refer to them. The action items are in compliance with the Guidelines stated in Japan Industrial Standards "JIS Z 7201:2012 Management of Chemical Substances in Products – Principles and Guidelines (hereinafter referred to as "JIS Z 7201")

In the trend that regulations on chemical substances in products have become more stringent and more widely applied, it is an urgent social issue that the management of chemical substances in products should be improved to a certain level in the entire supply chain. Originally, the management of chemical substances in products is the matter to be implemented subjectively by each organization, however, the Guidelines which are the accumulation of knowledge and experiences of many organizations and industrial bodies are able to offer valuable advices to the organizations practicing chemical management. In case that the organization already has an existing system or a mechanism of managing chemical substances in products, the organization is expected to implement more efficient and assured management while referring to the action items in the Guidelines that are the management requirements.

Requirements for the management of chemical substances in products as provided in the Guidelines shall be updated from time to time in order to correspond with improved level of management of chemical substances in products in the supply chain, advancement of knowledge and experience through management, progress in relevant implementation or change or expansion of relevant laws and regulations or its application.

1.2 Scope of Application

The Guidelines provide principles of management of chemical substances in products in the respective stage of design and development, purchasing, manufacturing and delivery that should be shared commonly in the entire supply chain, no matter the size, type or maturity of the organization, with the intention that all organizations implementing management of chemical substances in products become capable of managing it appropriately and efficiently.

The Guidelines can be referred to by any organization engaged in manufacturing, in other words, any organization which manufactures chemical substances, mixtures, parts and end products as well as a trading house dealing with such products, no matter it is in the upstream, mid-stream or downstream of the supply chain.

1.3 Anticipated Users

The following are anticipated users in the Guidelines.

(1) The person in charge of developing and verifying the management system of chemical substances in products in the organization:

When establishing the management system of chemical substances in products in each organization, the organization may refer to these Guidelines.

In the stage of developing the management system, the person in charge can pursue his duties while referring to these Guidelines. After the system is set up, the Guidelines can be used as an in-house education tool and the organization can inform and disseminate about requirements for the management of chemical substances in products.

If the organization already has the management system of chemical substances in products that is built based on other criteria or other guidelines which are at the equal or higher level compared to these Guidelines, the organization shall verify if the current management can satisfy management requirements stated in the Guidelines. When it is necessary, the organization shall carry out improvement of the management system to meet its needs. In such cases, the organization may refer to these Guidelines.

The organization can also refer to the Guidelines when it conducts internal audit for self–assessment to verify if the management system for chemical substances in products is functioning appropriately.

(2) Person in charge of verifying the management system of chemical substances in products at the supplier:

When the external organization such as a purchaser or a customer verifiers the suppliers if their management system of the chemical substances in products is properly developed in the supplier, the person in charge can refer to these guidelines.

1.4 Unit or Target of Management of Chemical Substances in Products

The organization unit and the targets which shall conduct the management are described below.

(1) Organization unit of management

The unit of management of chemical substances in products envisioned in the Guidelines is not "products", but "organization". In the Guidelines, "organization" indicates a company, a corporation, plant or department, individual business holder, a part or a combination of the above.

Example: XX Corporation, XX Plant, YY Inc., YY Division,
ZZ Group, ZZ Product Division

(2) Chemical substances subject to management

The Guidelines do not provide specific chemical substances subject to management of chemical substances in products and information transfer. In consideration of all organizations involved in the entire supply chain, chemical substances to be controlled shall be determined under the agreement of parties concerned. In addition to laws and regulations, the industry standards should also be respected.

1.5 Operation Flow of the Guidelines for the Management of Chemical Substances in Products

To operate along the Guidelines, the following flow is recommended

(1) Development of the management system for chemical substances in products:

Each organization involved in the supply chain shall develop a management system for chemical substances in products within the organization. Although the best management system varies depending on the type of industries, business models and business contents, the organization can refer to these Guidelines while developing a new management system.

(2) Evaluation of the management system for chemical substances in products:

The organization shall evaluate if its management system for chemical substances in products satisfies management requirements stated in Guidelines.

To evaluate conformance to the action items, the organization can refer to Chapter 5, "Evaluation in accordance with the Guidelines for the Management of Chemical Substances in Products and Self-Declaration of Conformance" of the Guidelines. Evaluation can be implemented efficiently and objectively if the organization uses "the List of Action Items & Check Sheet". It is important that the management systems is sustained and improved whenever necessary.

(3) Declaration of development of the management system for chemical substances in products:

As a mode of announcing to the community including external organizations such as the purchaser that the organization has developed the management system satisfying the action items that are requirements to manage chemical substances in products, the Guidelines recommend the organization to issue self-declaration of conformance. For the judging criteria of conformance with the action items or self-declaration of conformance, the organization can refer to Chapter 5, "Evaluation in accordance with the Guidelines for the Management of Chemical Substances in Products and Self-Declaration of Conformance" in the Guidelines.

Furthermore, the Guidelines are meant only to provide information to serve as a reference for the organization to construct the management system for chemical substances in products, but not to guarantee for any business transaction between the supplier and the purchaser upon self-declaration of conformance to the management systems in accordance with the Guidelines.

1.6 Integrating to the Existing Management System

When the organization already has the management system such as ISO 9001 or ISO 14001, depending on the decision by the organization undertaking the management, the organization may optimize the existing management system to be integrated with the management system for chemical substances in products. While it is possible to develop a new management system, it is recommended to optimize the existing management system. It is, however, necessary that such a management system substantially satisfies the action items stated in the Guidelines.

For comparison of the action items in the Guidelines to ISO 9001 or ISO 14001, please refer to Annex A.

1.7 Referential Standards of the Guidelines for the Management of Chemical Substances in Products

As mentioned above, the Guidelines are in compliance with "JIS Z 7201: 2012 Management of Chemical Substances in Products - Principles and Guidelines". Additionally, the Guidelines also refer to standards as shown in Table 1-1.

Table 1-1: Referential and compliance standards for Guidelines for the management of chemical substances in products

Management of chemical substances in products	JIS Z 7201:2012 Management of Chemical Substances in Products – Principles and Guidelines

Management systems related	ISO 9001:2008 (JIS Q 9001:2008), etc. ISO 14001:2004 (JIS Q 14001:2004), etc. ISO GUIDE 72:2001 ISO 19011:2011
Self-declaration of conformance	ISO/IEC 17050-1:2004 (JIS Q 17050-1:2005) ISO/IEC 17050-2:2004 (JIS Q 17050-2:2005)

1.8 Positioning the Guidelines for the Management of Chemical Substances in Products against JIS Z 7201

JIS Z 7201 is to prescribe principles and guidelines for management of chemical substances in products, but not to serve as requirements for evaluating conformity. Article 3.6 of the Standard refers to “In the supply chain, in some cases, the organization is required to verify if the management of chemical substances in products is appropriately conducted in the organization. In this regard, the industrial organization may compile the documentation on requirements for the management system of the chemical substances in products that are relevant to principles and guidelines set forth in this Standard, and facilitate the organization which practices the management of chemical substances in products to evaluate and to declare conformity”.

These Guidelines are regarded as the document that was created based on the above description. Providing the action items that are requirements for management of chemical substances in products in compliance with guidelines stated in JIS Z 7201, the Guideline enable the organization to evaluate conformance to the action items and issue a self-declaration of conformance to the management system.

1.9 Self-Declaration of Conformance in accordance with Guidelines for the Management of Chemical Substances in Products

Self-declaration of conformance in the Guidelines indicates the organization's manifestation and commitment to the following status:

(1) The organization has developed the management system along the Guidelines and is operating it, or
(2) The organization has established the management system in accordance with other criteria or other guidelines that are at the equal or higher level compared to these Guidelines and such a management system in implementation practically satisfies management requirements for chemical substances in products.

For the specific criteria or the method of self-declaration of conformance, the organization may refer to Chapter 5. It is important that self-declaration of conformance is issued earnestly and seriously by many organizations, and accepted and well respected by the customers. In this way, the self-declaration of conformance based on these Guidelines can be operated effectively and develop further.

2. Definition of Terms

To be consistent with JIS Z 7201, the same terms are used in the Guidelines and the definition of terms remains the same as that of JIS Z 7201. For better understanding, some notes are partially added. Examples of parts and end products are shown in Table 2-1.

Terms	Definition and Description
Chemical substance	A chemical element or compound that either exists in nature or is obtained through a manufacturing process . Note 1: Example: lead oxide, nickel chloride, benzene, etc. Note 2: Sorting by CAS number is more efficient when processing a large volume of data, however, attention is required since CAS numbers and chemical substances do not always directly correspond. In some cases, the relationship may be one-to-many, many-to-one, or more rarely, many to many. "Chemical substances", in some cases do not have a CAS number and therefore, rules for CAS use are necessary among users.
Mixture	A mixture intentionally comprising two or more chemical substances Note 1: Examples are paints, inks, alloy ingot, solder, resin pellets, etc. Note 2: The term "preparation" was used in Guidelines for the management of chemical substances in products, Ver.2. It is revised to "mixture" herein to correspond to JIS Z 7201. The definition of the term remains unchanged.
Article	An item of specific shape, appearance or design created during manufacture which substantially determines functions in final use rather than functions provided by its chemical composition. Note: Examples of articles are metal plates, gears, integrated circuits, electric appliances, transport equipment, etc.
Chemical product	Chemical substance and/or mixture

Terms	Definition and Description
Part	An article to be manufactured until it turns into an end product Note: The followings are examples of parts. a) a part which is the first article converted from a chemical product Personal computer: a single key mounted in a keyboard Electronics device: a resin casing for a telephone set Transport equipment: an automobile brake pad Machine tool: a copper material for a motor Furniture: a steel material for parts a spring b) Parts manufactured by assembly Personal computer: a PC keyboard Electronics device: a telephone receiver Transport equipment: an automobile brake Machine tool : an electric drill motor Furniture: a bed mattress
End product	An end product is the final article which is the outcome of assembling, processing or manufacturing chemical products and/or parts Note: The followings are examples of end products. Personal computer: a set of personal computer Electronics device: a telephone set Transport equipment: an automobile Machine tool: an electric drill Furniture: a bed
Product	A product is a chemical product, a part or an end product which is delivered to a customer as the outcome of business activities of the organization. Note: In some cases, a packaging material used to pack a product is also included in the product
Organization	It is a group of people and a collection of facilities where responsibility, authority and interrelations are systemically assigned.
.Supplier	An organization which delivers products to the downstream

Terms	Definition and Description
Customer	An organization which receives products from the upstream. Note: Consumers are not included as a customer in the Guidelines.
Delivery	Delivery is to send out products to a customer. Note 1: In ISO 9001, “release” is also used as a similar term besides the term of “delivery”, however “release” also implies delivering to the next process internally in the organization. Hence, these Guidelines use the term “delivery” to define when an organization sends out products to a custemr. Note 2: ‘Delivery” is also expressed as shipping
Supply chain	A chain to interconnect suppliers and customers
Chemical substances in products	Chemical substances which are known to be contained in products
Industry criteria	Criteria for managing chemical substances in products which are drawn and publicized by the organization of the respective industry
Management criteria for chemical substances in products	Criteria set by the organization in compliance with laws, regulations and the industry criteria relevant to chemical substances in products Note 1: The management criteria for chemical substances in products include the law or the regulation notified by the customer to comply, and the industry criteria of the customer that are agreed to comply between the customer and the organization Note 2: In general, the management criteria for chemical substances in products include the list of declarable chemical substances, the management level (restriction of inclusion, information management, etc.), the scope of application, etc.
Information of chemical substances in products	Information on chemical substances which are subject to the management criteria for chemical substances in products
Traceability	The ability to track history records concerning purchasing, manufacturing and delivery of the product Note: Consumers are not included in the delivery history record

Terms	Definition and Description
Nonconformity	Nonconformity of products concerning chemical substances in products means not fulfilling the management criteria for chemical substances in products and such a product is called 'nonconforming products'. Nonconformity as a result of evaluating the management system for chemical substances in products in accordance with the Guidelines means not complying with the action items.
Conformity	Conformity of products concerning chemical substances in products means satisfying the management criteria for chemical substances in products. Conformity as a result of evaluating the management system for chemical substances in products in accordance with the Guidelines means complying with the action items.
Parallel production	During any process of receiving inspection - warehouse storage - manufacturing – WIP (Work In Progress) / end-products warehouse storage – delivery, products that are restricted to contain specific chemical substances are being manufactured, while other products are also manufactured using chemical product or parts containing the above specific chemical substances in the same factory building at the same time
Outsourcing organization	External organization which is assigned to undertake all or a part of operations or functions of the organization

Table2-1 Tabulation of parts and end products (examples)

Product (Example)	Article		
	Part		End Product
	a) Part which is the first article converted from chemical product	b) Parts which are assembled from parts	
PC	a single key mounted in a keyboard	keyboard	PC
Electronics device	Plastic casing for telephone set	telephone receiver	telephone set
Transport equipment	automobile brake pad	automobile brake	automobile
Machine tool	copper material for motor	electric-drill motor	electric drill
Furniture	steel material for springs	bed mattress	bed

The following are abbreviations relevant to the Guidelines.

abbreviation	Description
ISO	International Organization for Standardization
IEC	International Electrotechnical Commission
JIS	Japanese Industrial Standards
CAS	Chemical Abstracts Service Information Division of American Chemical Society Note: CAS registry numbers are unique numerical identifiers assigned by CAS to every chemical substance
JAMA	Japan Automobile Manufacturers Association, Inc.
JAPIA	Japan Auto Parts Industries Association
JAMA/JAPIA Standard Material Datasheet	For the purpose of responding to environmental regulations, this data sheet was agreed by both JAMA and JAPIA to investigate materials/compounds contained in products
SDS（MSDS）	Safety Data Sheet（Material Safety Data Sheet） A data sheet to communicate information on characteristics or handling of chemical products. The contents of the data sheet are standardized under Japan Industrial Standards “JIS Z 7253”, and under the international standard of “ISO 11014” Note: The term “MSDS” was used earlier. It is revised herein to “SDS” to correspond to the above standards
JGP File	Electronics data including information on contained chemical substances or survey items created by JGPSSI Survey Response Tool
JAMP MSDSplus	Material Safety Data Sheet plus A data sheet designed by JAMP to complement SDS for communicating information on chemical substances contained in substances/mixtures
JAMP AIS	Article Information Sheet A Data sheet designed by JAMP to communicate and disclose information on chemical substances contained in articles

3. Principles of the Management of Chemical Substances in Products

It is important that the organization involved in the management of chemical substances in products should develop, implement, maintain and evaluate the management system upon understanding the principles of the management of chemical substances in products

3.1 Principle

As the principles of the management of chemical substances in products, each organization shall define the management criteria of chemical substances in products for the respective stage of purchasing, manufacture and delivery during design and development. The organization shall also verify if management is implemented properly in accordance with the management criteria. It is important that such a management is implemented in the entire supply chain and the information is communicated according to the management criteria

For the purpose of producing products which can fulfil the management criteria of chemical substances in products, the organization shall operate the management of chemical substances in products respectively in the stage of design and development, purchasing, manufacturing and delivery as shown in Table 3-1. Depending on the type of business operation, some organizations may not have all stages covering from design and development, purchasing, manufacturing to delivery.

Table 3-1: Management of chemical substances in products at the respective stage of operation

Stage	Action Item
Design and Development	For the purpose of producing products which can fulfil the management criteria of chemical substances in products, the organization shall define the management criteria of chemical substances in products after considering the action items to be implemented at the respective stage of purchasing, manufacturing and delivery, corresponding to products and the type of business operation of the organization.
Purchasing	In accordance with the management criteria of chemical substances in products for purchasing, the organization shall issue a purchase order to a supplier, and collect information of chemical substances in products to be purchased from the supplier. The organization shall manage that products to be purchased should satisfy the management criteria of chemical substances in products for purchasing.

Stage	Action Item
Manufacturing	The organization shall manage chemical substances contained in products while focusing on a change of concentration, a change of composition or other changes in accordance with the management criteria of chemical substances in products for manufacturing.
Delivery	The organization shall verify that products to be delivered should satisfy the management criteria of chemical substances in products.

3.2 Conversion Process to Article

For managing chemical substances in products in the entire supply chain, it is crucial to manage chemical substances contained in parts which are the first articles to be converted from chemical products. Specifically, it is necessary that not only identifying the chemical mass contained in chemical products that are used to manufacture "parts" to convert to first articles from chemical products, but also managing a change in chemical mass or a change of chemical substances during conversion processes to an article. Furthermore, managing prevention of admixture or contamination is also necessary.

Figure 3-1 shows the image of conversion process from chemical products to articles in the supply chain and Table 3-2 shows examples of conversion process from chemical products to articles.

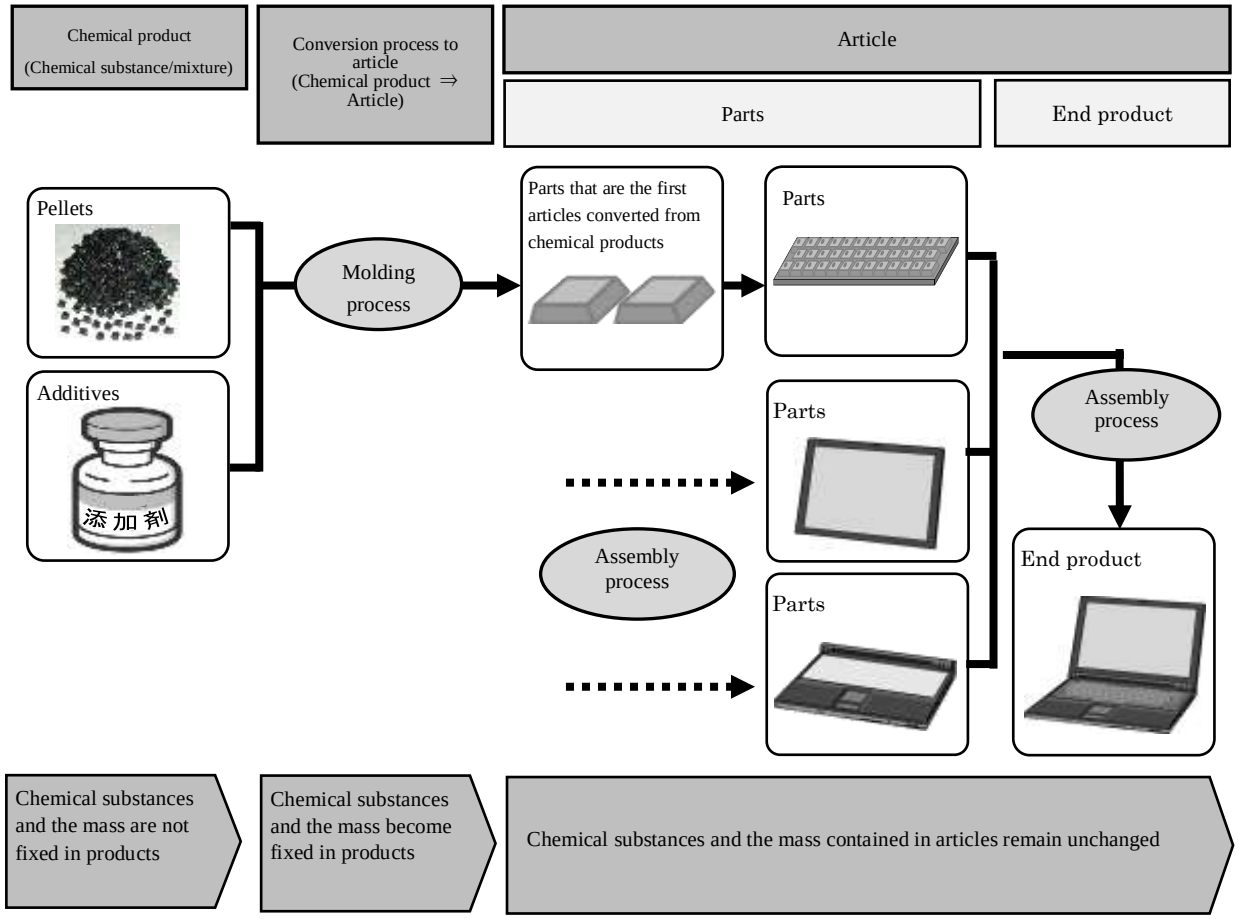

Figure 3-1　Conversion process from chemical products to articles in supply chain

Table 3-2 Example of conversion process from chemical products to articles

Conversion process	Chemical product to be used	Material to be processed (article)	New article	Phenomenon
Painting	Paint	Base material	Painted base material	Volatilization: Some or all components of original chemical substances contained in mixture are removed by evaporation (subtraction processing)
Printing	Ink	Base material	Ink printed product	
Printing/baking	Glass paste	Base material	Pattern- formed glass substrate	
Synthetic adhesion	Adhesive	Base material	Plywood	
UV printing	UV ink	Base material	UV-ink printed product	Hardening: Original chemical substances converted to different substances and become hardened (not addition, but a process of conversion takes place)
Epoxy sealing	Epoxy resin	Sealed chip	Sealed semiconductor chip	
Plating	Plating fluid	Base material	Plated Base material	Precipitation: Multiple components of chemical substances contained in mixture change mutually and a part of substances appear on the surface of the existing article in a solid form (not addition, but conversion process takes place)
Plastic molding	ABS pellet	—	ABS plastic casing	Fusion: a heating process to melt solid-mixture in original state to a liquid state in order to change a physical profile (In many cases, composition of mixture do not change)
Soldering	Solder	Mounted substrate	Soldered mounted substrate	
Die casting	Alloy ingot	—	Die-cast part	

3.3 Prioritized Management Considering Management Risks (Management corresponding to products and business operation)

The nature of business and products of the organizations involved in the supply chain are diverse. It is recommended that each organization should optimize its expertise and knowledge in its specialized field to implement management of chemical substances in products in the organization. It is necessary that risks associated with the management of chemical substances in products should be identified, analyzed and evaluated. Furthermore, the appropriate measures shall be taken.

