

# **Ricoh Group's Guideline For Chemical Substances Management System**

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Ricoh Company., Ltd.  
Ricoh Group

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## **I. Philosophy of Ricoh Group's Chemical Substance Management**

Ricoh Group regards environmental conservation activities as one of the important management responsibility.

The company also promotes green procurement activities aimed at reducing Ricoh's environmental impacts. Recently, attention to environmental issues has been heightened as restrictions become stricter to protect the global environment and safe lives of organisms including humans.

Specifically, heavy metals have become the main target of stricter restrictions as represented in EU's RoHS Directive.

In addition to regulatory compliance, the company promotes activities together with its suppliers to continue providing safe products in the market by the procurement of parts that have minimal environmental impact.

To ensure the safety of our products, the Ricoh Group has established a Chemical Substances Management System (CMS) certification standard. This standard ensures procurement of materials from approved suppliers who have obtained certification from the Ricoh Group's CMS or an equivalent, as in the case of the Environmental Management System.

There are certification systems established by individual companies and organizations. Ricoh Group establishes the Chemical Substance Management System (CMS) as its independent activity.

It aims to establish and comply with chemical substance management system which abolish inclusion and use of banned substances based on the partnership that Ricoh Group has cultivated with its suppliers through Environmental Management System.

Ricoh group will continue to work toward reduction of environmental impact.

## **II. Requirements for suppliers**

Suppliers are requested to establish, and obtain CMS certification in their business establishments and factories that produce raw materials, parts and products for Ricoh Group affiliates. This request applies to business establishments and factories designated by Ricoh Co.

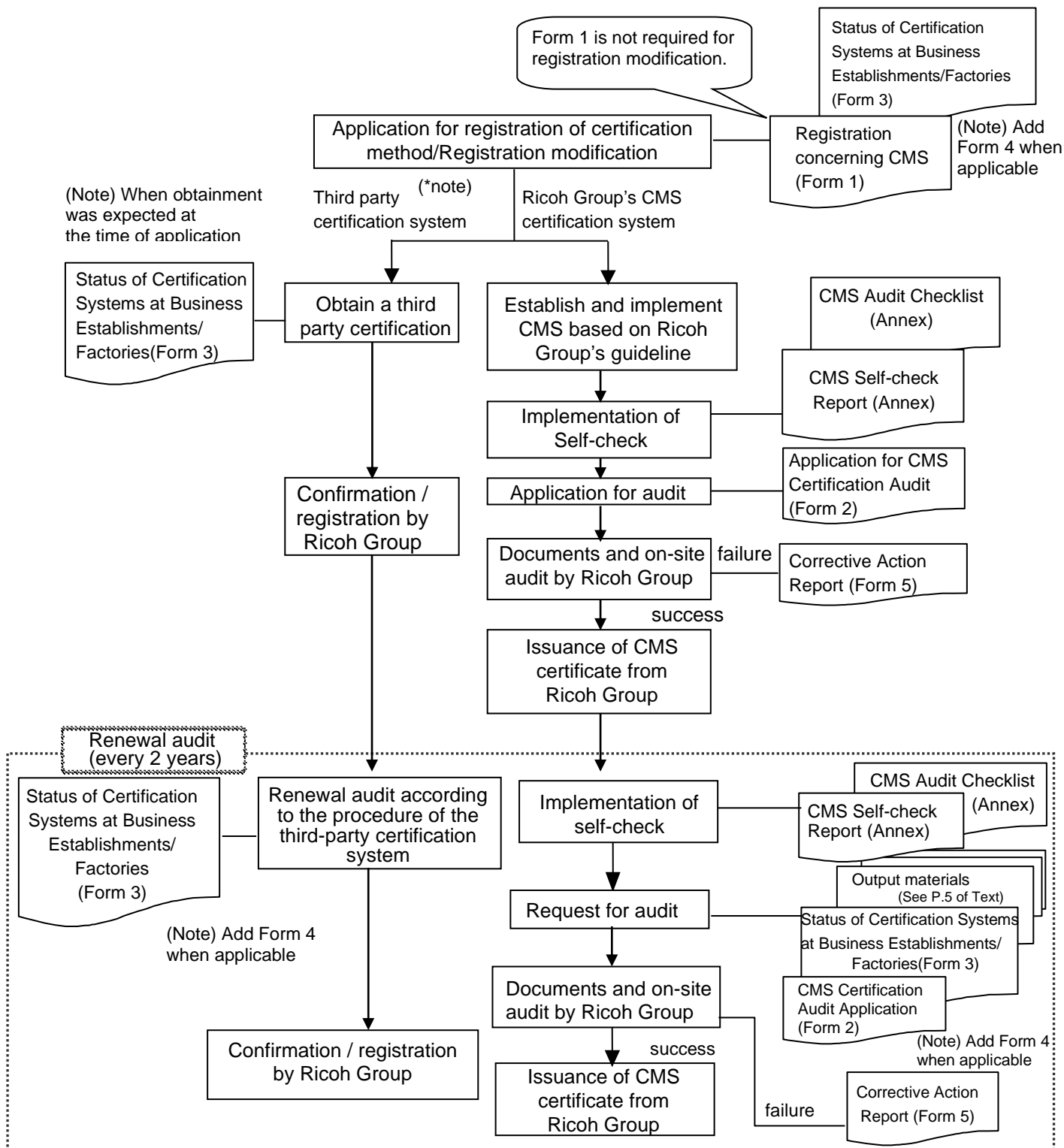
Scope of Suppliers: Facilities that supply raw materials, parts, units, mass-produced products that compose Ricoh Group brand equipment.