When the organization implements management of chemical substances in products, it is important to focus on the processes requiring key management in the supply chain and to prioritize management on processes (including purchasing, manufacturing and delivery) where contamination by incorrect use or admixture of chemical substances may occur.
Reference procedures to identify items for priority management are given below. Items for priority management can be a part of the action items stated in Chapter 4 of the Guidelines or in some cases, they are related to multiple action items.

(1) Verification of risks in handling chemical substances and in management of chemical substances in products
- Verify chemical products, parts, secondary material, etc.
- Verify production equipment, jigs, etc.

(2) Identification of items for prioritized management
- Identify items for prioritized management in consideration of risks in management of chemical substances in products
- Determine the management level (specific response) for prioritized management and other general management

It is important that the organization having specialized and detailed knowledge of chemical products, parts and the manufacturing processes used in the organization determines the items for prioritized management and its response to those items under its own responsibility. Furthermore, it is necessary that the organization expresses the basis of selecting those items and requests cooperation in management to the upstream and downstream organizations. Table 3-3 below provides items which generally require prioritized management. If needed and if possible, the organization advisably carries out management of chemical substances in products in cooperation with the organization which holds relevant knowledge and experiences.

Table 3-3 Examples of Items which generally require prioritized management

[Chemical product]
- Chemical substances which have been used, but inclusion of such chemical substances has become restricted by new regulations. Chemical substances which are highly possible to be used in in-house production or highly possible contained in purchased products, and therefore, which need to be re-examine - Chemical products which contain or possibly contain declarable chemical substances under the management criteria of chemical substances in products - Recycled materials, in particular, open-recycled materials that are recycled materials from outside the process. In some cases, a different method may be required to manage

recycled materials, separating from virgin materials
- Minerals and natural products
- When information on chemical substances in products cannot be identified, etc.

［Products］
- Parts manufactured from chemical products which require prioritized management, etc.

［Manufacturing process］
- Processes using chemical products which require prioritized management
- Processes using parts which require prioritized management

Based on principles of Article 3.1 and Article 3.2 in the Guidelines, the management of chemical substances in products in the entire supply chain can be classified into seven frameworks. Out of seven frameworks, the organization shall select and confirm the framework which is relevant to its products or its business operation. It is recommended that the organization carries out management based on guidelines of such a framework. In Annex B, a comparison is explained between the seven management frameworks for chemical substances in products and "Action Items for Management of Chemical Substances in Products" in Chapter 4.

In some cases, depending on the type of products or where the product is delivered, some products are not applicable to regulations or some use of the product is exempted from regulations restricting inclusions. Therefore, the organization is required to know if there is a parallel production, which is to have a manufacturing process using restricted chemical substances, while there is also a manufacturing process not using the said restricted chemical substances. In case that a parallel production exist, it is required that the organization carry out intensive management of chemical substances in products to prevent contamination of such a chemical substance by incorrect use or admixture.

Annex C of the Guidelines explains on parallel production.

3.4 Upstream and Downstream Supports for Organizations with Difficulty in Autonomous Management

It is essential that all organizations involved in the entire supply chain should carry out management of chemical substances in products appropriately. As a consequence, a product manufactured through the supply chain will be able to achieve compliance with laws and regulations on chemical substances in products.
In actual fact, however, many organizations find it difficult to carry out autonomous management of chemical substances in products such as managing data or chemical

reactions. In particular, mid-stream organizations which are the key of communicating information of chemical substances in products are facing difficulty in autonomous management.

It is therefore very important that all organizations involved in the supply chain understand requirements for management of chemical substances in products stated in the Guidelines, and that upstream and downstream organizations provide supports to implement the appropriate management.

3.5 Information of Chemical Substances in Products

With the management of chemical substances in products being conducted at the respective stage of design and development, purchasing, manufacturing and delivery as a prerequisite, all organizations involved in the supply chain shall compile information on chemical substances in products based on rational information at each stage and provide such information to the next organization.

Generally, information of chemical substances in products of the organization shall be compiled by the organization itself based on information of chemical substances in purchased products and based on manufacturing information or scientific knowledge and experience on manufacturing processes. As shown in Figure 3-2, the mid-stream or downstream organization in the supply chain shall compile and prepare information on chemical substances in articles to be delivered.

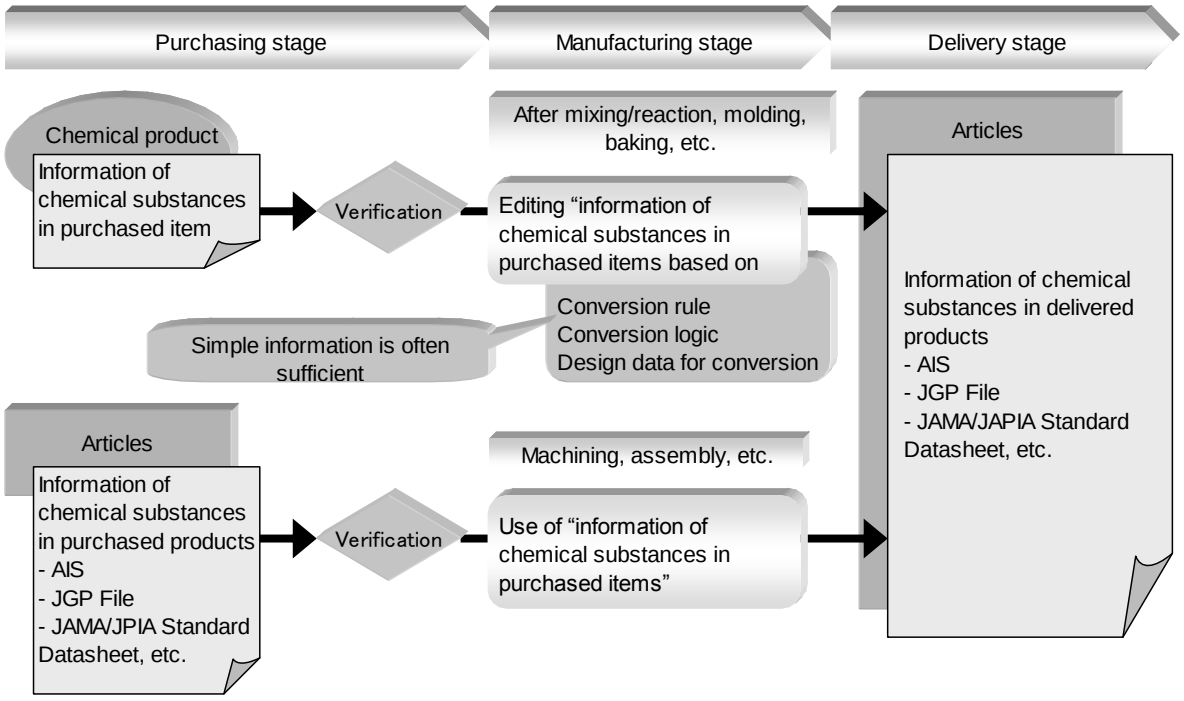

Figure 3-2 Information Flow of chemical substances in products in mid-steam and downstream of the supply chain

3.6 Consideration to Corporate Confidentiality

Although the information of chemical substances in products must be disclosed to comply with international or domestic laws and regulations, it is also essential for the organization to keep corporate confidentiality in order to sustain healthy competitiveness of the organization. In particular, it is a great concern for the product suppliers that disclosing the information on chemical substances contained in mixture or articles may lead to a serious issue for them. Therefore, sufficient consideration is necessary to handle corporate confidential information between the organizations dealing with each other when they transfer or receive information of chemical substances in products. In some cases, corporate confidential information also includes commercial and business information such distribution channel or a name of purchased products.

4. Action Items for Management of Chemical Substances in Products

The action items that are the compilation of what to be implemented in management of chemical substances in products are shown in the following pages. The List of the Action Items & the Check Sheet (Annex D) can be used to evaluate whether or not the management system of chemical substances in products is properly developed and operated in the organization along the Guidelines.

The action items are structured in a manner of PDCA to ensure easy implementation. PDCA refers to P (Plan: formulating policies, planning), D (Do: implementing plans and performing operations), C (Check: evaluating performance and reporting the result) and A (Action: implementing measures for continuous improvement) where a cycle of actions are continuously implemented. Additionally, rules shall be established to satisfy requirements of the action items and the organization shall operate the action items according to established rules.

Action Items	The action items are the list of items required for managing chemical substances in products and constitutes from "4.1 Management of Chemical Substances in Products in General" to "4.6 Evaluation and Improvement of Implementation Status" In case that "the action item" doesn't apply to the organization, the organization does not need to satisfy the said action item.
Action Details	Action details describe how the action items are specifically put into practice. It is important that action details are described commonly for the entire supply chain. However, depending on the nature of business operation, they may not be sufficiently explained. In such a case, action details should be implemented to match the nature of business of the organization after the organization has good understanding of the required management level and the intent of "Notes". If necessary, the organization may replace description of action details. Since there is a diverse range of industries involved in the supply chain, it is advisable that detailed explanatory materials be prepared to cater for different industries.
Note:	Referring to notes stated in Guidelines of JIS Z 7201, description of action items and action details, points of management and examples of the management are provided herein.

4.1 Management of Chemical Substances in Products in General

- The organization shall establish, document, implement, sustain and continuously improve the management system of chemical substances in products in accordance with the action items stated in the Guidelines.

[Note]

(1) In case that the other management system such as the quality management system or the environment management system has already been established in the organization, the organization may optimize such an existing system to implement management which can satisfy the action items in the Guidelines.

4.2 Representation of the Management Policy of Chemical Substances in Products

- Top managers of the management of chemical substances in products shall determine the management policy of chemical substances in products for the organization and shall address implementation of the effectual management of chemical substances in products.

[Note]

(1) Implementation of management of chemical substances in products refers to complying with relevant laws and regulations in accordance with the Guidelines or developing the management system of chemical substances in products according to JIS Z 7201, etc.

(2) It is important to confirm that policies approved by the top management of chemical substances in products are disseminated and understood by those concerned.

(3) It is important that responses to the industry criteria or compliance with regulations are incorporated into the policies.

(4) It is important that the policies are reviewed as required at the time of amendment of laws and regulations and maintained constantly.
As examples of dissemination, the organization can assemble persons in charge and explain about policies, put up posters, distribute the cards explaining about policies or announce in the information sharing system within the organization.

4.3 Planning

4.3.1 Defining the management criteria of chemical substances in products

- The organization shall determine and document the management criteria of chemical substances in products.

[Note]

(1) The management criteria of chemical substances in products are the criteria determined by the organization in accordance with laws, regulations and the

industry criteria relevant to chemical substances in products.

(2) The management criteria of chemical substances in products shall include laws and regulations which are notified by the customer to comply and the customer's industry criteria that are agreed to comply between the organization and the customer.

(3) Depending on the product category, there may be more than one management criteria of chemical substances in products.

(4) The management criteria of chemical substances in products may apply in a different scope depending on laws and regulations. For example, in some cases, regulations only apply to export products or in other cases, regulations apply only to products for domestic market.

(5) It is important to maintain and manage up-to-date information of laws and regulations and the industry criteria.

(6) It is important to define the scope of application for the management criteria of chemical substances in products. From a view of the organization, business operation, chemical substances, purchased products, manufacturing processes and products, the scope of application has to be defined to cover all the necessary areas. For example, the upstream organizations of the supply chain may focus on managing information on chemical substances in products for delivery. Hence, the organization needs to implement management corresponding to the actual conditions of manufacturing processes.

(7) In case that the organization declares no possible inclusion in products based on scientific grounds, it doesn't have to reflect the management criteria of chemical substances in products, however it is important that its evidence needs to be clarified.

(8) In case of contract manufacturing, the organization shall understand laws and regulations to comply and shall define the management criteria of chemical substances in products voluntarily.

4.3.2 Target and Implementation Plan

- The organization shall set the target for management of chemical substances in products. The organization shall draw up, implement and sustain the implementation plan to achieve the target. The organization shall review the target and the implementation plan whenever needed.

[Note]

(1) The target shall be consistent to the management policy of chemical substances in

products and importantly, it should be assessable to check its achievement.

(2) It is important that progress can be seen clearly against the plan or towards the target and the target or the plan should be revised according to progress.

(3) In case that the management system of chemical substances in products has already been placed, only the target needs to be set to sustain or continue the activities.

4.3.3 Defining Responsibility and Authority

- The organization shall determine responsibilities and authorities to implement management of chemical substances in products effectively.

[Note]

(1) Clearly defined responsibilities and authority is synonymous with "departments and roles have been clearly determined".

(2) It is important that the scope of responsibilities and authorities should also be clearly defined in the outsourcing organizations.

(3) For instance, the organization chart or rules for management of chemical substances in products can be used as a method of clarification.

(4) The roles of management of chemical substances in products may also be defined in the structure of environment management system or the quality management system.

4.3.4 Internal Communication

- The organization shall establish a procedure for the internal communication and shall notify the policy, the management criteria of chemical substances in products, the target, the implementation plan, responsibilities and authorities to all related departments.

[Note]

- It is important that the organization should identify necessary information on management of chemical substances in products where the management criteria of chemical substances in products is applied, and communicate and share information appropriately.
- When communicating with the relevant departments, it is important to confirm that the relevant departments have a good understanding of the information and as a consequence, it leads to necessary actions.
- For evaluating conformance with the action items listed in the check sheet, the

policies, the management criteria of chemical substances in products, the target, the implementation plan, responsibilities and authority shall be verified under the Action Items of 4.2, 4.3.1, 4.3.2 and 4.3.3

4.4 Operation and Management

4.4.1 Operation and Management in General

- For the purpose of producing products which can fulfil the management criteria of chemical substances in products, management of chemical substances in products shall be implemented at the respective stage of design and development, purchasing, manufacturing and delivery.

4.4.2 Management of Chemical Substances in Products at Design and Development

- For the purpose of producing products which can fulfil the management criteria of chemical substances in products in the stage of design and development, the organization shall define clearly and document the management criteria of chemical substances in products at the respective stage of purchasing, manufacturing and delivery in accordance with products and the type of business operation.

[Note]

<Common management of chemical substances in products in design and development >

(1) This action item is applicable not limited to the design department, but including when the organization selects purchased products.

(2) "The stage of design and development" means not only works done in the design and development department, but also includes works done by relevant departments up to start of production.

(3) As the manufacturing conditions under the management criteria of chemical substances in products at the stage of manufacturing, appropriate management also include prevention of chemical contamination by incorrect use or admixture and control of reaction processes.

(4) For the purpose of producing products which can satisfy the management criteria of chemical substances in products, it is crucial to determine the management criteria of chemical substances in products at the stage of purchasing, the management criteria of chemical substances in products at the stage of manufacturing and the management criteria of chemical substances in products at the stage of delivery, while considering chemical substances contained in purchased products and chemical substances that are added, generated or removed during manufacturing

processes.

(5) It is important to pay enough attention to the management criteria of chemical substances in products at each respective stage to ensure that the management criteria is applied to all the scopes

(6) It is important that what is required at testing, trial and mass production is defined at the stage of design and development

(7) In case that the customer specifies chemical products or articles to be used in manufacturing, it is important to discuss with the customer and decide on specifications and the management criteria

(8) In case that the organization uses recycled material, the organization shall define the management method and operate it accordingly upon its full understanding of risks of recycled materials.

(9) The organization shall confirm if there is a parallel production of the manufacturing process using restricted chemical substances. In case there is a parallel production, it is crucial to establish the management method to prevent contamination by incorrect use or admixture

(10) The management criteria of chemical substances in products at each stage should be accepted if they correspond to the nature of business of the organization

(11) For instance, the management criteria of chemical substances in products for each stage which are clearly defined in design and development can be indicated in specifications, drawings, manufacturing order, work request or in the standards.

＜Management of manufacturing chemical products at the stage of design and development ＞

(1) In case the organization manufactures chemical products, the organization shall verify information on chemical substances in purchased products. It is important that the organization design the manufacturing processes and products to satisfy the management criteria. If necessary, the organization shall specify the specifications of purchased products.

(2) In order to verify information of chemical substances in chemical products, a commonly used mode of communication such as a combination of SDS and MSDSplus is recommended to transfer information on chemical substances in products.

＜Management of manufacturing articles using chemical products at the stage of design and development＞

(1) Examples of manufacturing articles from chemical products are resin molding,

surface processing such as plating, painting or printing or bonding using solder or bonding agents. For instance, in case of bonding, the organization should bear in mind that a change may occur in concentration (mass) of contained chemical substances or a chemical substance itself changing to another kind after hardening.

(2) In case of manufacturing articles from chemical products, it is important that the organization verifies information on chemical substances in purchased products. In case that there is a possible change in concentration or any change in a kind of chemical substances contained in products in the manufacturing process, it is crucial that the organization identifies such a change to verify whether or not the product conforms the management criteria of chemical substances in products.

(3) In case that some chemical product is applied on manufactured articles, it is important that the organization verifies the information of chemical substances contained in chemical products. Examples of these chemical products are refrigerant, grease, lubricant or anti-rust oil.

(4) In many cases, it is operated at the same time as the process manufacturing from articles to new articles. Therefore, the organization shall focus on the management notes of designing and developing these processes.

(5) In order to verify information of chemical substances in chemical products, a commonly used mode of communication such as a combination of SDS and MSDSplus is recommended to transfer information of chemical substances in products.

＜Management at the stage of design and development for manufacturing articles from article＞

(1) Examples of manufacturing new articles from articles are assembling parts or mechanical processing of “metal or resin parts which are the first article converted from chemical products”.

(2) In case of manufacturing new articles form articles, the organization shall verify information of chemical substances in purchased products. Furthermore, it is crucial to verify whether or not products conform to the management criteria of management of chemical substances in products.

(3) In case of using bonding agent or soldering, the process which manufactures articles using chemical products is also concurrently carried out. Therefore, the organization should pay attention to management notes on designing and developing the said process.

(3) In order to verify information of chemical substances in articles, a commonly used mode of communication such as AIS, JGP file, JAMA/JAPIA standard material datasheet is recommended to transfer information on chemical substances in

products.

4.4.3 Management of Chemical Substances in Products at Purchasing

4.4.3.1 Collection and Verification of Information of Chemical Substances in Products

- The organization shall present the management criteria of chemical substances in products for purchasing (hereinafter referred to as "the purchase management criteria") to suppliers, and collect necessary information of chemical substances in products. The organization shall verify if information of chemical substances in the purchased products satisfies the purchase management criteria and record the result accordingly.

  The organization shall complete collection and verification of the information of chemical substances in products in accordance with the purchase management criteria before start of manufacturing.

[Note]

(1) Information of chemical substances in products includes any inclusion of declarable chemical substances that are subject to the management criteria of chemical substances in products, chemical mass, concentration or usage.

(2) The organization shall verify first if collected information of chemical substances in products contains all necessary data.

(3) It is important to use CAS number, a name, a number or a code which can identify the chemical substance.

(4) In case that purchased products are the chemical products, a mode of collecting information of chemical substances in products can be thorough a combination of SDS and MSDSplus.

(5) In case that purchased products are the articles, a mode of collecting information of chemical substances in products can be through AIS, JGP file or JAMA/JAPIA Standard Material Datasheet.

(6) Laws, regulations and the industry standard may be applied differently depending on usage of the product. Therefore, the organization shall inform the usage of products when receiving any inquiry.

4.4.3.2 Verification of the Management Status of Chemical Substances in Products at Supplier

- When the organization selects the supplier, the organization shall verify and record the management status of chemical substances in products at the supplier. In case that the organization continues business with the supplier, for the purpose of fulfilling the management criteria of chemical substances in products, the organization shall verify and record the supplier's management status of chemical substances in products again whenever necessary. The organization shall define the actions against the outcome of the supplier's management status prior to verification.

[Note]

(1) Management of chemical substances in products at the supplier implies the system which appropriately manages chemical substances contained in products at the respective stage of purchasing, manufacturing and delivery. In accordance with the action items provided in the Guidelines, the following items are the elements of management,

(a) Clarification of the management criteria of chemical substances in products
(b) Collection and verification of information of chemical substances in products
(c) Verification of the management status of chemical substances in products at the supplier
(d) Management at receiving
(e) Proper management at manufacturing (prevention of contamination by incorrect use or admixture, appropriate management at reaction process)
(f) Management at delivery
(g) Traceability
(h) Exchange of information with the customers (providing information on chemical substances in products)
(i) Change management
(j) Response to occurrence of nonconformity

In case that some elements are not included, reasons and response shall be defined clearly.

(2) In case of purchasing from multiple suppliers (multi-sourcing), it is crucial to include all the suppliers.

(3) To evaluate the risk level in management of chemical substances in products at the supplier, the organization can use sources such as collected information on chemical substances in products, possibility of unintentional inclusion of chemical substances in purchased products (the presence or absence of reaction process or parallel production, a type of chemical product/article, etc.) the state of conformance to the

Guidelines, the presence or absence of the environment or quality management system, past performances.

(4) Examples of actions upon verification result are that the organization can appoint the supplier, continue business with the supplier, request improvement to the supplier, give instructions to the supplier or cease business, etc.

(5) At the method of verifying the management status of chemical substances in products at the supplier, the organization can utilize the documentation or visit the supplier. It is recommended to use "the List of the Action Items and the Check Sheet", which is an annex to the Guidelines.

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4.4.3.3 Management of Chemical Substances in Products at Receiving

- The organization shall verify purchased products upon receiving if they fulfil the purchase management criteria of the organization and record accordingly.

[Note]

(1) It is important to clearly define the method of verification at receiving. For example, it includes the method of judgment (to collate actual products against information, taking measurement in the organization if necessary), the method of recording judgment or the management method of identification.

(2) Outsourcing products shall also be included in product verification at receiving.

(3) Corresponding to risks in management of chemical substances in products, it is important to determine clearly what to be verified at receiving, the criteria, the method and frequency, etc.

(4) In case of purchasing from multiple suppliers (multi-sourcing), it is crucial to apply the different method of verification to match risks of each supplier.

(5) In case of any risk, it is crucial that the organization should also include sub-materials (secondary materials) such as solder (including solder remained on products), grease, adhesives, oil, tape, cushion materials, binding materials, cushioning materials or ink (including marker pens, stamps) used for products.

(6) To judge the risk level of purchased products, the organization shall judge based on how high the possibility of inclusion of targeted chemical substances under the management criteria of chemical substances in products, the supplier's management level of chemical substances in products, past performances, the presence or absence of recycled materials, etc.

(7) It is also acceptable if the organization has the ordering system only to purchase products conforming with the management criteria of chemical substances in products and verifies the order numbers or model numbers at receiving purchased products.

4.4.4 Management of Chemical Substances in Products for the Manufacturing Process

4.4.4.1 Management of Chemical Substances in Products for the Manufacturing Process in General

- The organization shall manage the manufacturing processes in accordance with the management criteria of chemical substances in products for manufacturing processes and record the result accordingly.

[Note]

(1) Specifically, it is crucial that the organization should manage declarable chemical substances under the management criteria of chemical substances in products not to be generated or remained exceeding the level specified in the management criteria of chemical substances in products at the manufacturing process by change of composition or change of concentration.

(2) It is crucial for the organization to identify the processes required for prioritized management. For example, the organization should identify the manufacturing process which triggers composition change of chemical substances by oxidation or reduction reaction, or which generates concentration change of chemicals substances by condensation or evaporation, etc., and importantly the organization shall implement the appropriate management.

(3) In the conversion process from chemical products to article, in some cases, no composition change is observed. Yet, it is crucial that the organization pay attention to a possible change of chemical composition. For example, low molecular-weight compound contained in paint coat is volatilized in the baking finish process, or in the molding process of thermosetting, monomer, hardening agent or curing starter involved in curing process may change a chemical composition caused by bonding or thermosetting resin, building in or polymerization.

(4) In case that the organization which manufactures article from chemical products is unable to identify a change of chemical composition, it is essential that the organization takes a necessary action such as contacting the supplier of chemical product

(5) In case that recycled materials are used, upon full understanding of risks in the management of chemical substances in products, the organization shall define the management method and use it accordingly

(6) It is acceptable if the management criteria of chemical substances in products for manufacturing processes are reflected in QC process chart, management process

chart, management flow chart and work procedures.

(7) In case of manufacturing articles using chemical products, it is essential to design products and processes based on scientific evidence, while focusing on a change of concentration or a change in type of chemical substances in articles at the manufacturing process. For example, use of solder, adhesives, grease or ink applies to this case.

4.4.4.2 Prevention of Contamination by Incorrect Use or Admixture

- The organization shall implement the preventive measures against contamination by incorrect use or admixture of declarable chemical substances under the management criteria of chemical substances in products

[Note]

(1) In specific, there is a method such as separating the process requiring the prioritized management from the one which does not require the prioritized management.

(2) In the process where the prioritized management is required, it is essential that the organization implements the appropriate management by separating equipment, jig and tools to be used and properly storing parts, work in progress and end products (including warehouse storage).

(3) It is important that the organization undertakes the preventive measures properly to avoid any admixture or contamination of chemical substances which are input into products at the manufacturing process.

(4) The process which requires prioritized management includes parallel production. It is important that management should be implemented separate from other general processes. In case the process which requires the prioritized management is not isolated from other processes, it is crucial to ensure thorough implementation of identification or appropriate procedures for switching-over.

(5) In case no prioritized management is required in the area of management, in some cases, only minimal actions may be sufficient for management. However, verification is always important.

(6) It is acceptable if preventive actions against contamination by incorrect use or admixture are designed to correspond to the management level of chemical substances which are possible to contaminate (such as forbidden to use or managing inclusions, etc.). For example, in case there is no possibility of contamination of "prohibited chemical substances" by incorrect use or admixture, the organization can implement the general process management.

4.4.5 Management at Delivery

- Before the organization delivers products, the organization shall verify products if they satisfy the management criteria of chemical substances in products for delivery and record the result accordingly. At receiving or at the manufacturing process, the organization shall verify again to ensure that all predetermined check items are completely confirmed. The organization shall also manage to prevent contamination by any incorrect shipment or mixed-up in the product warehouse.

[Note]

(1) The following are examples of verification items at delivery.
   (a) Purchased products are verified at receiving before used for manufacturing
   (b) Products are manufactured in accordance with the management criteria of chemical substances in products at the respective stage
   (c) In case of any change, the history of change is recorded and stored
   (d) When nonconformance is found, a proper action is taken to tackle nonconformance
   (e) When necessary, sampling is done for verification.

(2) The following are the examples of verification method
   (a) With an identification tag, the management status can be captured in the manufacturing process
   (b) The management data can be captured in the manufacturing process by the production management system

4.4.6 Verification of the Management Status of Chemical Substances in Products at Outsourcing

- In case that the organization outsources some processes such as product design and development or manufacturing to another organization, the organization shall verify the management status of chemical substances in products at the outsourcing organization to ensure that the management criteria of chemical substances in products can be complied and shall record the result accordingly.

[Note]

(1) The outsourcing organizations shall manage themselves under their own management system of chemical substances in products. It is important that the organization should inform requirements of management to the outsourcing organizations and review their management status periodically

(2) This action item is applicable not only outsourcing the manufacturing process, but

also when the organization outsources design and development process to the outsourcing organizations.

(3) Corresponding to the outsourcing type and management risks of chemical substances in products, it is important to implement effectual management. Risks are different if the organization supplies chemical products or articles to the outsourcing organization where only manufacturing process is assigned, whereas even purchasing is done in the outsourcing organizations under their own decision.

(4) In case that the organization outsources even purchasing of chemical products or articles to be used in the manufacturing process to the outsourcing organizations, it is important to define their responsibility and authority.

4.4.7 Traceability

- The organization shall assure traceability of the information of chemical substances in products by appropriate manners in order to grasp, utilize, disclose and transfer the information of chemical substances in products swiftly.

[Note]

(1) Traceability is to capture the information on components and parts of each product, when and where the product was manufactured, information of chemical substances contained in components or manufactured products corresponding to the management risk of chemical substances in products, for the purpose of identifying the extent of nonconformance or providing the information at the time of change. Furthermore, it is also to establish the system to utilize, release and transfer such information.

(2) Traceability can be achieved when the organization keeps the records of chemical substances in products in accordance with the Guidelines.

(3) It is important to manage the management information, the abnormality information and the element-change information in the manufacturing processes.

(4) It is crucial to identify or isolate depending on risks

4.4.8 Exchange of Information with the Customer

- The organization shall clearly define and implement the effective method of exchanging information with the customer for the following matters, and record details of such information exchange.
  a) Laws, regulations and the industry criteria that are required by the customer to comply

b) Information of chemical substances in products
c) information on the management of chemical substances in products

In case that any change is to be made to the information of chemical substances in products, the organization shall notify the customer prior to such a change

[Note]

(1) The effective method of exchanging information implies that the organization having established the efficient system which enables to respond to enquiries or evaluations in a speedy manner

(2) It is important that the organization has an agreement on the notification period for information on chemical substances in products with the customer.

(3) It is recommended to use a common method when communicating information of chemical substances in products; in case of delivering chemical products to the customer, use a combination of SDS and MSDSplus, or in case of articles, the organization may use AIS, JGP file, JAMA/JAPIA Standard Material Datasheet,

(4) In case of handling confidential information, the organization shall specify how to handle such confidential information by signing the agreement with the supplier or the customer.

4.4.9 Change Management

- The organization shall extract changeable elements which may affect declarable chemical substances under the management criteria of chemical substances in products. When any change arises, before the actual change is taken place, the organization shall effectually confirm a change to be made to the information of chemical substances in products and verify if the management criteria of chemical substances in products can still be fulfilled. The organization shall document the procedures of change management and record the result of change.

[Note]

(1) The change elements which may affect declarable chemical substances in the management criteria of chemical substances in products include changing or adding a supplier, changing a purchased product, changing the manufacturing process, etc.

(2) It is important that the organization collects the supplier's change information prior to any change taken place. It is also important that the organization disseminates the suppliers (including 2nd or 3rd tier suppliers) about the procedures of change management.

(3) It is important to verify conformance to the management criteria of chemical

substances in products prior to any change taken place.

(4) It is important to notify the customers of the change information prior to any change taken place. In case that any change is occurred to chemical substances in products, the organization shall provide updated information on chemical substances in products swiftly. It is also important that the organization provides lot information or identification information to the customers

(5) It is crucial to manage changes occurred not only in the organization, but also in the suppliers or in the outsourcing organizations. It is essential to define the communication flow with the supplier, the outsourcing organizations and the customers.

(6) Generally, the change management includes four production elements that are Man, Machine, Material and Method. In addition, the measuring method (Measure) should also be taken into consideration

(7) In case that chemical substances contained in products which are delivered to unspecified number of customers (such as catalogue products, commercial products), it is conceivably difficult to inform such a change in advance. Therefore, it is crucial to enable to identify changed products in such a manner as handling them as different products, etc.

4.4.10 Response to Occurrence of Nonconformity

- The organization shall develop and document the method of in-house contacts, the method of contacting suppliers, outsourcing organizations and customers as well as the temporary corrective actions, in order to correspond to any nonconformity arising relating to chemical substances in products. After the temporary measure is taken, the organization shall investigate and identify the cause, determine and implement the necessary countermeasures to prevent recurrence of nonconformity. The organization shall take the preventive measures to avoid any occurrence of nonconformity. The organization shall record the responses taken at nonconformity.

[Note]

(1) It is important that the organization should determine the definition of nonconformity of chemical substances in products and specify the level of nonconformity and the response corresponding to the level.

(2) The examples of temporary measures are to identify an affected area (to identify nonconforming lot, nonconforming equipment, etc.), to prevent expansion of nonconformity (to stop shipment, to stop production, etc.).

(3) As for contacting in-house, in some cases, contacting top managers of the

management of chemical substances in products is crucial.

(4) It is important to specify that the first report shall be made immediately to inform the occurrence of nonconformance externally to the suppliers, the outsourcing organizations and the customers. It is also important that the organization sets the notification period prior to any nonconformance or requests to report immediately upon occurrence of nonconformance.

(5) After a temporary is measure is taken, the organization shall determine and implement a necessary measure, and importantly prevent recurrence of the problem. Recurrence-preventive measures should be implemented not only in its own organization, but also implemented widely at relevant organizations (such as in group organizations or affiliates, etc.) when necessary.

(6) It is advisable that the organization implements preventive measures to avoid occurrence of nonconformance. For example, taking measurement of lead concentration in solder bath regularly can be implanted as management of manufacturing process.

4.5 Management of Human Resources, Documentation and Information

4.5.1 Education and Training

- The organization shall develop the contents of each management and operation module that are necessary to train and educate for management of chemical substances in products. The organization shall identify works and personnel to be engaged in management of chemical substances in products, and conduct the necessary training and education, and record accordingly.

[Note]

(1) Management and Operation implies contents shown in the Actions Items covering from "4.4.1 Operation and Management in General" to "4.4.10 Response to Occurrence of Nonconformity" in the Guidelines.

(2) It is important that the organization inspects if all the necessary modules are conducted without any fail

(3) Examples of the education and training modules are contents of responsible works, management principles of chemical substances in products, applicable laws, regulations and industry criteria, risk management of chemicals substances, efforts by the industrial organizations, case study of usage or contamination of declarable chemical substances specified under the management criteria of chemical substances in products, analytical methods of such chemical substances, etc.

4.5.2 Management of Document and Record

- The organization shall manage the documents including "the procedures of documentation" and the records as required in the action items of the Guidelines as well as the procedures and the records which are determined by the organization as necessary.

[Note]

(1) The organization shall manage and document the management criteria of chemical substances in products which are developed by the organization to comply with, relevant rules and regulations for the purpose that that they can be correctly understood and operated within the organization

(2) It is important that the organization prepares the document (the systematic diagram of documentation) which shows the management system of chemical substances in products and relevant documents systematically. In the documentation system, it is important to indicate the revision history of each document.

(3) It is important that the document should be reviewed whenever it is required. Furthermore, updated versions should be available for viewing whenever it is needed.

(4) Examples of documents include the policy, the management manual of chemical substances in products, relevant management manuals of chemical substances, the standards, regulations, criteria, procedures, the systematic diagram of documentation, etc. These documents do not need to be in the manual format

(5) The record implies a record of verification results from the respective action items. It is important to establish the retention period for each document and manage it accordingly.

(6) The examples of records are information of chemical substances in products, receiving verification data, delivery verification data, or internal audit results, etc.

(7) The organization may integrate these documents and records into those of other management system implemented in the organization and manage them together.

4.6 Evaluation and Improvement of Implementation Status

- The organization shall evaluate the management status of chemical substances in products periodically at a predetermined frequency. The organization shall implement corrective actions to matters which require correction. The organization

shall record the result of evaluation and the corrective actions and report it to top managers of the management of chemical substances in products. The top management in chemical substances in products shall review the result of evaluation and the corrective actions.

[Note]

(1) The organization shall define the evaluation procedures which may be carried out as internal audit and it is crucial to evaluate the management status of chemical substances in products

(2) It is important the organization provides necessary education and training on management of chemical substances in products to the person in charge of evaluation or internal audit

(3) It is important that the organization implements evaluation and improvement of the management status in an appropriate manner corresponding to the size of the implementing organization.

5. Evaluation based on the Guidelines for the Management of Chemical Substances in Products and Self-Declaration of Conformance

5.1 Evaluation of the Management System of Chemical Substances in Products

The organization shall evaluate the management system of chemical substances in products established in the organization, while the evaluation criteria are the action items stated in the Guidelines that are the management requirements for chemical substances in products. With an intention that the organization involved in the supply chain practices management of chemical substances in products and that the entire supply chain improves the management level of it is important, evaluation shall be done appropriately and necessary improvement shall be done based on the evaluation result. Furthermore the management system can be sustained. The Guidelines contain "The list of the Action Items and Check Sheet" (Annex D) in order to evaluate the management system of chemical substances in products. By utilizing this Check Sheet, the organization is able to comply with applicable action items and to make a comprehensive evaluation on the entire management system efficiently and objectively.

5.2 The List of the Action Items and Check Sheet

In the Check Sheet which is in the Annex of the Guidelines, a few questions are developed for each Action Item from the viewpoint of rules and operations based on those rules. Therefore, The Check Sheet enables the conformance evaluation.

Questions in the Check Sheet are classified in "Step 1" and "Step 2" as shown in Table 5-1. The questions in "Step 1" are based on the contents in compliance with guidelines stated in JIS Z 7201 "The Management of Chemical Substances in Products – Principles and Guidelines". These questions are items to be evaluated for self-declaration of conformance.

Table 5-1 Classification of Questions in the List of the Action Items and the Check Sheet

Classification	Description
Step 1	- Questions in compliance with the guidelines of JIS Z 7201 "the Management of Chemical Substances in Products – Principles and Guidelines" - Basic management requirements under the management system of chemical substance control mechanism - a Milestone targeting the management system （Step 2） to be established and sustained for managing chemical substances in products reliably and efficiently
Step 2	- Questions specifying an appeal for implementation efforts by the supplier or expected customer requests - a group of requirements under the management system to manage chemical substances in products reliably and efficiently

5.3 Evaluation of Conformance with the Action Item

(1) Evaluation of conformance with each action item

In order to evaluate conformance with the action items in the management of chemical substances stated in the Guidelines and to evaluate the management system of chemical substances in products, firstly each action item needs to be evaluated for conformance. The organization evaluating conformance with the action items can use the Check Sheet to evaluate by verifying questions designed for each action item.

Evaluation is judged into three levels as shown in Table 5-2. Questions which are not applicable to the organization for managing chemical substances in products, they are exempted from implementation or evaluation and should be handled as "non-applicable".

In case that the management system of chemical substance in products is developed and implemented in accordance with the other criteria or other guidelines which are equivalent or higher level compared to these Guidelines, the organization shall evaluate conformance by judging whether or not each action item practically fulfills questions.

Table 5-2 Judging Criteria of Conformance for Action Item

Judgment	Criteria
Conformance	- In order to satisfy the action items, it is necessary to have rules and operate based on the rules. Each question to the action item is designed basically from the perspective of rules and operation. As a reply to the question, if operation is properly practiced in accordance with rules, it is judged as "conformance". For operation based on rules, it is necessary to verify the management status objectively
Partial conformance	- Evaluate as "partial conformance" when management is practically carried out to satisfy contents of the questions, however rules or operation is partially insufficient. The other cases for partial conformance include: operation is not completely followed based on rules, there is some delay in operation although there are rules to satisfy the action items, or operation fulfills the action items, however rules are not established sufficiently or rules are not up to date. - In any case, insufficient operation or incomplete rules need to be improved to achieve the level of conformance. As with the case of conformance, it is necessary to verify the management status objectively. Furthermore, in case of "partial conformance", the contents of nonconformance shall be identified and its improvement plan shall be provided.
Nonconformance	- Evaluate as "nonconformance", in case that the organization has not established rules which correspond to the question and/or no operation is carried out to satisfy the questions
Non applicable	- Evaluate as "non-applicable" in case that "the action item" is not subject to management of chemical substances in products in the organization

(2) Total evaluation of the management system of chemical substances in products

Comprehensive evaluation of all the action items, in other words, the overall management system of chemical substances in products can evaluate from total scores of each action item. Judging criteria of comprehensive evaluation shall be set by each user. In case that the organization is going to announce a self-declaration of conformance for the management system of chemical substances in products, the following section shows the judging criteria of comprehensive evaluation.

5.4 Self-Declaration of Conformance on the Management System of Chemical Substances in Products

(1) Objective of self-declaration of conformance

Self-declaration of conformance is to perform self-evaluation on the management system of chemical substances in products, to understand its weakness, to make

improvements and to promote communication of highly reliable data to the supply chain. Furthermore, self-declaration of conformance enables the organization to appeal its initiative of managing chemical substances in products by announcing it to the community.

(2) Comprehensive judging criteria for self-declaration of conformance

Self-declaration of conformance on the management system of chemical substances in products is to issue a declaration that the organization has developed and implemented the management system of chemical substances in products in accordance with the Guidelines in the organization.

Comprehensive judgment for self-declaration of conformance is based on the judgment result for each action item. If the judgment result satisfies the criteria shown in Table 5-3, it is evaluated as conformance and the organization is entitled to issue a self-declaration of conformance for the management system of chemical substances in products.