Suppliers to whom Ricoh Group places orders of parts, raw materials and units for mass production of Ricoh Group brand products.

As for establishments and factories designated by Ricoh Group, please inquire at the contact of the responsible administration of Ricoh Group.

### III. Flow chart of selection process and procedure to establish CMS

To establish CMS all suppliers are required to follow the procedure shown below.



(\* note) Ricoh's approval is necessary to apply a third-party certification system. Frequency of renewal audit by a third-party certification depends on the operation of the third-party certification system.

※ If a nonconforming product containing Substances of which inclusion is banned is delivered to Ricoh Group after issuance of certification or registration of a third-party certification, the certification and registration will be suspended or revoked. Suppliers are advised to investigate the reason for the occurrence of nonconforming product, improve the CMS system, and receive an audit once again. (See III-3 for details) If there are any registration modifications (ex. Change of certification status or addition of a factory, etc.), please follow the procedures shown in this chart. Ricoh Group's CMS Certificate comes with an annex containing the names of factories, etc.

**III-1. Certification Selection and registration**

Select and register either the certification system that is based on the Ricoh Group Chemical Substance Management System guidelines (hereinafter referred to as CMS guidelines) or a third-party certification system.

**III-2. Renewal audit**

**III-2-1. Ricoh Group’s CMS Biennial Certification Renewal Audit**

In order to maintain CMS continually, it is necessary to receive renewal audit before expiration of effective period of the certification. The renewal audit shall be performed in the same manner as the first audit every two years. Regardless of whether there is any changes from the previous registration, suppliers with “Status of Certification Systems at Business Establishments/Factories (Form 3)” or suppliers with important upstream process must submit “Registration form of upstream suppliers with important process/ that possess banned substances (Form 4)” once again.

**III-2-2. Third-party certification system**

The renewal audits shall be performed according to the rules of the third-party certification body.

**III-2-3. Effective period of a certificate and effective period for a renewal audit**

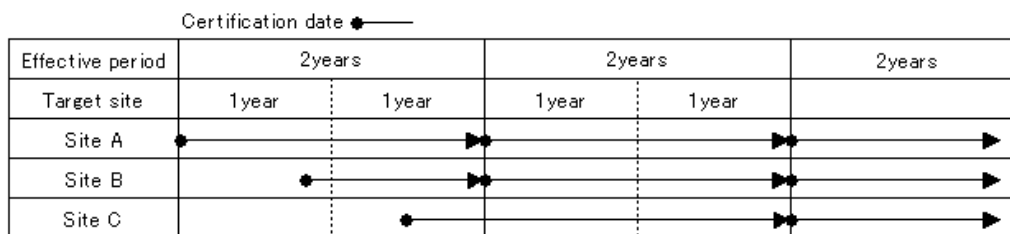
(Ricoh Certification site for suppliers with Ricoh’s Certification / suppliers with complex certification)

Effective period of a certificate and effective period for a renewal audit shall be as follows.

(a) Effective period of a certificate

Effective period of the certificate for each site when there are two or more business establishments/factories (hereinafter referred to as site(s) is shown in the following figure. Effective period may range from the minimum of about 1 year to the maximum of about 3 years, depending on the site.

After the initial construction of the new system, the first effective period is set to be two years, and thereafter, the department in charge can assess the situation and extend the effective period to three years.



(b) Effective period for renewal audit

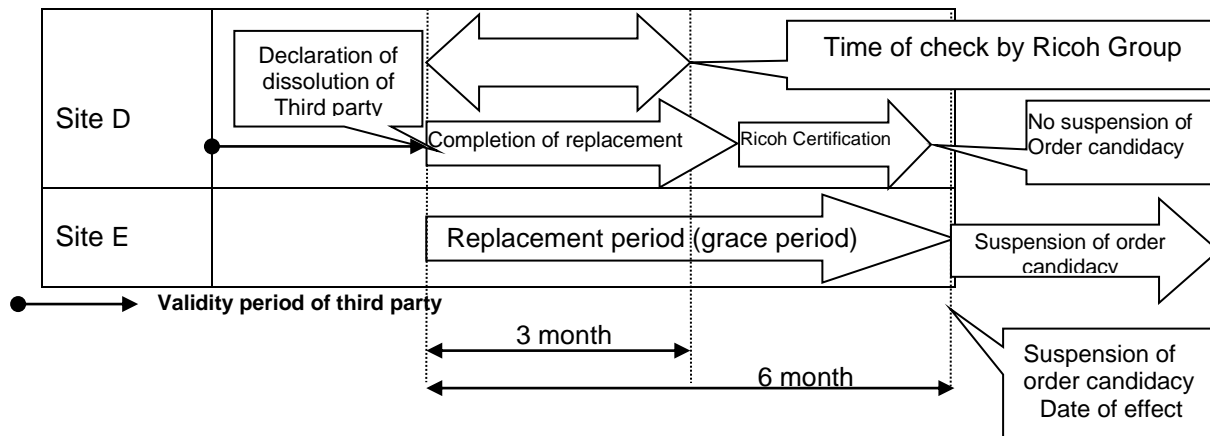
Effective period for renewal audit shall start two months prior to the expiration date of the certificate and will continue until the expiration date of the certificate. After the expiration date, Ricoh can withdraw the certificate.

**III-2-4. Period of validity party certification).** Therefore, please submit documents, Form 1 and Form 3 in this Guideline.

(a) Issuance of registration certificate of third party certification will be abolished. Instead, only the validity of the third party certification will be checked according to its valid period (status of continuity of third party certification). Therefore, please submit Form 3, and if suppliers have Important upper stream process, Form 4 documents as well included in this Guideline.

(b) The check will be conducted within 3 months of the expiration of valid period of a third party certification. The check will be conducted per each site unit in accordance with each of the expiration of valid periods of the third party certification. When passing status of a third party certification has not been finalized yet, provisional renewal will be granted by submittal of a copy of materials used for audit for the third party certification. Re-checking will be conducted after passing status is finalized. Thus, please submit necessary documents mentioned in the above.

(c) When suppliers dissolved continuation of third party certifications, please notify that to us prior to the confirmation by Ricoh of the third party certifications, and complete the switchover procedures from the third party certification to Ricoh certification. The switchover period shall be 6 months. If switchover is not completed within 6 months, the applicable site of your company shall be suspended from the selections of new parts orders by Ricoh until the switchover is completed. If the switchover is completed within the 6 months period, a respite shall be granted with respect to the suspension from order selections. (See the following figure)



### **III-3. Suspension of CMS Certification and Lift of Suspension of Certification, Withdrawal of Certification and Re-authorization of CMS Certification**

If a non conforming product containing banned substances is delivered to the Ricoh Group by a supplier that has a Ricoh Group or third party CMS certification (hereinafter collectively referred to as CMS Certification) Ricoh shall take the following actions:

These actions shall apply to suppliers registered as Third Party certification or cases attributed to unauthorized sites of suppliers with Ricoh's CMS Certification.) Please understand that during the period of suspension or withdrawal of certification, relevant suppliers shall be excluded from the selection of suppliers for outsourcing of parts for new models (excluding existing common parts) by all sites of Ricoh Group.