Table 5-3 Comprehensive Judging Criteria for Self-Declaration of Conformance on the Management of Chemical Substances in Products

Comprehensive judging criteria	- All applicable items in "the Action Item " of Step 1 are evaluated as "conformance"

(3) Responsibilities associated with self-declaration of conformance

When issuing self-declaration of conformance, Rule 1) - 6) below shall be observed:

1) The organization shall be responsible for the contents of self-declaration of conformance.
2) The records of verification of conformance shall be stored. The retention period shall be determined by each organization based on its own judgment
3) The organization shall prepare the self-declaration of conformance where the contents of the self-declaration are described. Refer to Annex 2 for the sample of self-declaration of conformance.
4) Self –declaration of conformance shall be disclosed whenever there is a request either from in-house or externally
5) The contents of self-declaration of conformance shall be continuously operated and the organization shall verify conformance with the Guidelines periodically.
6) The evaluation results (score) in accordance with the Check Sheet shall be noted in the self-declaration of conformance

(4) Disclosure of Verification Record

The self-declaration of conformance is conducted under the organization's responsibility. The purchasers may request from suppliers to disclose the records of verification for self-declaration of conformance. In such cases, it is desirable that the verification records be disclosed after mutual consultation.

Annex A: Comparison with the Quality and the Environmental Management Systems and JIS Z 7201

The Table below shows the action items of the Guidelines for the management of chemical substances in products technically compared to the quality and the environmental management systems and JIS Z 7201. The objective of this comparison is to provide reference information to the organization which already operates either one or both standards of the quality management system and the environmental management system, while such an organization newly develops the management system of chemical substances in products or verifies the effectiveness of the management system.

In case that the contents of the action items match to a certain extent, corresponding items are shown in the comparison table, however it should be noted that there are comparatively other weak correlations.

Action Items of Guidelines for the Management of Chemical Substances in Products Version 3		JIS Z 7201:2012 Guidelines (Management of Chemical Substances in Products – Principles and Guidelines)		ISO 9001:2008 (JIS Q 9001:2008)		ISO 14001:2004 (JIS Q 14001:2004)	
4	Guidelines for the management of chemical substances in products	4	Guidelines for the management of chemical substances in products	4	Quality management system	4	Environmental management system requirements
4.1	Guidellines for the management of chemical substances in products in general	4.1	General (Guidelines for the management of chemical substances in products)	4.1	General requirements	4.1	General requirements
4.2	Representation of the management policy of chemical substances in products	4.2	Representation of the management policy of chemical substances in products	5.1 5.3 8.5.1	Management commitment Quality policy Continuous improvement	4.2	Environmental policy
4.3	Planning (title only)	4.3	Planning (title only)				
4.3.1	Defining the management criteria of chemical substances in products	4.3.1	Defining the management criteria of chemical substances in products	5.2 7.2.1 7.2.2	Customer focus Determination of requirements related to the product Review of requirements related to the product	4.3.1 4.3.2	Environmental aspects Legal and other requirements

Action Items of Guidelines for the Management of Chemical Substances in Products Version 3		JIS Z 7201:2012 Guidelines (Management of Chemical Substances in Products – Principles and Guidelines)		ISO 9001:2008 (JIS Q 9001:2008)		ISO 14001:2004 (JIS Q 14001:2004)	
4.3.2	Target and implementation plan	4.3.2	Target and implementation plan	5.4.1 5.4.2	Quality objectives Quality management system planning	4.3.3	Objectives, targets and programs
4.3.3	Defining responsibility and authority	4.3.3	Defining responsibility and authority	5.1 5.5.1 5.5.2 5.5.3 6.1 6.3	Management commitment Responsibility and Authority Management representative Internal communication Provision of resources Infrastructure	4.4.1	Resources, Roles, Responsibility and Authority
4.3.4	Internal communication	4.3.4	Internal communication	5.5.3	Internal communication	4.4.3	Communication
4.4	Operation and Management (title only))	4.4	Operation and management (title only))				
4.4.1	Operation and management in general	4.4.1	Operation and management in general	4.1	General requirements	4.1	General requirements
4.4.2	Management of chemical substances at design and development	4.4.2	Management of chemical substances at design and development	7.1 7.2 7.3 7.4 7.5	Planning of product realization Customer related process Design and development Purchasing Production and service operation	4.3.1 4.4.6	Environemntal aspects Operational control
4.4.3	Management of chemical substances in products at purchasing (title only)	4.4.3	Management of chemical substances in products at purchasing (title only)				
4.4.3.1	Collection and verification of information of chemical substances in products	4.4.3.1	Collection and verificaiton of information of chemical substances in products	7.4.1 7.4.2	Purchasing process Purchasing information	4.4.6 4.5.1	Operational control Monitoring and Measurement

Action Items of Guidelines for the Management of Chemical Substances in Products Version 3		JIS Z 7201:2012 Guidelines (Management of Chemical Substances in Products – Principles and Guidelines)		ISO 9001:2008 (JIS Q 9001:2008)		ISO 14001:2004 (JIS Q 14001:2004)	
4.4.3.2	Verification of the management status of chemical substances in products at suppliers	4.4.3.2	Verification of the management status of chemical substances in products at suppliers	7.4.1	Purchasing process	—	
4.4.3.3	Management of chemical substances in products at receiving	4.4.3.3	Management of chemical substances in products at receiving	7.4.3	Verification of purchased product	4.4.6 4.5.1	Operational control Monitoring and Measurement
4.4.4	Management of chemical substance in products for the manufacturing process (title only)	4.4.4	Management of chemical substances in products at manufacturing process (title only)				
4.4.4.1	General – Management of chemical substances in products at manfuacturing process	4.4.4.1	General – Management of chemical substances in products at manfuacturing process	7.5.1 7.5.2 8.2.3	Control of production and service provision Validation of processes for production and service provision Monitoring and measurement of processes	4.4.6 4.5.1	Operational control Monitoring and Measurement
4.4.4.2	Prevention of contamination by incorrect use or admixture	4.4.4.2	Prevention of contamination by incorrect use or admixture	7.5.1 7.5.2 7.5.5	Control of production and service provision Validation of processes for production and service provision Preservation of products	4.4.6 4.5.1	Operational control Monitoring and Measurement

Action Items of Guidelines for the Management of Chemical Substances in Products Version 3		JIS Z 7201:2012 Guidelines (Management of Chemical Substances in Products – Principles and Guidelines)		ISO 9001:2008 (JIS Q 9001:2008)		ISO 14001:2004 (JIS Q 14001:2004)	
4.4.5	Management at delivery	4.4.5	Management at delivery	7.5.5 8.1 8.2.3 8.2.4	Preservation of products General (Measurement, analysis and improvement) Monitoring and measurement process Monitoring and measurement of products	4.4.6 4.5.1 4.5.2	Operational control Monitoring and measurement Evaluation of compliance
4.4.6	Verificaiton of the management status of chemical substances in products at outsourcing	4.4.6	Verificaiton of the management status of chemcial substances in products at outsourcing	7.4.1 7.4.2 7.4.3	Purchasing process Purchasing information Verification of purchased product	4.4.6 4.5.1	Operational control Monitoring and Measurement
4.4.7	Traceability	4.4.7	Traceability	7.5.3	Identification and traceability	4.4.6	Operational control
4.4.8	Information exchange with the customer	4.4.8	Information exchange with the customer	7.2.3	Customer communication	4.4.3	Communication
4.4.9	Change management	4.4.9	Change management	7.3.7 7.4 7.5.1 7.5.2	Control of design and development changes Purchasing Control of production and service provision Validation of processes for production and service provision	4.4.6	Operational control
4.4.10	Response to occurrence of nonconformity	4.4.10	Response to occurrence of nonconformity	8.3 8.4 8.5.2 8.5.3	Control of nonconforming product Analysis of data Corrective action Preventive action	4.5.3 4.4.7	Nonconformity, corrective action and preventive action Emergency preparedness and response

Action Items of Guidelines for the Management of Chemical Substances in Products Version 3		JIS Z 7201:2012 Guidelines (Management of Chemical Substances in Products – Principles and Guidelines)		ISO 9001:2008 (JIS Q 9001:2008)		ISO 14001:2004 (JIS Q 14001:2004)	
4.5	Management of human resources, documentation and information (title only)	4.5	Management of human resources, documentation and information (title only)				
4.5.1	Education and training	4.5.1	Education and training	6.2	Human resources	4.4.2	Competence, training and awareness
4.5.2	Management of document and record	4.5.2	Management of document and record	4.2.1 4.2.3 4.2.4	(Documentation requirement) General Control of documents Control of records	4.4.4 4.4.5 4.5.4	Documentation Control of documents Control of records
4.6	Assessment and improvement of implementation status	4.6	Assessment and improvement of implementation status	5.1 5.6 8.2.2 8.5.1	Management commitment Management review Internal audit Continual inprovement	4.5.5 4.6	Internal audit Management review

Annex B : Action Item corresponding to Seven Management Frameworks for Chemical Substances in Products

Manufacturing processes in the organizations associated with the supply chain can generally be classified into “manufacturing process of chemical products”, “manufacturing process of parts which are the first articles converted from chemical products”, “manufacturing process of parts” and “manufacturing process of end products”.

When the aspect of the chemical-substance state that is either chemical product or article is incorporated into the unit process of purchasing, manufacturing and delivery, all processes can be classified into six management frameworks; i.e. purchasing chemical product (Management framework I), Manufacturing chemical product (Management framework II), delivery of chemical product (Management framework III), purchasing article (Management framework IV), manufacturing article (Management framework V) and delivery of article (Management framework VI). In addition, the Management framework VII which applies to all organizations implementing management of chemical substances in products makes seven management frameworks for the management of chemical substances in products.

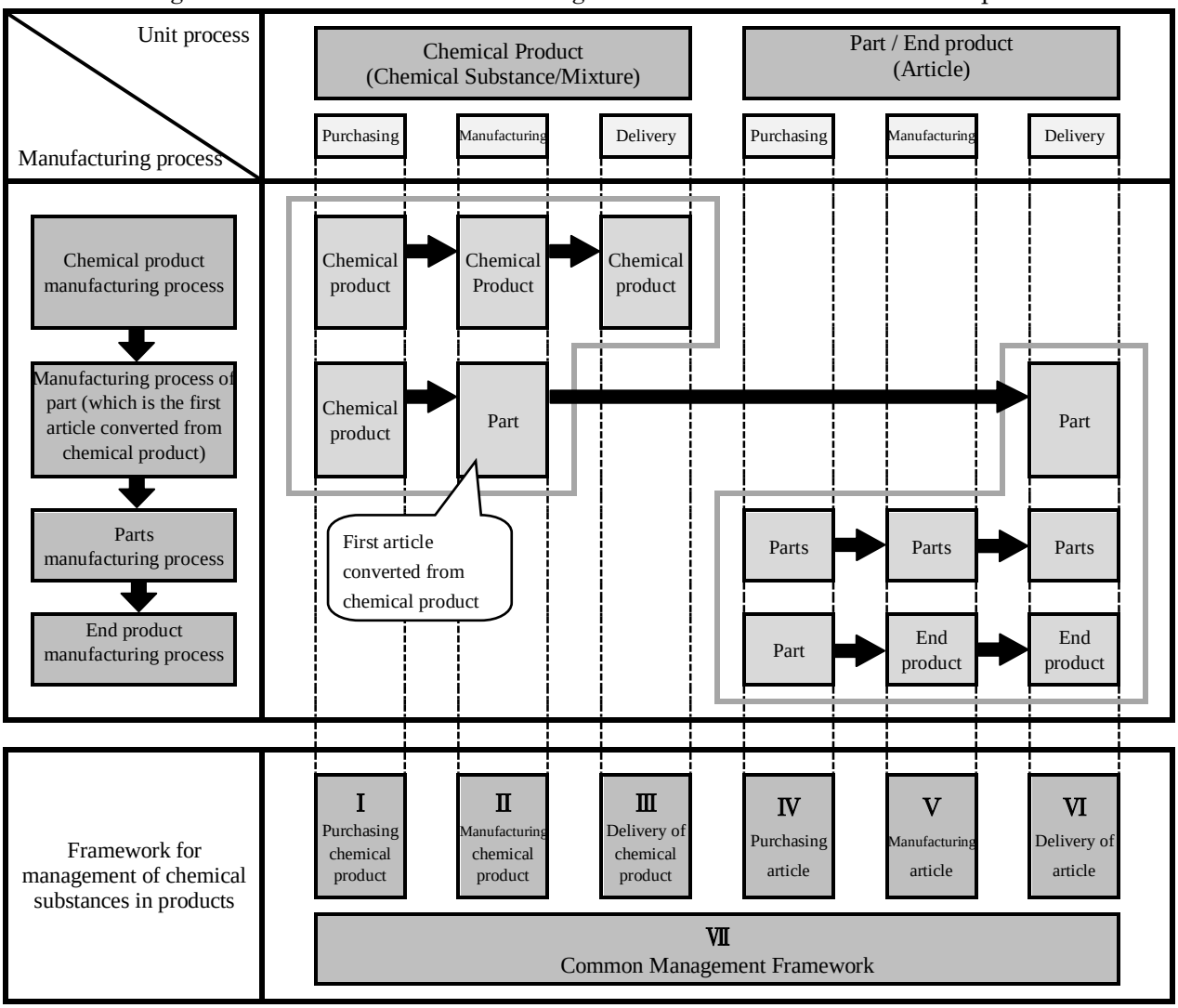


Fig B-1 - Seven management frameworks for chemical substances in products

The Table C-1 indicates the action items corresponding to seven management frameworks of the management of chemical substances in products. The actions items of the Guidelines are provided in the form of PDCA for the purpose of providing them as reference information when the organization verifies requirements for management of chemical substances in products which are required under each management framework.

Table C-1 Action items corresponding to seven management frameworks of the management of chemical substances in products

Seven frameworks for management of chemical substances in products		Corresponding action items in the Guidelines	
I	Purchasing chemical product	4.4.2	Management of chemical substances in products at design and development
		4.4.3	Management of chemical substances in products at purchasing
		4.4.3.1	Collection and verification of information of chemical substances in products
		4.4.3.2	Verification of the management status of chemical substances in products at supplier
		4.4.3.3	Management of chemical substances in products at receiving
II	Manufacturing chemical product	4.4.2	Management of chemical substances in products at design and development
		4.4.4	Management of chemical substances in products for the manufacturing process
		4.4.4.1	Management of chemical substances in products for the manufacturing process in general
		4.4.4.2	Prevention of contamination by incorrect use or admixture
III	Delivery of chemical product	4.4.2	Management of chemical substances in products at design and development
		4.4.5	Management at delivery
IV	Purchasing article	4.4.2	Management of chemical substances in products at design and development
		4.4.3	Management of chemical Substances in products at purchasing
		4.4.3.1	Collection and verification of information of chemical substances in products
		4.4.3.2	Verification of the management status of chemical substances in products at supplier
		4.4.3.3	Management of chemical substances in products at receiving
V	Manufacturing article	4.4.2	Management of chemical substances in products at design and development
		4.4.4	Management of chemical substances in products for the manufacturing process
		4.4.4.1	Management of chemical substances in products for the manufacturing process in general
		4.4.4.2	Prevention of contamination by incorrect use or admixture
VI	Delivery of article	4.4.2	Management of chemical substances in products at design and development
		4.4.5	Management at delivery

Seven frameworks for management of chemical substances in products		Corresponding action items in the Guidelines	
Ⅶ	Common management	4.1	Management of chemical substances in products in general
		4.2	Representations of the management policy of chemical substances in products
		4.3	Planning
		4.4.1	Operation and management in general
		4.4.6	Verification of the management status of chemical substances in products at outsourcing
		4.4.7	Traceability
		4.4.8	Exchange of information with the customer
		4.4.9	Change management
		4.4.10	Response to occurrence of nonconformity
		4.5	Management of human resources, documentation and information
		4.6	Evaluation and improvement of implementation status

Annex C： Parallel Production

During any process of receiving check - storage warehouse - manufacturing process - warehouse storage of WIP/end products - delivery, production which uses chemical products and parts containing restricted chemical substances under laws and regulations is carried out, while products which are restricted to contain the said chemical substances are also manufactured concurrently in the same factory building. This is called parallel production and it is important to implement the preventive measure against contamination or incorrect use. The following are the examples of parallel production and non-parallel production.

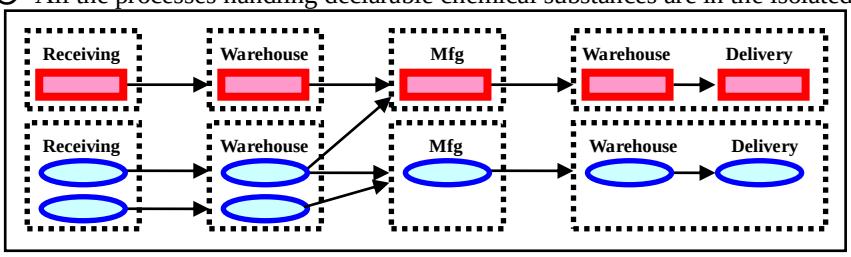
with chemical product/part/end product containing declarable chemical substances

without chemical product/part/end product containing declarable chemical substances

single factory building

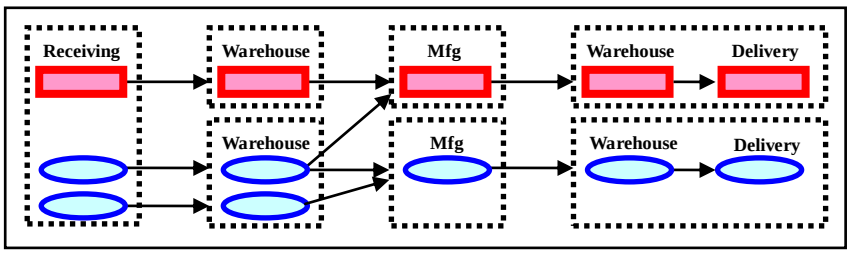
■ Not applicable as **Parallel Production** of restricted chemical substances

○ All the processes handling declarable chemical substances are in the isolated building

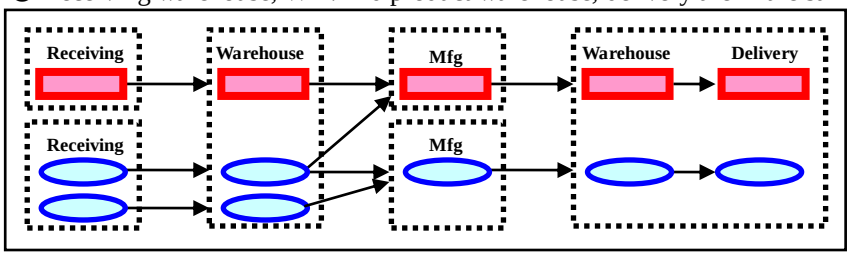


■ Applicable to **Parallel Production** of restricted declarable substances

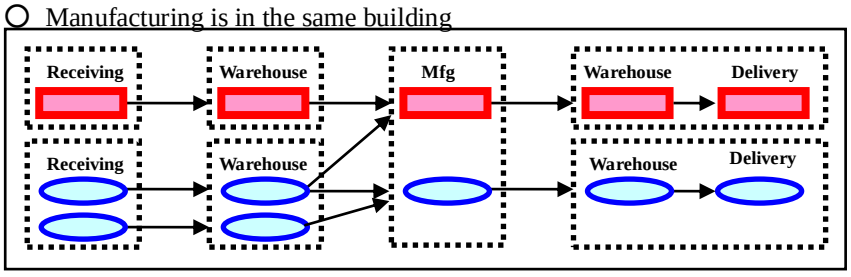
○ Receiving check is in the same building



○ Receiving warehouse, WIP/End product warehouse, delivery are in the same building



○ Manufacturing is in the same building



Annex D： List of Action Items and Check Sheet

"The List of Action Items and the Check Sheet" is provided as an Annex in the Guidelines and it can be used by the organizations which are practicing management of chemical substances in products in accordance with the Guidelines.

The intention of the Guidelines is to enhance the management level of chemical substances in products by commonly referring to the Guidelines in the entire supply chain and concurrently to reduce the workload of the organizations concerned. Therefore, the organization which uses the check sheet shall observe the rules of use. Amending the Check Sheet is not allowed. "The cover" and "the Check Sheet" are prepared in Microsoft Excel format and the organization is only allowed to key in data into specified cells. When the organization needs to add notes such as supplementary explanation, the organization can add another sheet in the same file

The organization can customize the check sheet such as keying in additional data into specified cells or adding another sheet to provide information in advance such as information from the evaluation requester. Furthermore, the organization is able to provide the check sheet by email or publish it in the website. In such a case, the organization is required to disclose the information indicating where the original check sheet is kept.

The Check Sheet is shown in the next page.

List of Action Items & Check Sheet
Guidelines for the Management of Chemical Substances in Products (Version 3.00) - Annex

Date of Entry :

Self-Evaluating Organization		※ <Organization name>, <Site name>, <Date of Self-Evaluation> are linked to the field in "2. Check Sheet". Hence, it is not necessary to enter information in this
Organization name	Local language /Japanese	
	English	
Site name	Local language /Japanese	
	English	
Date of Self-Evaluation		
Address		
Product		
P.I.C.of data entry	Department	
	Job Title	
	Name	
	Contact	E-mail
		Tel

Standards	Date of Certification *1	Certification body	Certification No.	Validity Period of Certification
ISO9001				
ISO14001				
IEC QC 080000				
Others *2				

＊1 Date of Certification: if the organization is not yet certified, but the certification is scheduled or planned, enter the scheduled or plan

＊2 Enter if the organization has certified with any other standards

	Evaluation Item	Question level	No. of Questions		by Self-Evaluating Organization: Conformance	Partial conformance	nonconformance	non applicable	by Evaluation-Result Verifying Organizatio: Conformance	Partial conformance	nonconformance	non applicable
Evaluation Result	4.2 Representation of the management policy of chemical substances in products	Step1	2	4								
		Step2	2									
	4.3.1 Defining the management criteria of chemical substances in produc	Step1	4	6								
		Step2	2									
	4.3.2 Target and implementation plan	Step1	4	5								
		Step2	1									
	4.3.3 Defining responsibility and authority	Step1	2	3								
		Step2	1									
	4.4.2 Management of chemical substances at design and development	Step1	2	3								
		Step2	1									
	4.4.3.1 Collection and verification of information of chemical substances in products	Step1	6	9								
		Step2	3									
	4.4.3.2 Verification of the management status of chemical substances in products at suppliers	Step1	5	10								
		Step2	5									
	4.4.3.3 Management of chemical substances in products at receiving	Step1	2	4								
		Step2	2									
	4.4.4.1 Management of chemical substances in products for the manufacturing process in general	Step1	2	3								
		Step2	1									
	4.4.4.2 Prevention of contamination by incorrect use or admixture	Step1	5	6								
		Step2	1									
	4.4.5 Management at delivery	Step1	3	4								
		Step2	1									
	4.4.6 Verification of the management status of chemical substances in products at outsourcing	Step1	3	4								
		Step2	1									
	4.4.7 Traceability	Step1	2	3								
		Step2	1									
	4.4.8 Exchange of information with the customer	Step1	2	4								
		Step2	2									
	4.4.9 Change management	Step1	6	6								
		Step2	0									
	4.4.10 Response to occurrence of nonconformity	Step1	7	7								
		Step2	0									
	4.5.1 Education and training	Step1	2	3								
		Step2	1									
	4.5.2 Management of document and record	Step1	1	3								
		Step2	2									
	4.6 Evaluation and improvement of implementation status	Step1	4	5								
		Step2	1									
	Total	Step1	64	92								
		Step2	28									

Evaluation-Result verifying organization	※ <Organization name>, <Site name>, <Date of Self-Evaluation> are linked to the field in "2. Check Sheet". Hence, it is not necessary to enter information in this
Organization name	
Department	
Job Title	
Name	
Date of Verification of Evaluation-Result	

Final Result	

Guidelines for the Management of Chemical Substances in Products (Ver. 3.0) Annex List of Action Items & Check Sheet (Ver.3.00)

< > *1

*1: The Check Sheet can be edited by adding questions to the question flag (the field set by the evaluator) or attaching another sheet in accordance

Self-Evaluating Organization		
Organization name	Local language	
	English	
Site name	Local language	
	English	
Date of Self-Evaluation		

【Evaluation Result】

Question Flag	No. of Questions	by Self-Evaluating organization				by Evaluation-Result Verifying organizatio			
		Conformance	Partial conformanc	Inconformance	non applicabl	Conformance	Partial conformanc	Inconformance	non applicable
Step1	64	0	0	0	0	0	0	0	0
Step2	28	0	0	0	0	0	0	0	0
Total	92	0	0	0	0	0	0	0	0

【Evaluation Results: Questions set by Evaluator 】

Question Flag	No of question	Conformance	Partial conformanc	Inconformance	non applicabl	Conformance	Partial conformanc	Inconformance	non applicable
Questions set by Evaluator	0	0	0	0	0	0	0	0	0
Evaluation result score / no. of applicable		0%	0%	0%	-	0%	0%	0%	-

※ In No. 45 and No. 50, questions are given to answer "yes" or "no". Therefore, it may not tally between the total number of the above questions and the total of each judgment

Evaluation-Result Verifying Organization	
Organization name	
Department	
Job Title	
Name	
Date of Verification of Evaluation Result	

【Final judgment】 【Comment】

[Description of Terms]

Action Item	For appropriate and effective management of chemical substances in products, specific requirements are stated herein based on JIS Z 7201:2012 "Management of Chemical Substances in Products - Principles and Guidelines" which includes 20 items that are from "Representation of the management policy of chemical substances in products" to "Evaluation and improvement of the implementation status". But , items (articles) that are "4.1 Management of chemical substances in general", "4.3 Planning", "4.4 Operation and management", "4.4.1 Operation and management in general", "4.4.3 Management of chemical substances in products at purchasing", "4.4.4. Management of chemical substances in products for manufacturing process" and "4.5 Management of human resources, document and information" are only titles without specific action details. Therefore, no questions are given under these articles.
Action Details	Action details specifically describe how action items should be implemented. Contents are compliant to JIS Z 7201:2012 "Management of Chemical Substances in Products – Principles and Guidelines". As with the action items stated in "Guidelines for the management of chemical substances in products", the expression "it is recommended …." is changed to "…shall/should…" in order to judge conformance.
Questions	For the purpose of verifying whether or not the action details are appropriately and effectively implemented, specific questions are given herein. It is important that questions should be commonly understood in the entire supply chain. However, depending on the nature of the industry, questions may not be suitably expressed. In such a case, upon good understanding of implication shown in "Sample answer / Note and point of management", the organization may replace action details if necessary in order to implement "action details" that are suitable to the nature of the business If "the action item" is not applicable to the organization, such an action item is not necessary to be implemented (non-applicable). ＜About Question Flag＞ 【Step 1】 ・Questions are compliant to JIS Z 7201 "Management of Chemical Substances in Products - Principles and Guidelines" ・Basic management requirements under the management system of chemical substances in products ・Milestone to the management system (Step 2) which should be built and sustained to manage chemical substances in products reliably and efficiently 【Step 2】 ・An appeal from the suppliers for their implementation efforts or expected requests from the customers are expressed in questions ・A set of requirements for the management system to manage chemical substances in products reliably and efficiently 【*the evaluator setting field/cell 】 Example : 【xx Co. Ltd - questions to be answered for self-evaluation / xx Co. Ltd - compulsory questions, etc. 】 ※ For details, please refer to "3. Rules for using "3. List of Action Items and Check Sheet" This field can be edited freely by the check sheet user (first party - ex. product supplier), (second party - ex. product purchaser, or the Industry organization, etc.). Please enter the title of the flag and add explanation Example: when "●" is marked in the field of "xx Co. Ltd - compulsory questions, an answer must be provided
Sample answer, note & point of management	The Check Sheet provides sample answers to guide the user how to write "questions "and "answers (implementation details, evidence name, etc.)" and also provides points to be noted for conducting management
Self-evaluating organization	In order to verify the self-evaluation result of each question and the outcome of answers more specifically, implementation details and an evidence name shall be entered for verification
Verification of Self-evaluation	Based on the outcome of answers by the self-evaluating organization, this field shall be used by own department or other organizations such as a customer when auditing, verification or judgment is conducted. Judgment to each question, judging reason, memo should be noted in the f

[Entry Requirement]

Step ① : Conduct self-evaluation for applicable action items. Self-evaluation shall be performed based on "Table 5-2 Judging criteria of conformance for action items" (refer to description below). Select either one of "Conformance", "Partial Conformance" or "Nonconformance" in the field of "Self-Evaluation Result". (If using Excel for data entry, select from pull-down). If the question is not applicable, select "Non-applicable"

＜Judging Criteria of Conformance to Questions＞

Conformance	In order to satisfy the action items, it is necessary to have rules (system) and operate based on the rules (implementation). Each question to the action item is basically designed from the perspective of rules and/or operation. If operation is properly practiced in accordance with rules, the question shall be judged as "conformance". Operation based on rules needs to be verified objectively.
Partial Conformance	When management is practically performed to satisfy contents of the questions, however rules or operation is partially insufficient, it is evaluated as "partial conformance". In any case, it is important that insufficient operation or incomplete rules are supported by actual operation and the status is almost at the level of conformance. As with the case of conformance, the status needs to be verified objectively. Furthermore, in case of "partial conformance", the contents of nonconformance shall be identified and the improvement plan shall be provided.
Nonconformance	When the organization has not established rules which correspond to the question and/or no operation is performed to fulfill the question, it is evaluate as "nonconformance".
Non Applicable	When "the action item" or "the question" is not applicable to the organization, it can be excluded from evaluation as "non-applicable. However, the reason for "non-applicable" needs to be specified.

Step② : As an answer (implementation details, a name of evidence, etc.), enter implementation details that are reasons for implementation and/or a name of evidence. In case of non-applicable, provide a reason of non-applicable within an allowable range

※Although it is possible to provide the document to serve as objective reasons or documents may be requested to present, the Guidelines do not necessarily expect presentation of evidence. For the purpose of verifying the management system of chemical substances in products, the organization may request disclosure of the verification record. In case that the organization receives a request to release the verification record, it is advisable to disclose it upon discussion and consultation. In addition, It is necessary to be sufficiently cautious to protect the confidential business information

Action Items (extract from Guidelines for the Management of Chemical Substances in Products, Ver.3.0)

No	Action Details: Main Classification	Sub-Classification	Question Flag: Step 1	Step 2	Note*	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
4.1 Management of Chemical Substances in Products in General : This check sheet is in compliance with JIS Z 7201:2012 "Management of Chemical Substances in Products - Principles and Guidelines", however "4.1" is only a title without any specific action details. Therefore, no questions are given under 4.1											
4.2 Representation of the Management Policy of Chemical Substances in Products											
Top managers in charge of management of chemical substances in products shall determine the management policy of chemical substances in products for the organization and address appropriate implementation of management of chemical substances in products											
1	Common Management	Verification of Implementation	●			① Has the top management determined the management policy of chemical substances in products and addressed implementation of the effectual management of chemical substances in products?	＜sample answer＞ ・xxx Co. Ltd., the environment policy ・xxx Inc., the quality policy ・xxx Corporation management policy, management slogan ＜note & point of management＞ ・The policy shall include contents suggesting management of chemical substances in products, such as compliance with laws and regulations, satisfying customers' requirement, etc. etc. ・Tops managers are those who regulate management of chemical substances in products		(1) Enter the name of policy document which defines the management policy of chemical substances in products		
2	Common Management	Review		●		②Do you review the policy whenever it is required?	＜sample answer＞ ・Date of review or revision : dd/mm/yyyy ＜note & points of management＞ ・ "Whenever it is required" means upon amendment of law or regulations, management review, a customer request, etc. the organization conducts review of such amendment., ・ After the policy is reviewed for the purpose of management of chemical substances in products and if the policy is not necessary to revise, it is acceptable if the organization verifies to maintain the existing policy. For example, the responsible person of environmental management issues a comment "it is not necessary to revise the policy" in the management review , etc.		(2) Enter when was the latest review of the policy		
3	Common Management	Documentation		●		③ Do you have any document which defines the procedure to implement ①, ② shown above?	＜sample answer＞ ・"Regulations of Management of Chemical Substances in Products" Document No. xxxx Revision 01 Article No. xx : Determine the management policy Article No. xx : Dissemination of the management policy Article No. xx : Review of the management policy		(3) Enter the name of document specifying about formulating the policy, and its document no., an article name, revision no.		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator *	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
4	Common Management	Dissemination	●			④ Do you inform and disseminate the policy to all the concerned departments?	※ Questions based on "4.3.4 Internal Communication" stated in JIS Z 7201 Management of Chemical Substances - Principles and Guidelines ＜sample answer＞ ・Posters posted in the company ・Published by Intranet		(4) Enter the dissemination method of the policy		

4.3 Planning : **This Check Sheet is compliant to JIS Z 7201:2012 the Management of Chemical Substances in Products - Principles and Guidelines". "4.3 Planning" is only a title without any specific action details and therefore no question is given under 4.3**

4.3.1 Defining the Management Criteria of Chemical Substances in Products

The organization shall determine and document the management criteria of chemical substances in products.

No	Main Classification	Sub-Classification	Step 1	Step 2	Key Indicator *	Questions	Sample Answer / Note & Point of Management	Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	Judging Result	Judgment reason, memo, remarks, etc.
5	Common Management	Verification of Criteria and Implementation	●			① Do you have clear management criteria of chemical substances in products which defines chemical substances subject to management of chemical substances in products and the management level?	＜sample answer＞ ・ "Regulations of management of chemical substances in products (Document No. xxxx Revision 01)" Article No. xx : "List of prohibited substances / management of inclusion in products" ＜note & point of management＞ ・In case that the organization declares no possibility of inclusion in products based on the scientific grounds, it doesn't have to reflect the management criteria, however the evidence or the facts need to be provided ・The management level means the level of "prohibited to use" or "management of contained chemicals", etc.		(1) Enter the name of the management criteria which specifies chemical substances subject to management of chemical substances in products and the management level.		
6	Common Management	Verification of Implementation		●		② Do you have a clear scope where the management system of chemical substances in products is applied?	＜sample answer＞ Products designed or developed by xxx Co. Ltd. and their packing materials ＜note & points of management＞ ・If all products are subject to management of chemical substances in products, describe as it is (targeting all products). The scope of application can be clearly defined by dividing a scope by an organization, a product or a manufacturing process, etc. It is also acceptable if the scope of non-application (scope where management of chemical substances in products is NOT applied) is specified		(2) List up the scope of application		
7	Common Management	Verification of Implementation	●			③ Do you identify laws and criteria which you refer to when you develop the management criteria of chemical substances in products?	＜sample answer＞ ・It is defined based on laws, regulations and the industry criteria ・It is specified based on the customer requirements ・It is defined based on JAMP declarable substance list ・It is corresponding based on JIG-101, JIG-201		(3) List up the criteria which you referred to (or reflect) when the management criteria were developed		
8	Common Management	Review	●			④ Do you review the management criteria whenever it is required?	＜sample answer＞ Date of revision : ****** Reason for revision : ******		(4) Enter when was the latest revision and also state its reason		
9	Common Management	Documentation		●		⑤ Do you have any document which defines the procedure to implement ①～④ shown above?	＜sample answer＞ ・"Regulations of management of chemical substances in products" Document No. xxxx Revision 01		(5) Enter the name of the document which specifies drawing up the management criteria of chemical substances in products and defines the revision procedures. Also state its document no. an article name, revision no.		
10	Common Management	Dissemination	●			⑥ Do you inform and disseminate the management criteria of chemical substances in products to all the concerned departments?	※ Questions are based on "4.3.4 Internal Communication" stated in JIS Z 7201 "Management of Chemical Substances in Products - Principles and Guidelines)" ＜sample answer＞ ・The latest version is publicized by intranet to disseminate to all the concerned department at the time of revision		(6) Enter the dissemination method of the management criteria of chemical substances in products.		

4.3.2 Target and Implementation Plan

• The organization shall set the target for management of chemical substances in products. The organization shall draw up, implement and sustain the implementation plan to achieve the target. The organization shall review the target and the implementation plan whenever neede

No	Main Classification	Sub-Classification	Step 1	Step 2	Key Indicator *	Questions	Sample Answer / Note & Point of Management	Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	Judging Result	Judgment reason, memo, remarks, etc.
11	Common Management	Verification of Implementation	●			① Do you set the target for management of chemical substances in products?	＜sample answer＞ ・2012 Environmental Target "Zero nonconformance of chemical substances in products" ＜note & point of management＞ ・In case that the system to manage chemical substances in products has already been established, it is acceptable if the organization has already set the target (or the policy) to continue and sustain the management system.		(1) Enter the name of the document which set the target to manage chemical substances in products		
12	Common Management	Verification of Implementation	●			② Do you formulate the implementation plan to achieve the target? Do you implement and sustain it?	＜sample answer＞ ・Chemical substance inspection plan ・Supplier evaluation plan		(2) Enter the name of the document in which the plan is recorded and the name of the record where the implementation status is recorded		
13	Common Management	Review	●			③ Do you review the target or the implementation plan whenever it is required?	＜sample answer＞ Revision of target: 20 retention period : dd/mm/yy Revision of implementation plan: 20 retention period : dd/mm/yy		(3) Enter when was the latest revision of the target and the implementation plan		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
14	Common Management	Documentation		●		④ Do you have any document which defines the procedure to implement ①～③ shown above?	＜sample answer＞ ・ "Regulations of management of chemical substances in products (Document No. xxxx Revision 01)" Article No. xx : Objective / target		(4) Enter the name of the document which defines to set the target and to draw up the implementation plan. Also state its document no, an article name, revision no.		
15	Common Management	Dissemination	●			⑤ Do you disseminate the target and the implementation plan to all the concerned departments concerned?	※ Questions based on "4.3.4 Internal Communication" stated in JIS Z 7201 Management of Chemical Substances in Products - Principle and Guidelines ＜sample answer＞ ・ Published by intranet		(5) Explain the method to disseminate the target or the implementation plan		

4.3.3 Defining Responsibility and Authority

The organization shall determine responsibilities and authorities to implement management of chemical substances in products effectively.

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
16	Common Management	Verification of Implementation	●			① Have you defined roles and departments to be engaged in management of chemical substances in products?	＜sample answer＞ ・Quality management organization chart, Environmental management organization chart, organization chart of management of chemical substance in products, etc. ＜note & point of management＞ ・The roles of management of chemical substances in products can be defined in the system of quality management or environmental management. ・It is advisable that "role/responsibility/authority" is specified in the organization chart ・ "Clearly defined responsibilities and authority" is synonymous with "departments and roles have been clearly determined		(1) Enter the name of the document which defines the role and the relevant department to be engaged in management of chemical substances in products		
17	Common Management	Documentation		●		② Do you have any document which defines the procedure to implement ① as shown above?	＜sample answer＞ ・"Regulations of management of chemical substances in products (Document No. xxxx Revision 01)" Article No. xx : Responsibility, Authority and Role		(2) Enter the name of the document which defines the role and the departments to be involved in management of chemical substances in products. Also state its document no, an article name and revision no.		
18	Common Management	Dissemination	●			③ Do you disseminate to all departments concerned about the roles and the departments of management of chemical substances in products?	※ Questions based on "4.3.4 Internal Communication" stated in JIS Z 7201 Management of Chemical Substances in Products - Principles and Guidelines ＜sample answer＞ ・ "Regulations of management of chemical substances in products" are published by intranet to disseminate to all departments concerned at the time of revision		(3) Explain the method of dissemination about roles and departments		

4.4 Operation and Management & 4.4.1 Operation and Management in Ge **The check sheet is compliant to "JIS Z 7201:2012 Management of Chemical Substances in Products - Principles and Guidelines", however "4.4 Operation and Management" and "4.4.1 Operation and**

【Note】 "4.4.2 Management of chemical substances in products at design and development" is applicable not only limited to the design department. If the organization selects own parts and components, the organization obtains "design function" and therefore this action item becomes applicab

4.4.2 Management of Chemical Substances in Products at Design and Development

For the purpose of producing products which can fulfill the management criteria of chemical substances in products in the stage of design and development, the organization shall define clearly and document the management criteria of chemical substances in products at the respective stage of purchasing, manufacturing and delivery corresponding to products and the nature of business.