#### **III-3-1. Suspension of CMS Certification**

- (a) Upon notification of suspension, supplier must immediately submit "Report on Nonconforming Product That Contains Substances of which inclusion is banned (See (Filled-out Sample 7))" to the Procurement Division of the production site of Ricoh Group where said product was delivered.
- (b) As soon as the relevant facts related to the nonconformity are confirmed, the responsible division of Ricoh shall issue "Notice of the Decision of the Suspension of CMS Certification". The relevant supplier must implement corrective measures immediately. Even before the "Notice of the Decision" is issued, the supplier is advised to initiate provisional measures (disposal of nonconforming products) and investigation of the causes.
- (c) The period of suspension of certification shall continue until the responsible division of Ricoh Group determines that the results of the corrective measures are adequate.

#### **III-3-2. Lift of Suspension of CMS Certification**

- (a) When suppliers implemented corrective measures to remove the cause of nonconformity (prevention of repetition / permanent measures), Ricoh Group shall conduct CMS extraordinary audit. Suppliers must submit Corrective Action Report (Form 5) to the responsible division of Ricoh Group (the division that issued notice of suspension of certification in III-3-1.(b)).
- (b) When the responsible division of Ricoh Group has verified and approved the corrective measure, the suspension of the certification shall be lifted with the issuance of "Notice of Decision to Lift Suspension of Certification".  
Suppliers are advised to maintain and manage CMS.

#### **III-3-3. Withdrawal of CMS Certification**

- (a) When suspension of certification occurred three times or more during the effective period of certification, the certifications shall be withdrawn. The responsible division of Ricoh Group shall issue "Notice of Decision to Withdraw CMS Certification".
- (b) Suppliers are advised to return the certificate and implement a review and re-establishment of CMS as a whole.

##### **\* Definition of the number of suspensions of a certification**

The period from the day the certification was suspended due to nonconformity to the day the suspension was lifted is counted as a single occurrence, if the nonconformity was caused by the same reason and in the same site. The cumulative count of the number of suspension of certification is effective until the expiration date. When the renewal audit is approved, the count will restart with zero.

#### **III-3-4. CMS Re-authorization**

- (a) The relevant supplier must follow the same procedures and guidelines outlined in "III. Flow Chart of Selection Process and Procedure to Establish CMS" (See Page 2)
- (b) When the audit is successful, re-authorization shall be granted.

\* With respect to suppliers with a third party certification, in the case where suspension of certification by the third party certification is released, Ricoh Group shall conduct verification of results of corrective actions based on the requirements of CMS

#### **IV. Requirements for suppliers who selected Ricoh Group's CMS certification system**

An overview of requirements for suppliers by Ricoh Group is as follows: See "Procedure to establish CMS (V-2)" for details.

**1. Fully understand the information of the Substances of which inclusion is banned by Ricoh Group (hereinafter called "Substances of which inclusion is banned")**

Because Ricoh Group's may change its Substances of which inclusion is banned, please prepare a list of Substances of which inclusion is banned and keep the list current.

**2. Examine the procurement route of materials used for Ricoh Group's products.**

Examine the procurement route of materials and narrow down the lines that may be using or contaminated with Substances of which inclusion is banned.

If there is a change in procurement routes, examine the new process.

**3. Examine whether purchased goods and outsourced goods used for Ricoh Group's products contain Substances of which inclusion is banned.**

Use composition and measurement data and analysis to determine whether or not purchased and outsourced goods contain Substances of which inclusion is banned.

**4. Make sure to implement measures to prevent mixing of substances in warehouses, or implement segregation management, when there is possession of banned substances for parts, etc. for other customers.**

Put in place a segregation management system when banned substances are possessed, by controlling types, methods of use, locations and so on of those chemical substances to prevent mixing in.