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
19	Process Control	Verification of Implementation	●			① For the purpose of satisfying the management criteria of chemical substances in products, do you verify during design and development (before start of production) whether or not the applicable products fulfill the management criteria of chemical substances in products at the respective stage as shown below ? 【Purchasing the management criteria of chemical substances in products at purchasing 【Manufacturing the management criteria of chemical substances in products for the manufacturing process 【Delivery the management criteria of chemical substances in products at delivery	＜sample answer＞ 【Purchasing stage】 ① Purchased products have been inspected and do not contain prohibited substances for use ② Evaluation result of the supplier who supplies the products is acceptable 【Manufacturing stage】 -The manufacturing process satisfies the process control criteria including the management criteria of chemical substances in products 【Delivery stage】 -To satisfy delivery conditions, the above verification items at the purchasing stage and the manufacturing stages have to be fulfilled ＜note & point of management＞ ・It is acceptable if contents of the management criteria at purchasing, the management criteria at manufacturing and the management criteria at delivery match the nature of the business operation ※ Questions concerning the management criteria of the respective stage appear in each action item as shown below ・The organization shall verify by the specification of mass production products ・The organization shall identify whether or not there is a process which may generate		(1) Explain details of verification to evaluate during design and development if applicable products satisfy the management criteria of chemical substances in products at the respective stage (as shown in left cell)		
20	Process Control	Verification of Implementation		●		② Do you record the result of verification as shown in ①?	＜sample answer＞ The following are evaluation items for product assessment report 1. the purchasing management criteria evaluation result 2. the manufacturing management criteria evaluation result 3. the delivery criteria evaluation result		(2) Enter the name of record containing verification result of above (1)		
21	Process Control	Documentation	●			③ Do you have any document which defines the procedure to implement ①② shown above?	＜sample answer＞ ・ "Regulations of Product Assessment" Article No. xx : Product Evaluation ＜note & point of management＞ ・ "The stage of design and development" means not only works done in the design and development department, but also including works done by the relevant departments up to start of production		(3) Enter the name of the document which defines the procedure to implement the above (1) (2). Also state its document no, an article name, revision no.		

4.4.3 Management of Chemical Substances in Products at Purcha **The check sheet is compliant to "JIS Z 7201:2012 Management of Chemical Substances in Products - Principles and Guidelines", however, "4.4.3 Management of Chemical Substances in Products at Purchasing" is only a title without specific action details. Therefore, no question is given under this action item.**

4.4.3.1 Collection and Verification of Information of Chemical Substances in Products

The organization shall present the management criteria of chemical substances in products for purchasing (hereinafter referred to as "the purchase management criteria") to suppliers, and collect necessary information of chemical substances in products. The organization shall verify if information of chemical substances in the purchased products satisfies the purchase management criteria and record the result accordingly.
The organization shall complete collection and verification of the information of chemical substances in products in accordance with the purchase management criteria before start of manufacturing.

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
22	Process Control	Verification of Criteria	●			① Do you have the purchase management criteria which include chemical substances specified by the management criteria of chemical substances in products and the management level?	＜sample answer＞ ・Green Procurement Criteria (List of declarable substances) ・Green Procurement Chemical Substance Questionnaire ＜note & point of management＞ ・Packing materials, secondary materials and sub-materials shall also be subject to the purchase management criteria		(1) Enter the name of the management criteria for purchasing		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
23	Process Control	Dissemination	●			② Do you disseminate "the purchase management criteria "for the above purchased products to the suppliers?	＜sample answer＞ The method of dissemination : ・The company made a list of suppliers (purchased products) and sent "Green Procurement Criteria" to all the listed suppliers. The company collected "acknowledgement of receipt" from them. ・The company specifies in the business agreement, the final specification of parts or in the drawing, that "compliance to Green Procurement Criteria" may be required by the company whenever necessary. Time of dissemination : [at the start of fresh purchase and when the criteria is revised]		(2) Explain the dissemination method of "the purchase management criteria" to suppliers and when to disseminate it Dissemination method : [Dissemination time : [		
24	Process Control	Verification of Implementation	●			③ Do you verify for all constituent elements constructing the end product whether or not information of chemical substances in products is needed, and collect all necessary information of chemical substances in products ?	＜sample answer＞ ・By linking the survey results to BOM (bill of material) of the product, the company verifies if all parts and materials are surveyed. Sub materials which cannot link to BOM (bill of material) are managed by using another list ＜note & point of management＞ ・Secondary materials, sub-materials or packing materials should also be included as constituent elements if necessary. ・When there is some element out of product's constituent elements that should be exempted from the survey, provide the reason for exemption Example: Parts or materials that are specified by the customer have been agreed on with the customer to exclude them from survey ・The company has defined the person in charge, the procedure and the method to collect information of chemical substances contained in purchased products (raw materials / parts and components)		(3) Explain the method how to verify if information of chemical substances in products is obtained for all constituent elements constructing the end product ※ If this action item is considered not required for management of chemical substances in products, state its reason		
25	Process Control	Verification of Implementation		●		④ Does information of chemical substances in products collected in the above ③ indicate clearly about any or no inclusion, content, concentration or its usage, etc.?	＜sample answer＞ ・Parts : JGP file, JAMP AIS, JAMA/JAPIA Sheet etc. ・Material: JAMP MSDSplus, composition table, certificate of non-use, etc. ＜note & point of management＞ ・The company shall ensure that all information is provided ・If the company has its own format, the company shall ensure that the format includes any or no inclusion, content, concentration, its usage as the survey items		(4) Enter the names of the survey format for each material or for each part ※ In case there are a variety of formats for each type of purchased materials and parts, list the format for each type of purchased parts and materials		
26	Process Control	Verification of Implementation	●			⑤ About collected information of chemical substances in products as shown in above ③, do you judge the conformance status to the management criteria for each purchased product?	＜sample answer＞ ・ The company evaluates either "OK" or "NG" for every survey result collected individually and record it accordingly		(5) Explain the method of judging the conformance status to the management criteria for each purchased products. Also provide the recording method		
27	Process Control	Verification of Implementation	●			⑥ When necessary information shown in above ③ could not be collected, or if it does not satisfy the purchase management criteria, have you defined the action to respond to this case?	＜sample answer＞ The company has already verified the survey in document that showed no inclusion of prohibited substances during the stage of design and development. Hence, the company shall collect "information of chemical substances in products" until the delivery verification. ＜note & point of management＞ ・If it does not conform to the management criteria, the company shall take a necessary response such as "no purchasing"		(6) Explain how to respond to the case if the company fails to collect information, or the purchase management criteria is not satisfied		
28	Process Control	Verification of Implementation		●		⑦ Is the information of chemical substances in products aggregated for each end-product?	＜sample answer＞ ・"Chemical Substance Management System" Aggregation result of information of chemical substances in products ＜note & point of management＞ ・Aggregation by each end product means to aggregate against the management criteria of chemical substances regulated in "the purchase management criteria"		(7) Enter the name of the record which is the aggregated information of chemical substances in products for end products		
29	Process Control	Verification of Implementation	●			⑧ Do you judge the conformance status to the management criteria of chemical substances in products for each end product before start of manufacturing?	＜sample answer＞ ・ "Chemical Substance Management System" judgment result of product ＜note & point of management＞ ・Judgment of the conformance status means to judge the conformance status against the criteria defined in "the purchase management criteria" such as prohibited to use, etc.		(8) Enter the name of the record which shows verification of the conformance status to the management criteria of chemical substances for end products		
30	Process Control	Documentation		●		⑨ Do you have any document which defines the procedure to implement as shown ①～⑧ above?	＜sample answer＞ ・ "The survey procedures for contained chemical substances" (Document No. xxxx Revision 01") Article No. xx : Selection of parts, Article No. xx: Product assessment, Section No. xx : Aggregation of information of chemical substances in products		(9) Enter the name of the document which defines the procedure of verification and collection of information of chemical substances in products. Also specify its document no, an article name, revision no.		

4.4.3.2 Verification of the Management Status of Chemical Substances in Products at Supplier

• When the organization selects the supplier, the organization shall verify and record the management status of chemical substances in products at the supplier. In case that the organization continues business with the supplier, for the purpose of fulfilling the management criteria of chemical substances in products, the organization shall verify and record the supplier's management status of chemical substances in products again whenever necessary. The organization shall define the actions against the outcome of the supplier's management status prior to verification.

31	Process Control	Verification of Implementation	●			① Do you request the suppliers to establish and operate the management system of chemical substances in products for the purpose of fulfilling the management criteria of chemical substances in products?	＜sample answer＞ ・The company requests the suppliers in "the Green Procurement Criteria" to establish and to operate the management system based on "Guidelines for the management of chemical substances in products" ＜note & point of management＞ ・The management system of chemical substances in products which can satisfy the management criteria of chemical substances in products means the system which can manage contained chemical substances in products appropriately at the respective stage of purchasing, manufacturing and delivery Example: Main requirements stated in "Guidelines for the management for chemical substances in products (Ver. 3.0) are shown below A. Defining the management criteria B. Collection and verification of information of chemical substances in products C. Verification of the management status at the supplier D. Verification at receiving E. Prevention of contamination by incorrect use or admixture F. Appropriate management of reaction process G Traceability H. Change management I. Response to occurrence of nonconformance ・If there is any exemption from the management, state its reason and specify the action ・In case of multi-sourcing (purchasing from several suppliers), all suppliers are subject to		(1) List the name of the standard / the criteria for management of chemical subspaces in products which you request to the supplier		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
32	Process Control	Verification of Implementation	●			② Do you verify the management status of chemical substances in products at the supplier when you appoint a new supplier?	＜sample answer (verification details, items)＞ a. the check sheet of Guidelines for the management of chemical substances in products (version 3.0) b. other check sheets c. certification of ISO9001/ISO14001 ※ In case of verifying certification of ISO9001/ISO14001, it is necessary to verify if "management of chemical substances in products" is also included e. verification of the system for no inclusion of prohibited chemical substances ＜sample answer (verification method)＞ a. details including the above tools are verified by using email or checking the document b. when required, details including the above tools are verified at the supplies' place c. the company verifies the management status published in a website or from other open source ＜note & point of management＞ ・Verification details correspond to requirements (refer to note & point of management in ①) to the suppliers		(2) Explain verification details and the method of verification when the company appoints a new supplier. Verification details (items) : [Verification method : [		
33	Process Control	Verification of Implementation	●			③ When you continue business with the supplier, do you re-verify the management status of chemical substances in products periodically when required?	＜sample answer (verification target)＞ a. the company verifies all the suppliers b. only the suppliers whom the company decides as necessary are subject to verification ＜sample answer (verification details, items)＞ a. the check sheet of Guidelines for the management of chemical substances in products (Ver. 3.0) b. other check sheets c. certification of ISO9001/ISO14001 ※ in case of verifying certification of ISO9001/ISO14001, it is necessary to verify if "management of chemical substances in products" is also included e. verification of the system for no inclusion of prohibited chemical substances ＜sample answer (verification method)＞ a. details including the above tools are verified by using email or checking the document b. when required, details including the above tools are verified at the supplies' place c. the company verifies the management status published in a website or from other open source ＜sample answer (frequency)＞ frequency: more than once every 2 years ＜note & point of management＞ ・ Verification details correspond to requirements (refer to note & point of management in ①) to the suppliers		(3) Explain the method of re-verification from the following points. Target : [Verification details (items) : [method : [frequency : [		
34	Process Control	Record	●			④ Do you record verification result of the management status of chemical substances in products at the suppliers for ②③ shown above?	＜sample answer＞ ・ Judgment record ・ List of evaluation result of the suppliers		(4) List the name of the record which shows the evaluation of the suppliers		
35	Process Control	Verification of Implementation	●			⑤ Have you defined any response or any action to take for ②③ shown above, when verification for the management status of chemical substances in products is incomplete or when verification contents or verification result show some problem?	＜sample answer (method of action)＞ a. Actions include "improvement request" b. Actions include "guidance (instruction)", and the company actually gives guidance to the supplier c. While the company gives the improvement guidance to the supplier, the company continues verification whether or not any problem still remains by analyzing every lot until the completion of improvement activity d. Actions include "cease business"		(5) Explain the method of action or response when verification for the management status is incomplete, or when the problem is found in verification contents or verification result		
36	Process Control	Verification of Implementation		●		⑥ Do you request and verify the following to the suppliers (the first tier supplier)? ・to develop and operate the management system of chemical substances in products for the suppliers (the second tier supplier) of their purchased products	＜sample answer＞ The company verifies the supplier's status as stated below ・The company inspects the evaluation record (such as a check sheet, etc.) conducted by the supplier (the first tier supplier) and verifies if the evaluation of the second tier supplier is properly conducted. ＜note & point of management＞ ・Verification contents are the same as requirements for the supplier (refer to the above ① "note & point of management")		(6) Explain your verification method (how you verify)		
37	Process Control	Verification of Implementation		●		⑦ In your evaluation to determine a new supplier or to re-appoint the existing supplier, do you verify the following? ・if the supplier inspects and identifies if there is any process or any material which may cause a contamination of prohibited substances as defined in the management criteria of chemical substances in products	＜sample answer＞ ・ The company verifies the followings: 1) If there is any process of parallel production which may cause a contamination of RoHS substances 2) If the supplier uses any recycled material (open / closed) which may be contaminated with RoHS substance 3) if there is any solder bath which may be contaminated with RoHS substances		(7) Explain verification contents to identify if there is any process or any material which may cause a contamination of prohibited substances which is defined by the supplier for the management criteria of chemical substances in products		
38	Process Control	Verification of Implementation		●		⑧ In the verification result shown in ⑦, if there is a possibility of contamination of prohibited substances specified in the management criteria of chemical substances in products at the supplier, do you verify if the supplier implements proper management to prevent contamination of prohibited substances?	＜sample answer＞ ・ Example of the management method when there is a parallel production which may cause contamination of RoHS substances 1) Segregating the storage shelves for products containing prohibited substances or segregating product packaging (labeling., etc.) 2) Isolating components and parts containing prohibited substances 3) Parts and components containing prohibited substances are managed only by the authorized person 4) The company has verified that equipment, tools, jigs and containers that are used for components and parts containing prohibited substances, but difficult to clean, are not used to produce components and parts which do not contain prohibited substances 5) For the purpose of preventing contamination, the company has defined the cleaning standards for cleanable equipment, tools, jigs and containers which are used for components containing prohibited substances ・Example of the management method for using recycled materials 1） Conducting analysis for every lot at receiving ・Example of the management method for using a solder bath 2） Periodical analysis of solder bath		（8） List an example of the appropriate management method (proper method from the company's viewpoint) for preventing contamination of incorrect use or admixture		
39	Process Control	Verification of Implementation		●		⑨ As a result of ⑧ shown above, when management cannot be verified at the supplier, do you verify and manage by yourself whether or not "purchased products fulfill the purchase management criteria" based on a proper evidence?	＜sample answer＞ ・ When management is not performed sufficiently at the supplier despite of possible contamination of RoHS substances due to parallel production, recycled materials (open/closed) or concentration change in solder bath, the company conducts analysis using chemical analysis devise (XRF, ICP, etc.) <note & point of management> Proper evidence is shown in the next examples ・The company collects and verifies the analysis data of initial delivery from the supplier and carries out periodical incoming analysis for every lot of products ・Periodical analysis of the end product at the customer ・If a purchased product is a material, the company collects the certificate of material issued by the material manufacturer		(9) Explain the evidence-based method of verification and management you (organization) conduct by yourself when management is not practiced sufficiently		
40	Process Control	Documentation		●		⑩ Do you have any document which defines the procedure to implement ①～⑨ shown above?	＜sample answer＞ ・"Regulations of supplier management (Document No. xxxx Revision 01)" Article No. xx : Requirements, Article No. xx: Updating evaluation, Article No. xx: Actions when evaluation is not conducted		(10) Explain the name of the document which defines the procedure to evaluate the supplier. Also state its document no, an article no, and revision no.		

No	Main Classification	Sub-Classification	Question Flag Step 1	Question Flag Step 2	Question Flag Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
4.4.3.3 Management of Chemical Substances in Products at Receiving											
The organization shall verify purchased products upon receiving if they fulfill the purchase management criteria of the organization and record it accordingly											
41	Process Control	Verification of Implementation	●			① Do you verify whether or not the purchased products fulfill the purchase management criteria at receiving?	＜sample answer＞ ・ The company verifies that the purchased products satisfy the purchase management criteria prior to issuing a purchase order. Therefore, the company inspects model names and model numbers against ordered items. ＜note & point of management＞ ・ Receiving verification also includes products produced by the outsourcing organization ・ The company may select verification targets, criteria, method and frequency depending on the risk level ・ If the company has the ordering system which allows to issue an order only for parts/materials that are compliant to the management criteria, the company may inspect only order numbers or model names at receiving		(1) Explain the specific method of verification		
42	Process Control	Verification of Implementation		●		② Do you conduct verification by evidence such as analysis when it is required?	＜sample answer＞ Management target : Resin recycled materials Method of verification : the company conducts verification based on the analysis data received from the supplier or in-house XRF analysis result ＜note & point of management＞ ・ If there is a risk in secondary materials (indirect materials) such as solder, grease, adhesives, oil, tape, cushion material, bonding material, ink (including marker pen, stamp) that are used for (or applied to) products, they should also be subject to verification ・ It is advisable to incorporate the following contents into the procedure that verifies the analysis data of purchased parts and components a) If a content (volume) of prohibited substances is measured in the company to make a judgment ⇒ See below ①～③ b) If a judgment is made based on the data collected from the supplier or from the outsourcing organization⇒ See ①～③ below c) If a judgment is made based on the result of the analysis conducted by the external organization ⇒ See ② below ① items subject to analysis, chemical substances, number of samples, frequency of measurement, judging criteria ※ the method of measurement is also considered for the judging method of hexavalent chromium or specific bromine that can not be measured by XRF analysis ② Reporting channel or roles in case of abnormal value shown in the measurement result ③ Periodic inspection or calibration for testing equipment		(2) Enter the targets that are required to verify by the evidence such as analysis. Also state its method of verification Management target: [Method of verification: [		
43	Process Control	Record	●			③ Do you record the result of above ①?	＜sample answer＞ ・Incoming inspection performance record, Measurement record		(3) Enter the name of the records where receiving verification is recorded		
44	Process Control	Documentation		●		④ Do you have any document which defines the procedure to implement ①～③ shown above?	＜sample answer＞ ・"Receiving inspection criteria (Document No. xxxx Revision 01) Article No. xx : Receiving inspection		(4) Enter the name of the document which specifies the method of verification at receiving, and also state its document no, an article (item) name, a revision no.		