**5. Secure the management to prevent mixing or contamination of Substances of which inclusion is banned in the manufacturing processes.**

Check out the possibility of mixing, contamination or adhesion of Substances of which inclusion is banned in manufacturing process of its own or of its subcontracted suppliers (the material manufacturing process and the surface treatment process of suppliers that have the possibility of inclusion or mixing of Substances of which inclusion is banned as examined in the procurement route). If contamination is suspected, establish a management system to prevent such contamination.

In addition, instruct your upstream suppliers to implement management equivalent of that of your company.

**6. Ensure that Substances of which inclusion is banned are not contained in parts used for Ricoh Group's products.**

**7. Notify the procurement dept. of Ricoh Group in advance of any change in materials or factory locations of parts suspected Substances of which inclusion is banned contamination (to other factory of the supplier, subcontracted suppliers, etc.)**

**Also, report immediately when abnormal treatment took place.**

**8. If nonconforming products that contain Substances of which inclusion is banned are detected inside or outside of the facilities, clearly identify the affected lots and take measures to prevent shipment of such lots and the recurrence of nonconformity.**

If factual or suspected nonconforming products are delivered to Ricoh Group, immediately report the situation to the related inspection department.

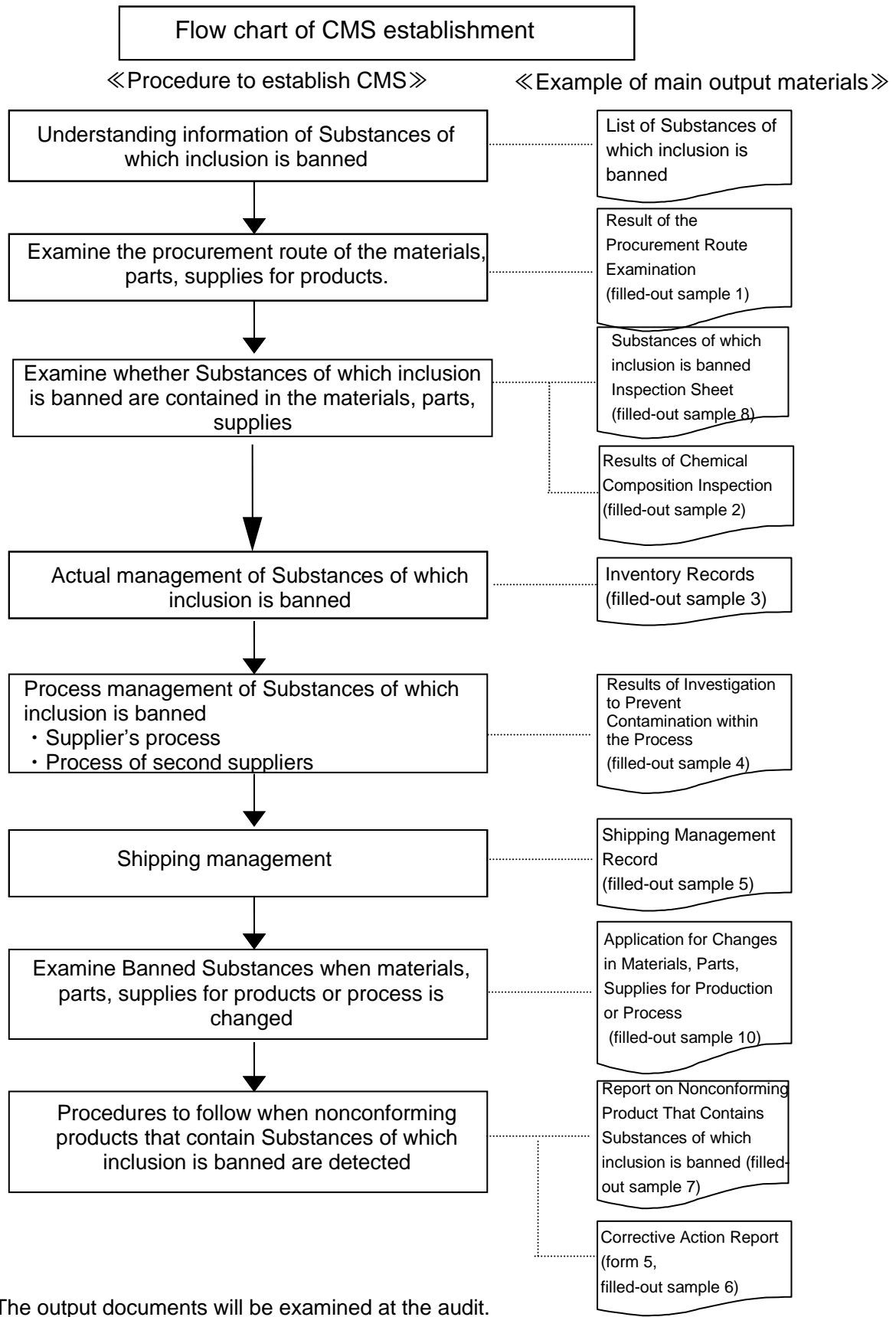
Those are the fundamental requirements for suppliers. Even more rigorous control must be implemented depending on parts to be manufactured In the case of suppliers that possess banned substances.