4.4.4 Management of Chemical Substances in Products for the Manufacturing F

This check sheet is compliant to "JIS Z 7201:2012 Management of Chemical Substances in Products - Principles and Guidelines", however 4.4.4 Management of Chemical Substances in Products for the

No	Main Classification	Sub-Classification	Question Flag Step 1	Question Flag Step 2	Question Flag Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
4.4.4.1 Management of Chemical Substances in Products for the Manufacturing Process in General											
The organization shall manage the manufacturing processes in accordance with the management criteria of chemical substances in products for manufacturing processes and record the result accordingly.											
45	Process Control	Verification of Implementation	—	—		① Is there any possibility to generate any restricted substances or to have residue of restricted substances exceeding the management criteria of chemical substances in products, when there is a conversion process of composition change or concentration change in the manufacturing process using chemical substances/mixture, but no appropriate management is conducted? ※ If the above condition does not apply, enter "non-applicable" into ②～④	＜sample answer＞ ・applicable process : electroless nickel plating ・used material : plating solution （Ni90～92%、P8～10%、below Pb 1000ppm） ・declarable substances : lead ・type of reaction: a very small amount of lead compound (which is added to stabilize a bath) goes into a film during reaction ＜note & point of management＞ Declarable substances specified by the management criteria of chemical substances in products may possibly be generated or remained exceeding the management criteria Example of concentration change, reaction process ・Polymerization (PVC: chemical reaction of vinyl chloride) ・Electroless nickel-plating process (lead: concentration change in plating solution) ・Ink. paint (lead, cadmium, etc. :change in concentration due to volatilization of solvent, etc.) ・Sealant agent (DBT, DOT: hardening reaction of two-component mixed type sealant)		(1) If the condition in Question ① is applicable, enter the applicable process, used materials and reaction details ・ applicable process : [・ used material : [・ declarable substances : [・ reaction details : [		
46	Process Control	Verification of Criteria and Implementation		●		② For the process applicable to ① above, do you define the management criteria of chemical substances in products for the manufacturing process and manage the process accordingly?	＜sample answer＞ ・the document that defines the management criteria for the stage of manufacturing : ［Operation Manual of Plating Process］ ・Specific method of management : ［ in order to regulate lead added into plating solution as a stabilizer, the company set the criteria value of lead (Pb) at "xxx ppm" and analysis is carried out monthly for verification purpose ］ ＜note & point of management＞ ・In case of manufacturing chemical substances/mixture, do you define the purchasing conditions, the manufacturing process, the manufacturing condition, the inspection and delivery conditions in order to satisfy the management criteria for products, while focusing on chemical substances/mixture contained in raw materials or secondary materials and chemical substances added, generated and removed in the process? ・In case of manufacturing articles using chemical substances/mixture, do you design products or a process while focusing on a change in concentration of chemical substances or a change in the type of chemical substances contained in articles during the process based on logical reasons? ※it applies when solder, adhesive, grease or ink, etc. is used in the process ・ It is acceptable if "the management criteria of chemical substance in products in the stage of manufacturing" is reflected in QC process chart, management process diagram, management flow diagram, or operation procedures, etc.		(2) List the document specifying the management criteria in the manufacturing stage for the applicable process. Also state the specific method of management ・the document defining the management criteria in the manufacturing process : [・specific method of management : [		
47	Process Control	Record	●			③ Do you record the management result shown in ② above?	＜sample answer＞ ・ Test piece analysis report (for plating process)		(3) Enter the name of the record which contains the management result		
48	Process Control	Documentation		●		④ Do you have any document which defines the procedure to implement ②～③ shown above?	＜sample answer＞ ・ "Rules of process management (Document No. xxxx Revision 01)", Article No. XX : Management of reaction process "Operation Procedure"		(4) Enter the name of the document which specifies the process management. Also state its document no.		
4.4.4.2 Prevention of Contamination by Incorrect Use or Admixture											
The organization shall implement the preventive measures against contamination by incorrect use or admixture of chemical substances which are applicable under the management criteria of chemical substances in products											
	Process Control	Verification of Implementation				① Do you implement the preventive measures against contamination by incorrect use or admixture of chemical substances which are subject to the management criteria of chemical substances in products?	＜sample answer＞ ・ Management is practiced in accordance with QC process chart ＜note & point of management＞ ・ It is acceptable if details of preventive measures against contamination by incorrect use or		(1) Explain the specific method of management ※ If there is a process which may cause contamination by incorrect use or admixture of "prohibited substances" as defined by the management criteria of chemical substances in products, specify the management method in （3）～		

No	Main Classification	Sub-Classification	Question Flag			Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization		by Evaluation-Result Verifying Organization	
			Step 1	Step 2	Question by product			Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	Judging Result	Judgment reason, memo, remarks, etc.
49	Process Control	Verification of Implementation	●			※ Actions for "prohibited material" specified in the management criteria of chemical substances in products are verified in ②～⑦	admixture are specified according to the management level of chemical substances that may cause contamination (prohibited substance or management of contained substances) ・If there is no possibility of contamination by incorrect use or admixture of "prohibited substances as defined by the management criteria of chemical substances in products, it is acceptable if the company conducts general process control to prevent contamination by incorrect use or admixture ・If there is a process or a material which may cause contamination by incorrect use or admixture of "prohibited substances" as specified in the management criteria of chemical substances in products, the company needs to undertake actions of ③～⑦ below				

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Point	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
50	Process Control	Verification of Implementation	—	—		＜Actions for prohibited substances＞ ② Is there any process which may cause contamination by incorrect use or admixture of "prohibited substances" as specified in the management criteria of chemical substances in products or is there any process or material which is not yet verified? ※ If there is no possibility of contamination by incorrect use or admixture as well as there is no process or no material which has not been verified, enter "non-applicable" in ③～⑦	＜sample answer＞ ・Parts or material： electrical cable ・Prohibited substances： lead ・Process： surface mount process ・Use: to be used for automobile parts ＜note & point of management＞ ・The company needs to include not only the processes for the targeted customer, but also other processes when judging whether or not "prohibited substance "may possibly cause contamination by incorrect use or admixture ・The followings are examples of suspected contamination by incorrect use or admixture of "prohibited substances" as specified in the management criteria of chemical substances in products a. There is a parallel production using "prohibited substances" in the production line allocated for the customer of no-restriction, b. Recycled material (open / closed) is used		(2) If there are parts or materials containing prohibited materials, list the name of parts and materials containing prohibited substances. Also state prohibited substances, a process and its use		
51	Process Control	Verification of Implementation	●			＜Actions for prohibited substances＞ ③ Do you conduct proper management to prevent contamination by incorrect use, admixture or mix-up at receiving of parts and materials or at the storage area (including secondary materials and packing materials)?	＜sample answer (the management method)＞ ・to put a label "nonconformance" onto nonconformance parts (electrical cable containing lead) at receiving ・to put a divider to segregate nonconformance parts and materials that contain prohibited substances in the storage area ・At receiving, the company analyzes open recycled materials for each lot by XRF analysis equipment and verifies if prohibited substances do not exceed a threshold value due to inconsistency of concentration ＜notes & point of management＞ ・For conducting the effectual management method to prevent contamination by incorrect use or admixture, the management method has to be in such a manner that anyone working in management doesn't make any mistake (ex. labeling, specialization, limiting the person in charge, etc.)		(3) Explain the specific method of management to prevent contamination by incorrect use, admixture or mix-up at "the parts and material storage area (including secondary material and packing material)"		
52	Process Control	Verification of Implementation	●			＜Actions for prohibited substances＞ ④ Do you conduct proper management to prevent contamination by incorrect use, admixture or mix-up at the manufacturing processes shown below? a. Line process (including peripherals) b. work-in-progress storage (including the long-term WIP storage area) c. Rework process (ex. a repair process for soldering and not a normal production line) d. production equipment, tools and jigs (if they touch or attach to parts or materials)	＜sample answer (the management method)＞ (4) - 1： Line process （including peripherals） ・The company designates the special line (line designated for the customer of no-restrictions) using "prohibited substance" and put up a sign for identification ・Solder irons or cleaning sponges for special use are separated and an identification sticker is pasted on them (4) - 2： WIP storage area (including long-term WIP storage area) ・The company allocates a special area to store WIP which is not subject to restrictions of "prohibited substances" and put up a sign for identification ・The company keeps a long term WIP in a locked area and specifies a person in charge to handle (4) - 3： Rework process ・ The company designates a special repair line used for non-restriction items of "prohibited substance" (4) - 4： Production equipment, tools and jib （when they touch or attached to parts or materials） ・ The company segregates specialized production equipment, tools and jib used for no-restrictions of "prohibited substances" and puts a label for identification (sticker) ・The company defines the cleaning standards for production equipment, tools and jigs which are used for no-restrictions of "prohibited sustenance" and conducts the management accordingly ＜note & point of management＞ ・For implementing the effectual management method to prevent contamination by incorrect use or admixture, the management method has to be in such a manner that anyone working in management doesn't make any mistake (ex. labeling, specialization, limiting the person in charge, etc.)		(4) List the specific management method to prevent contamination by incorrect use, admixture, mix-up for the following manufacturing processes (4) - 1： Line process (including peripherals) (4) - 2 : WIP storage area (including long-term WIP storage area) (4) - 3 : Rework process (4) - 4 : Production equipment, tools and jigs (if they attach or touch to parts or materials)		
53	Process Control	Verification of Implementation	●			＜Actions for prohibited substances＞ ⑤Do you conduct proper management to prevent contamination by incorrect use, admixture and mix-up at the delivery warehouse where products are stored?	＜sample answer (the management method)＞ ・ to put a sign on products or packaging (label, etc.) for identification and allocate a special storage area ＜note & point of management＞ ・For implementing the effectual management method to prevent contamination by incorrect use or admixture, the management method has to be in such a manner that anyone working in management doesn't make any mistake (ex. labeling, specialization, limiting the person in charge, etc.)		(5) Explain the specific management method to prevent contamination by incorrect use, admixture and mix-up at "the delivery warehouse where products are stored"		
54	Process Control	Verification of Implementation	●			＜Actions for prohibited substances＞ ⑥ Do you conduct proper management if there is a possibility of contamination by incorrect use, admixture or mix-up in the process other than ③～⑤ above?			(6) Explain the specific management method when there is a possibility of contamination by incorrect use, admixture and mix-up in the process other than ③～⑤ above?		
55	Process Control	Documentation		●		⑦ Do you have any document which defines the procedure to implement ③～⑥ above?	＜sample answer＞ ・ "Regulations of Process management (Document No. xxxx Revision 01)," Article No xxx : Management of prohibited substances - The procedure of production switching		(7) Enter the name of the document specifying the management procedures of prevention against contamination by incorrect use for the applicable processes. Also state its document no, an article name and revision no.		

4.4.5 Management at Delivery

Before delivering products, the organization shall verify products if they satisfy the management criteria of chemical substances in products for delivery and record the result accordingly. At receiving or during the manufacturing process, the organization shall verify again to ensure that all predetermined check items are completely verified. The organization shall also manage to prevent contamination by any incorrect shipment or mixed-up in the product warehouse.

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Point	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
56	Process Control	Verification of criteria and implementation	●			① Do you have clear "management criteria of chemical substances in products" for the stage of delivery?	＜sample answer＞ ・ "Regulations of delivery verification" Article No. xxx : Evaluation of chemical substances in products (the criteria or procedures of delivery inspection, etc.) ＜note & point of management＞ In JIS Z 7201 "Management of chemical substances in products - Principles and Guidelines", delivery means shipping or sending products to the customer, but delivery does not include products sent to the next process in the organization		(1) Enter the name of the document which specifies the management criteria of chemical substances in products for the state of delivery		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
57	Process Control	Verification of Implementation	●			② In the management criteria for the stage of delivery, do you include whether or not the management criteria is satisfied at the stage of receiving and at the manufacturing process respectively?	＜sample answer＞ ・ The company verifies the identification tag to check if products are manufactured in a specified process using specified materials ＜note & point of management＞ ・ The management criteria for delivery may include not only conducting management in the process, but also quality check at delivery ・When the company finds "nonconformity" occurred at any of the processes between receiving and delivery, the company takes an action of "suspension of shipment" ・Points of auditing the mixed production system: to pay attention to the solder flow process, inspection at issuing parts or if any check is done at testing, etc.		(2) Explain contents of verification and its method at delivery		
58	Process Control	Record	●			③ Do you record the verification result show in ② above?	＜sample answer＞ ・Delivery inspection tag ・Process travel tag (travel sheet) ・Identification tag ・Process control record		(3)Enter the name of the record in which the verification result of the above ② is recorded.		
59	Process Control	Documentation		●		④ Do you have any document which defines the procedure to implement ①～③ shown above?	＜sample answer＞ "Regulations of delivery verification (Document No. xxxx Revision 01)" Article No. xx : Receiving verification, Article No. xx: Process verification, Article No. xx: Evaluation of chemical substances in products		(4) Enter the name of the document which specifies the method of delivery verification. Also state its document no, an article name. revision no.		

4.4.6 Verification of the Management Status of Chemical Substances in Products at Outsourcing Organization

When the organization outsources some processes such as product design and development or manufacturing to another organization, the organization shall verify the management status of chemical substances in products at the outsourcing organization to ensure that the management criteria of chemical substances in products can be complied and record the result accordingly.

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
60	Process Control	Verification of Implementation	●			① Do you give instructions to the outsourcing organization in writing about the management items/the management contents of chemical substances in products?	＜sample answer＞ ・Production outsourcing agreement ＜note & point of management＞ ・ The company shall give instructions for necessary management items / management details of chemical substances in products to the outsourcing organization, corresponding to the type of outsourcing works ・ When the company assigns procurement of parts and materials to the outsourcing organization, responsibilities and authorities have to be defined.		(1) Enter the name of the record in which instructions to the outsourcing organizations about the management method of chemical substances in products are recorded.		
61	Process Control	Verification of Implementation	●			② Do you verify the implementation status of the instructions which you gave to the outsourcing organization as shown in ① above?	＜sample answer (verification details)＞ ・The outsourcing organization purchases specified parts and materials from the genuine agent and produces under specified process conditions (production process, repair process, inspection process conditions, etc.) ＜sample answer (verification frequency)＞ ・at least once every 2 years ※ however, depending on the risk of the outsourcing organizations, verification is done more frequently		(2) Explain the verification details and the frequency of verification		
62	Process Control	Record	●			③ Do you record the verification result shown in ② above?	＜sample answer＞ ・List of evaluation results of the outsourcing organizations		(3) Enter the name of the verification record for (2) shown above		
63	Process Control	Documentation		●		④ Do you have any document which defines the procedure to implement ①～③ shown above?	＜sample answer＞ ・ "Regulations for the management of outsourcing organizations (Document No. xxxx Revision 01)" Article No. xx: Information delivery, Article No. xx : Requirement, Article No. xx: Evaluation		(4) Enter the name of the document specifying the management method of outsourcing organizations for "management of chemical substances in products". Also state its document, an article name, revision no.		

4.4.7 Traceability

The organization shall assure traceability of the information of chemical substances in products by appropriate manners in order to grasp, utilize, disclose and transfer the information of chemical substances in products swiftly.

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key Indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
64	Common Management	Verification of Implementation	●			① Do you manage in such a manner that you are able to trace from the delivered products about a receiving lot of components /parts/raw materials, manufacturing time, manufacturing process, outsourcing organizations and you are able to grasp, utilize, disclose and transfer the information of chemical substances in products promptly?	＜sample answer＞ A lot number for the product is stated in the identification tag which is attached to a delivery verification sheet. This lot number ensures traceability as it is linked to the process information (including manufacturing process number or manufacturing time) as well as to a lot number of parts and materials input into the product. ＜note & point of management＞ ・ The manufacturing process includes processes of the supplier / the outsourcing organization ・ The lot number of end products enables to capture a lot number of parts and components used for end-products		(1) Explain the management method how to trace from the delivered products about a receiving lot of parts and component/raw material, manufacturing time, manufacturing place (process) or the outsourcing organization		
65	Common Management	Record	●			② Do you make a record in order to manage traceability of the delivered products to identify a receiving lot of parts and components/raw material, manufacturing time, manufacturing process, the outsourcing organizations?	＜sample answer＞ ・Parts receiving records ・Lot management record ・Production record		(2) Explain the name of the record which can specify from delivered products about a receiving lot of parts, components and raw materials, manufacturing time, manufacturing place (process) and the outsourcing organizations		
66	Common Management	Documentation		●		③ Do you have any document which defines the procedure to implement ① shown above?	＜sample answer＞ ・ "Regulations of process management (Document No. xxxx Revision 01)" Article No. xx : Traceability ・ "Rules of manufacturing control (Document No. xxxx Revision 01)" Article No. xx: Traceability "Operation Procedure"		(3) Enter the name of the document which specifies the procedure for traceability. Also state its document no, an article name and revision no.		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Step 3 by Individual	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
4.4.8 Exchange of information with the customer											
The organization shall clearly define and implement the effective method of exchanging information with the customer for the following matters, and record details of such information exchange. a) Laws, regulations and the industry criteria that are required by the customer to comply b) Information of chemical substances in products c) information on the management of chemical substances in products In case that any change is to be made to the information of chemical substances in products, the organization shall notify the customer prior to such a change											
67	Common Management	Verification of Implementation	●			① Do you have and also implement any efficient and effective method of exchanging information with the customer and the supplier as well as asking for investigation and collecting information from them for a)～c) shown below? a) law, regulations and the industry criteria which needs to be complied by the customer or the supplier b) information of chemical substances in products c) information about management of chemical substances in products	＜sample answer＞ a) Laws, regulations and the industry criteria which needs to be complied by the customer : ［When the company receives new requirement criteria from the customer, the company examines them immediately, lay down the system to support new requirements in "the regulations of external communication "and implement it accordingly] b) Information of chemical substances in products : ［The company establishes and implements the system as provided in "the regulations of the external communication" which specifies to investigate prior to the survey request for the purpose of quick investigation and reply for the information of chemical substances in products ］ c) Information about management of chemical substances in products : ［The company defines and implements the system as provided in "the regulations of external communication" which enables to make a quick response to evaluation on the management of chemical substances in products by the customer ］ ＜note & point of management＞ ・The effective method of information exchange means that the effective system has been established in order to give a quick response to enquiries or evaluations		(1) Explain the method which enables to exchange information effectively with the customer or the supplier for the following a)～c) a) Laws, regulations and the industry criteria to which the customer is required to comply : ［ b) Information of chemical substances in products : ［ c) Information about management of chemical substances in products ［		
68	Common Management	Record	●			②Do you record the details of ① above?	＜sample answer＞ a) Laws, regulations and the industry criteria which needs to be complied by the customer : ［Receiving verification record - the customer's Green procurement criteria, etc.］ b) Information of chemical substances in products : ［Survey response record for information of chemical substances in products］ c) Information about management of chemical substances in products : ［Record of response for the evaluation on management of chemical substances in products by the customer ］		(2) Enter the name of evidence record a) Laws, regulations and the industry criteria which needs to be compiled by the customer : ［ b) Information of chemical substances in products : ［ c) Information about management of chemical substances in products : ［		
69	Common Management	Verification of Implementation		●		③ If the customer requests, do you submit the evidence for "non-inclusion of prohibited substances" as specified in the management criteria of chemical substances in products to the customer ?	＜sample answer＞ In which case? : ［upon the customer's request for recycled resin］ Evidence : ［Measurement data of prohibited substances or the certificate of no-use issued by the material manufacturer		(3) If you submit the evidence about prohibited substances to the customer, explain for which case and what type of evidence you submit to the customer In which case : ［ Evidence : ［		
70	Common Management	Documentation		●		④ Do you have any document which defines the procedure to implement ①～③ shown above?	＜sample answer＞ "Regulations of external communication" Document No. xxxx Revision 01		(4) Enter the name of the document which specifies information communication to the customer. Also state its document no, an article name and revision no.		
4.4.9 Change management											
The organization shall extract changeable elements which may affect declarable chemical substances under the management criteria of chemical substances in products. When any change arises, before the actual change is taken place, the organization shall effectually confirm a change to be made to the information of chemical substances in products and verify if the management criteria of chemical substances in products can still be fulfilled. The organization shall document the procedures of change management and record the result of change.											
71	Common Management	Verification of Implementation	●			① Have you defined items subject to change management?	＜sample answer＞ The followings are applicable to change management in the organization internally, at the supplier and at the outsourcing organizations ・supplier, outsourcing organization ・parts, material ・process (production equipment, manufacturing condition, mold/die, tools and jigs, etc.) ＜note & point of management＞ ・4 elements of production that are "Man", "Machine", "Material" and "Method" are included in change management ・Not only changes in the organization internally, but also any change taken place in the supplier or the outsourcing organization should be subject to change management		(1) List the items which are subject to change management		
72	Common Management	Verification of Implementation	●			② If some change is going to be made to an item subject to change management internally in the organization as shown in ①, do you verify whether or not a change can conform to the management criteria of chemical substances in products prior to a change taken place?	＜sample answer＞ The company verifies the following ・ Verification details for the supplier or the outsourcing organization : if the supplier or the outsourcing organization has and operates the management system of chemical substances in products which can satisfy the management criteria of chemical substances in products ・Verification details about parts and materials: if parts or materials satisfy the purchase management criteria ・Verification details about process (production equipment, manufacturing condition, mold/die, tool and jig, etc.): if the process satisfies the management criteria of chemical substances in product for the stage of manufacturing		(2) If any change arises to an item subject to change management in the organization internally as shown in (1), explain about verification details to identify the conformance status with the management criteria of chemical substances in product prior to a change taken place		
73	Common Management	Verification of Implementation	●			③ If some change is going to be made to an item subject to change management in the supplier / in the outsourcing organization as in ① above, do you verify whether or not a change can conform to the management criteria of chemical substances in products prior to a change taken place?	＜sample answer＞ The company verifies as shown below ・Verification details for the supplier or the outsourcing organization: if the supplier or the outsourcing organization has and implements the management system of chemical substances in products which can satisfy the management criteria of chemical substances in products ・Verification details about parts and materials: if parts or materials satisfy the purchase management criteria ※ measurement data if necessary <note & point of management＞ ・The procedures of change management shall be disseminated to the suppliers (including 2nd, 3rd tier, and lower tier supplier...)		(3) If any change arises to an item subject to change management in the organization internally, at the supplier / the outsourcing organization as in (1), explain about verification details to identify the conformance status with the management criteria of chemical substances in products prior to a change taken		
74	Common Management	Verification of Implementation	●			④ If any change arises to an item subject to change management in the organization internally / at the supplier/ the outsourcing organization as in ① above, do you report about it to the customer before a change is made?	＜sample answer＞ ・The company has and operates the system to notify a change (supplier, material, process, etc.) and the conformance status with the management criteria of chemical substances in products to the customer prior to a change taken place. ＜note & point of management＞ ・It is important that a change should be made after communicating with the customer ・It is important to report to the customer about the conformance status to the management criteria of chemical substances in products, no matter how the outcome is		(4) If any change arises to an item subject to change management in the organization internally, at the supplier / the outsourcing organization as in (1), explain about the reporting method to the customer before a change takes place		
75	Common Management	Record	●			⑤ Do you record the verification result when a change is made as in ②～④ above?	＜sample answer＞ In-house : ［xxx Co. Ltd. Application of process change (in-house use)］ Supplier/Outsourcing organization : [xxx Co. Ltd. Application of process change (for supplier use)］ Customer : ［Application of process change (Use the format specified by the customer)］		(5) Enter the name of the document which records the result of (2)～(4) above In-house : ［ Supplier/Outsourcing organization : ［ Customer : ［		

No	Main Classification	Sub-Classification	Question Flag Step 1	Step 2	Key indicator	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	by Self-Evaluating Organization: Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	by Evaluation-Result Verifying Organization: Judgment reason, memo, remarks, etc.
76	Common Management	Documentation	●			⑥ Do you have any document which defines the procedure to implement ①～⑤ above?	＜sample answer＞ ・"Regulations of change management (Document No. xxxx Revision 01)" Article No.xx: Application of change, Article no. xx: Customer's approval ・The procedure to verify no inclusion of prohibited substances ＜note & point of management＞ ・The company shall specify the contact flow among supplier / outsourcing organization / customer		(6)Enter the name of the document which specifies about change management. Also state its document no, an article name, revision no.		

4.4.10 Management of Chemical Substance in Product at Occurrence of Nonconformity

The organization shall develop and document the method of in-house contacts, the method of contacting suppliers, outsourcing organizations and customers as well as the temporary corrective actions, in order to respond to any nonconformity arising relating to chemical substances in products. After the temporary measure is taken, the organization shall investigate and identify the cause, determine and implement the necessary countermeasures to prevent recurrence of nonconformity. The organization shall take the preventive measures to avoid any occurrence of nonconformity. The organization shall record the responses taken at nonconformity.

No	Main Classification	Sub-Classification	Step 1	Step 2	Key indicator	Questions	Sample Answer / Note & Point of Management	Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	Judging Result	Judgment reason, memo, remarks, etc.
77	Common Management	Verification of Implementation	●			① Do you have clarified procedures for the following in case of occurrence of nonconformance to chemical substances in products (hereinafter called "non-conformance item") ? ・Contacting procedure from the supplier/the outsourcing organization ・In-house contacting procedure and the procedures of deciding measures ・Reporting procedure to the customer	＜sample answer＞ Contacting procedure from the supplier / the outsourcing organization : [In case any nonconformance occurred in the supplier or in the outsourcing organization, the company instructs to contact the purchasing department immediately] In-house contacting procedure and the procedure of deciding measures : [The department which found nonconformance shall contact the quality control department immediately using the contact card. Quality control department shall call all related departments for a meeting and discuss measures corresponding to the critical level of nonconformance] Contacting procedures to the customer : [In case of occurrence of nonconformance, the company shall contact the customer immediately and keep the customer updated about the measures] ＜note & point of management＞ ・The company shall clarify the definition of "nonconformance" to the supplier and the outsourcing organizations ・The company defines the critical level of nonconformance of products and specifies actions corresponding to the level ・The company has set a rule to report to the external organizations (supplier/customer) as soon as the company finds nonconformance		(1) Enter the procedure for the following when nonconformance item is found Contacting procedure from the supplier/the outsourcing organization : [In-house contacting procedure and the procedures to decide measures : [Reporting procedure to the customer : [		
78	Common Management	Verification of Implementation	●			② Do you have clear procedures requesting the supplier/the outsourcing organization to inform swiftly about nonconformance occurred at the supplier/the outsourcing organization?	＜sample answer＞ Requesting document : ［Green procurement criteria］ Requesting contents : ［When the supplier / the outsourcing organization finds that products to be delivered do not conform to the company's management criteria of chemical substances in products, the supplier/outsourcing organization shall inform the company immediately ］ ＜note & point of management＞ ・The company shall set a reporting period in advance for the supplier/the outsourcing organization to inform to the company (to the customer) or request the supplier/the outsourcing organization to report immediately when nonconformance is found		(2) Enter the name of the document in which the company requests the supplier/the outsourcing organization to report immediately about nonconformance. Also explain about details of the request Requesting document : [Requesting details : [		
79	Common Management	Verification of Implementation	●			③ Do you have clarified procedures to prevent expansion of nonconformance by taking a temporary action at occurrence of nonconformance?	＜sample answer (temporary action)＞ The manufacturing department shall take the following actions as a temporary measure ・To identify the influenced area (to identify a first nonconformance lot or equipment of causing non-conformance) ・To prevent expansion (suspension of production, suspension of delivery, isolation) ・Identification management (isolating nonconformance items from conformance items or put an identification sign) ＜note & point of management＞ ・It is important to identify the influenced area, to prevent expansion or to manage by identifying nonconformance from conformance items		(3) Explain action details specifying prevention of expansion at occurrence of nonconformance		
80	Common Management	Verification of Implementation	●			④Do you have clarified procedures to investigate the cause and/or to take actions and preventive measures?	＜sample answer＞ ・The manufacturing department has specified to investigate a cause and to take actions and preventive measures and to report them in "Product-Nonconformance contact card /report" to the quality assurance department ＜note & point of management＞ ・The company has established the procedure to take corrective actions against the cause of nonconformance or the preventive measures of recurrence such as revising the criteria		(4) Explain about the contents specifying a cause investigation, countermeasure and preventive measures		
81	Common Management	Verification of Implementation	●			⑤ Do you have specified procedures to apply the preventive measures of recurrence extensively?	＜sample answer＞ ・Quality assurance department shall examine the preventive measures of recurrence and decide whether or not the measures should be implemented extensively based on collected "Product-nonconformance contact card / report"		(5) Explain about the contents specifying the extensive implementation of preventive measures of recurrence		
82	Common Management	Verification of Implementation	●			⑥ Do you have any specified procedures to record actions taken at nonconformance?	＜sample answer＞ ・Contact card - Product nonconformance problem		(6) Enter the name of the document in which actions are recorded at occurrence of nonconformance		
83	Common Management	Documentation	●			⑦ Do you have a document which defines the procedure to implement ①～⑥ shown above?	＜sample answer＞ ・ "Regulations of measures against nonconformance (Document No. xxxx Revision 01)" Article no. xx : Actions against nonconformance products Article no. xx : Isolation of nonconformance products Article no. xx : Corrective actions, extensive implementation Article no. xx: Retention of record		(7) Enter the name of the document which specifies actions to be taken at nonconformance for chemical substances in products. Also state its document no., an article name, revision no.		

4.5 Management of Human Resources, Document and Informa

This check sheet is compliant to JIS Z 7201:2012 "Management of Chemical Substances in Products - Principles and Guidelines", however "4.5 Management of Human Resources,

4.5.1 Education and Training

The organization shall develop the contents of each management and operation module that are necessary to train and educate for management of chemical substances in products. The organization shall identify works and personnel to be engaged in management of chemical substances in products, and conduct the necessary training and education, and record accordingly.

No	Main Classification	Sub-Classification	Step 1	Step 2	Key indicator	Questions	Sample Answer / Note & Point of Management	Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	Judging Result	Judgment reason, memo, remarks, etc.
84	Common Management	Documentation	●			① Do you specify targeted staffs required for training as well as the contents of education/training for each operation and management module?	＜sample answer＞ Target staff ① : ［person in charge of material, person in charge of manufacturing］ Contents of training ① : ［identification management at parallel production (storage, production switching, cleaning, etc.)］ Target staff ② : ［person in charge of judging inspection data/input data］ Contents of training ② : ［Specialized training of chemical management / the management criteria of chemical substances in products (latest version)"］ <note & point of management> ・ Operation and Management refers to "4.4.2 Management of chemical substances in product at design and development"～"4.4.10 Management of chemical substances in products at occurrence of nonconformity"		(1) List the staffs required for education and contents of training target staff ① : [contents of training ① : [target staff ② : [contents of training② : [target staff ③ : [contents of training③ : [		
	Common Management	Documentation				② Do you conduct education and training as shown in ① above and record it accordingly?	＜sample answer＞ ・Training record - "Chemical substances in products - survey / judging staff training"		(2) Enter the name of the document which contains a record of education and training		

No	Main Classification	Sub-Classification	Question Flag: Step 1	Step 2	Optional	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
85	Common Management	Record	●								

No	Main Classification	Sub-Classification	Question Flag: Step 1	Step 2	Step 3 by Interview	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
86	Common Management	Documentation		●		③ Do you have a document which specifies the procedure to implement ①～② above?	＜sample answer＞ ・"Regulations of management of chemical substances in products (Document No. xxxx Revision 01)" Article no. xx : Education and training		(3) Enter the name of the document which specifies educations for management of chemical substances in products. Also state its document no. an article name,		

4.5.2 Management of document and record

The organization shall manage the documents including "the procedures required to be documented" and the records as required in the action items of the Guidelines as well as the procedures and the records which are determined by the organization as necessary.

No	Main Classification	Sub-Classification	Question Flag: Step 1	Step 2	Step 3 by Interview	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
87	Common Management	Verification of Implementation	●			① Do you manage the documents for management of chemical substances in products (documents verified in this check sheet)?	＜sample answer＞ ・"XX Co. Ltd, The system diagram for documents of chemical substances in products" ・"XX Co. Ltd. List of documents related to chemical substances in products" ＜note & point of management＞ ・It is recommended to manage the documents systematically using a list of document or a system diagram of document, etc. ・In the document system, the revision history of each document shall be specified ・Documentation on management of chemical substances in products should be kept in the environment where authorized persons are able to view and verify the latest version, and documentation should be reviewed whenever necessary		(1) Enter the name of the record which shows the document system for management of chemical substances in products (documents verified in this check sheet)		
88	Common Management	Record		●		② Do you keep the operation records relating to management of chemical substances in products?	＜sample answer＞ ・Product assessment report (retention period xx years) ・Evaluation List of the suppliers (retention period xx years) ・Evaluation list of the outsourcing organizations (retention period xx years) ・Receiving inspection performance sheet (retention period xx years) ・Test piece analysis report (retention period xx years) ・Identification tag (retention period xx years) ・Lot management record (retention period xx years) ・Receiving verification record of the customer's green procurement criteria, etc. (retention period xx years) ・Survey response record for information of chemical substances in products (retention period xx year) ・Response record of the evaluation by the customer concerning management of chemical substances in products (retention period xx years) ・Application for process change (retention period xx years) ・Chemical substances in products - survey and judging staff training (retention period xx years) ・Internal audit report (retention period xx years) ・Management review report (retention period xx years) ＜note & point of management＞ ・Operation record means a verification record for respective items ・The company shall set a retention period for each operation record and manage it accordingly ・If a retention period is regulated by the law or as the customer's requirement, the company shall set a retention period accordingly		(2) List the name of the record kept by the company and its retention period respectively. ※ If the space is not enough to list all the records in this cell, the existing record (such as a management list of records, etc.) can be alternatively used		
89	Common Management	Documentation		●		③ Do you have any document which defines the procedure to implement ①～② shown above?	＜sample answer＞ ・"Regulations of environmental documentation management (Document No. xxx Revision 01)"		(3) Enter the name of the document specifying management of documents and records. Also state its document no., an article name and revision no.		

4.6 Evaluation and Improvement of Implementation Status

The organization shall evaluate the management status of chemical substances in products periodically at a predetermined frequency. The organization shall implement corrective actions to matters which require correction. The organization shall record the result of evaluation and the corrective actions and report it to top managers of the management of chemical substances in products. The top management in chemical substances in products shall review the result of evaluation and the corrective actions.

No	Main Classification	Sub-Classification	Question Flag: Step 1	Step 2	Step 3 by Interview	Questions	Sample Answer / Note & Point of Management	by Self-Evaluating Organization: Self-Evaluation Result	Answer (Implementation details, Evidence name, etc.)	by Evaluation-Result Verifying Organization: Judging Result	Judgment reason, memo, remarks, etc.
90	Common Management	Verification of Implementation	●			① Do you evaluate the management status of chemical substances in products periodically at predetermined frequency?	＜sample answer＞ Verification frequency : ［once a year］ Verification method : ［Internal audit for management of chemical substances in products］		(1) Enter the verification frequency of management of chemical substances in products and its verification method Verification frequency : ［ Verification method : ［ Verification details : ［		
91	Common Management	Verification of Implementation	●			② Do you take necessary corrective actions?	＜sample answer＞ ・Corrective action report		(2) Enter the name of the record which shows implementation of necessary corrective actions		
92	Common Management	Record	●			③ Do you record the evaluation result and the result of corrective actions?	＜sample answer＞ ・Internal audit report ＜note & point of management＞ If the company incorporates internal audit into ISO9001, ISO14001 or others, it is advisable that internal audit reports specifies "the scope of audit" in the report to indicate that auditing is also conducted for chemical substances in products		(3) Enter the name of the record which shows the evaluation result or the result of corrective actions		
93	Common Management	Verification of Implementation	●			④ Do you report the evaluation result and the result of corrective actions to the top managers concerning management of chemical substances in products? Is the review conducted based on the above report?	＜sample answer＞ ・Management review report ＜note & point of management＞ If the company incorporates internal audit into ISO9001, ISO14001 or others, it is advisable that internal audit reports specifies "the scope of audit" in the report to indicate that auditing is also conducted for chemical substances in products		(4) Enter the name of the record which shows the result of review by the top management concerning management of chemical substances in products.		
94	Common Management	Documentation		●		⑤ Do you have any document which defines the procedure to implement ①～④ shown above?	＜sample answer＞ ・"Regulations for management of chemical substances in products (Document No. xxxx Revision 01)" Article no. xx: Management review		(5) Enter the name of the document specifying evaluation of the implementation status and implementation of improvement. Also state its document no, an article name and revision no.		

Annex E：Self-Declaration of Conformance

The following is the sample format of Self-Declaration of Conformance with the data entry example and explanation

The sample of Self-Declaration of Conformance is provided in Microsoft Word format.

Self-Declaration of Conformance (the sample)

Self-Declaration of Conformance
based on
Guidelines for the Management of Chemical Substances in Products

1. Number : .....

2. Issuer : .....
   Address of Issuer : .....

3. Subject of Declaration : .....

4. The above declaration complies with requirements specified in the documents below:
   Name of Document : Guidelines for the management of chemical substances in products
   Version : Ver. 3.0
   Date of Issue : January 2013
   Issuer : Joint Article Management Promotion-consortium (JAMP)

5. Additional information
   Method of verification : .....
   Others : .....

6. Signature of Representative
   Name : .....
   Job title : .....
   Signature

7. Date and Place of Issue
   Place of issue : .....
   Date of issue : (day) (month) (year)
   Date of update : (day) (month) (year) （optional）

8. For any enquiry about the declaration of conformance, please contact below:
   Name : .....
   Department : .....
   Telephone : .....
   E-mail : .....

Example of Data Entry of Self-Declaration of Conformance and Explanation

■Note indicates data entry is compulsory, whereas □Note shows optional data entry.

1. Number

■ Note 1 The organization issuing the Self-Declaration of Conformance shall state an identification code as a reference number in case of any enquiry received internally or externally. The identification code may include characters other than numerical figures

(Example 1-1) xxxx-2013-01

2. Name of Issuer / Address of Issuer

■Note 2 Enter the name of the organization issuing a Self-Declaration of Conformance. For example, an issuer can be entered as shown below. In case that entry data takes too many lines, data can be entered using an attached sheet

A. In case of only the specific organization in the company issuing the Self-Declaration of Conformance:

(Example 2-1) xxxx Co. Ltd., xxxx Factory
No.12-3, xxxx Town, xxxx County, xxx Prefecture, Country

(Example 2-2) xxxx Co. Ltd., xxxx Division
No.12-3, xxxx Town, xxxx County, xxx Prefecture, Country

(Example 2-3) xxxx Co. Ltd., xxxx Factory, xxxx Division
No.12-3, xxxx Town, xxxx County, xxx Prefecture, Country

B. In case that the Self-Declaration of Conformance is issued by the multiple organizations, the group companies or by the organization together with external outsourcing organizations.
For self-declaration, the issuer can include an outsourcing organization without any capital tie or any share held by the issuer.

(Example 2-4) xxxx Co. Ltd., xxxx Factory
No.12-3, xxxx Town, xxxx County, Ibaragi Prefecture, Japan

xxxx Co. Ltd., yyy Factory
No.12-3, xxxx Town, xxxx County, Shizuoka Prefecture, Japan

Tohoku xxxx Co. Ltd., xxxx Factory
yy 12-3, yyy City, Aomori Prefecture, Japan

Shonai xxxx Co. Ltd., xxxx Factory
No.12-3, xxx Town, xxx County, Yamagata Prefecture, Japan

China xxxx Co. Ltd.
No. 1234-56 Dalian, Liaoning Province,
People's Republic of China

C. In case that only the specific organization within the company is issuing the Self-Declaration of Conformance

(Example 2-5) xxxx Co. Ltd., xxx Factory
No. 12-3, xxxx Town, xxx County, Ibaragi Prefecture, Japan

3. Subject of Declaration

■ Note 3 Enter the management system subject to Self-Declaration of Conformance. If the data is large and taking too many lines, data can be entered into an attached sheet

(Example 3-1) the company-wide management system of chemical substances in products

(Example 3-2) the management system of chemical substances in XXX products for xxxx use

(Example 3-3) the management system of chemical substances at development, manufacturing and sales of xxxx products for xxxx use

(Example 3-4) The management system of chemical substances in products for development, manufacturing and sales of electronics parts and components

4. The above declaration complies with requirements specified in the documents below: [specified requirements]

■ Note 4 Enter the name of referred documents, version, the date of issue and the issuer as per the sample below.

(Example 4-1) Document : Guidelines for the management of chemical substances in Products
Version : 3.0
Date of issue : Feb 3013
Issuer : Joint Article Management Promotion- consortium (JAMP)

5. Additional Information [Optional Information]

□ Note 5 Enter information that is a base for the declaration of conformance such as the evaluation method of the organization. When "The List of The Action Items & Check Sheet" is used, the version number should be also provided.

(Example 5-1) The Verification Method : Based on the result of internal audit (conducted in the month of xxx 2013), conformance was verified.

(Example 5-2) Verification method : Based on the result of internal audit (conducted in the month of xxx 2013) using The List of the Action Items and Check Sheet (Ver. 3.00), conformance was verified.

6. Signature of Representative

■ Note 6 List the name of the representative, his/her department, job title and signature.
Depending on the size of the organization, the management system, the organization shall appoint the appropriate representative such as the president, senior director in charge, executive officer in charge or head of the department in charge

(Example 6-1) Name : xxxxxxx
Job title : executive director in charge
Signature

7. Date and Place of Issue

■ Note 7 The place shall be where "the representative" is located. Enter the place again even if it's the same as "2. Address of Issuer"
Date of Issue represents the date when Self-Declaration of Conformance is issued for the first time. Renewal date may also be listed if it is necessary to show that conformance is ongoing based on the result of a periodic internal audit.

(Example 7-1) Name : xxxxx
Place : No 1-2-3, xxx, xxxx-Ku, Tokyo, Japan
Date of Issue : xx (day) xx (month) 2013
Date of Renewal: xx (day) xx (month) 2013 (optional)

8. For any enquiry about the declaration of conformance, please contact below

■ Note 8(1) The issuer may list both the representative of the organization and the person in charge of operation (contact person)
The issuer may provide the telephone number or email address

(Example 8-1) Name : xxxx Name : xxxx
Department : Head Office xxxx Division, xxx Promotion Section
Tel No : +81 3-xxxx-xxxx
E-mail : abcde-fghijklm@xyzxyz.co.jp

□ Note 8(2) The organization may prepare an annex to the Self-Declaration of Conformance to provide details of the declaration.
If the organization declares conformance with other requirements in addition to conformance with the Guidelines, the organization shall use an annex for other conformance. However, it is not necessary to disclose the annex together with the Self-Declaration of Conformance.

Revision History	
27 Sept 2005	Guidelines for the Management of Chemical Substances in Product Ver. 1 New publication by JGPSSI
07 Nov 2006	Guidelines for the Management of Chemical Substances in Product Ver. 1.1 Revised by JGPSSI (correction of errors in text and addition of some sectional explanation, etc.)
02 July 2007	Guidelines for the Management of Chemical Substances in Product Ver. 1 Publication by JAMP for members
31 Mar 2008	Guidelines for the Management of Chemical Substances in Product Ver. 2 (Version 2 published by both JGPSSI and JAMP as the outcome of joint efforts)
20 Feb 2013	Guidelines for the Management of Chemical Substances in Products Ver. 3.0 Ver. 3.0 published by JAMP as the joint study of "Collaboration Committee of Guidelines for the Management of Chemical Substances in Products Ver. 3.0"

Members of Collaboration Committee of Guidelines for the Management of Chemical Substances in Products Ver. 3.0

JCIA (Japan Chemical Industry Association) JISF (The Japan Iron and Steel Federation)
KZK (Japan Plating Suppliers Association)
Technical Committee of Chemical Substances in Products by 4 E&E industry organizations
JGPSS (Japan Green Procurement Survey Standardization Initiative)
JAMP (Joint Article Management Promotion-Consortium)

Publication of Guidelines for the Management of Chemical Substances in Products (Ver. 3.0)

Guidelines for the Management of Chemical Substances in Products and the relevant documents can be viewed by public in JAMP website (URL: http://www.jamp-info.com/)

Guidelines for the Management of Chemical Substances in Products (Version 3.0)

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These Guidelines are translated from the original Japanese
In case of any variance between Japanese and English test, the Japanese shall prevail.