Since Ricoh Group's CMS certification is the minimum requirements for chemical substance management system, suppliers may need to establish their own CMS according to the characteristics of products they handle.



## V. Procedure to establish Ricoh Group's CMS and target of audit

### V-1. Overview of CMS establishment



## V-2. Procedure to establish CMS

### 1. Understanding Information of Substances of which inclusion is banned

#### 1-1 Purposes

Collect information on what kind of substances are banned from inclusion and communicate that information to every employee.

#### 1-2 Requirements

- a. The procedures for clarifying source of information on Substances of which inclusion is banned shall be documented.
- b. Prepare a list of Substances of which inclusion is banned and keep it current.
- c. The information on Substances of which inclusion is banned shall be communicated to the employees.

### 2. Examination of the procurement route of materials, parts, supplies for production

#### 2-1 Purposes

Examine the procurement route of materials, parts, supplies for production to find out the suppliers (processes) that have the possibility of contamination with Substances of which inclusion is banned.

#### 2-2 Requirements

- a. The procedures for investigating the procurement route (subcontracted suppliers, process) shall be documented, and, investigation shall be conducted to identify if Substances of which inclusion is banned are contained or not.
- b. Each process that has the possibility of contamination during the procurement process shall be identified.

### 3. Examination of whether Substances of which inclusion is banned are contained in materials, parts, supplies for production

#### 3-1 Purposes

Check whether or not materials, parts, supplies for production contain Substances of which inclusion is banned.

#### 3-2 Requirements

- a. Prepare documented manual to examine whether or not Substances of which inclusion is banned are contained in materials, parts, supplies for production.
- b. Check whether or not materials, parts, supplies for production contain Substances of which inclusion is banned with appropriate document, etc. However, a part of products subject to management by Ricoh is excluded. (See VII)

\* As for referred products (See VII. Definition of Terms), please confirm the results of investigation conducted by the companies referred by Ricoh.

### 4. Actual management of Substances of which inclusion is banned

#### 4-1 Purposes

Clarify the inventory management of materials, parts, supplies for production that contain Substances of which inclusion is banned.

#### 4-2 Requirements

- a. Create documentation of procedures to store materials, parts, supplies for Production that contain Substances of which inclusion is banned.
- b. Keep record of incoming inspection and inventory record showing the receipt and shipment of materials, parts, supplies for production that contain Substances of which inclusion is banned.
- c. Segregate materials, parts, supplies for production that contain Substances of which inclusion is banned.

5. Process management of Substances of which inclusion is banned

5-1 Supplier's manufacturing process

5-1-1 Purposes

Create a device to prevent contamination with Substances of which inclusion is banned by own company

5-1-2 Requirements

- a. Work process must be documented so that the work flow can be understood.
- b. The procedure to prevent contamination with Substances of which inclusion is banned is documented, and make sure the work is performed in conformity to the procedure.

5-2 Subcontracted suppliers' process (\*3)

5-2-1 Purposes

Suppliers create a device to prevent contamination with Substances of which inclusion is banned.

5-2-2 Requirements

- a. Work process must be documented so that the work flow can be understood..
- b. The procedure to prevent contamination with Substances of which inclusion is banned is documented, and make sure the work is performed in conformity to the procedure.

\*1 As for requirement No. 4 to 5, when it is certain that no Substances of which inclusion is banned is handled in own company and the whole of procurement routes including products for other companies in No. 1 to 3, audit may be omitted.

However, if there is any unchecked item, including products for other companies of which information concerning the inclusion of banned substances is not disclosed to Ricoh Group, the system must be established which is equivalent to the case when "there is a handling of banned substance".

\*2 Documentation of work process for products delivered to Ricoh is mandatory when the supplier is handling Substances of which inclusion is banned. Thus, it is recommended that suppliers which do not handle any Substances of which inclusion is banned at present also document their work processes now, assuming the list of Substances of which inclusion is banned changes in the future and they may be handling one of them.

\*3 The scope of suppliers for this audit is those suppliers that are aware of existence of important processes (plating and soldering) or possession of banned substances in the premise of their own primary suppliers, suppliers of outsourced processes, and in the upstream processes.

6. Shipping management

6-1 Purposes

Ensure no Substance of which inclusion is banned is contained in shipped parts, etc

6-2 Requirements

- a. Document the procedure of shipping management.
- b. The documented procedures are performed as instructed, and records such as inspection of shipment lots are kept.

## 7. Changes in materials, parts, supplies for production or process

### 7-1 Purpose

Clarify the measures taken when changing the materials, parts, supplies for production or process.

### 7-2 Requirements

- a. Document operating procedures when changing the materials, parts, supplies for production or process, and make sure to submit a report before the change.
- b. When abnormal treatment work took place with respect to banned substances, apart from normal operation, record the incident and report it immediately to Ricoh to ensure appropriateness of the treatment.

\* Changes in supplies for production or process refer to the changes related to Substances of which inclusion is banned.

If there are other rules concerning changing the materials, parts and factories, please submit a report based on those rules.

<Examples of rules>

On changing the materials and parts: Note of request for examination of parts/ Report on revision or termination of electric parts

On changing factories: Report on changing factories

Change 4M: Notification of change of 4M

## 8. Measures to be taken when nonconforming products that contain Substances of which inclusion is banned occur

### 8-1 Purposes

Clarify the measures to be taken when nonconforming products containing Substances of which inclusion is banned are detected, and establish procedures to prevent such products leaving the factory and a recurrence of the incident.

### 8-2 Requirements

- a. A document shall be prepared on procedures for actions to be taken when an incident of incompliance with respect to banned substances occurred internally or externally, and when it is believed or suspected that products containing banned substances have been shipped.
- b. If nonconforming products that contain Substances of which inclusion is banned are being shipped, investigate the origin and take measures to ensure prevention of repetition.

## **V-3. Business establishments and factories that are the target of Chemical Substances Management System (CMS) audit**

Although it is the suppliers who promote establishment of CMS, the business establishments and factories that handle or manufacture parts or materials for delivery to Ricoh Group are the target of the Ricoh Groups' CMS audits.

## **VI. Documents required for new registration, renewal and registration modification**

The following tables indicate necessary documents to be submitted by suppliers for registration, renewal and registration modification. Suppliers that have acquired both Ricoh certification and third party certification for their sites must assemble required documents for each site depending on the status of certification system at each site for submittal.

### VI-1. The first time audit for the new registration of Ricoh CMS certification

No.	Title of document	Form no.	Open information	Remark
1	Registration form of the establishment of CMS	Form 1	P.16 of this volume	
2	Status of Certification Systems at Business Establishments/Factories	Form 3	P.18 of this volume	
3	Registration form of upstream suppliers with important process/ that possess banned substances	Form 4	P.20 of this volume	When applicable
4	Plan for new establishment of CMS	Optional	-	
5	Application For CMS Certification Audit	Form 2	P.17 of this volume	
6	CMS Self-check Report	Separate volume	Same as on the left	Only for designated site
7	CMS Audit Checklist	Form no.	Same as on the left	do.
8	Main Output Materials in Section V.	—	Reference materials of this volume	do. (See Section V)
9	CMS Audit Report (for important process site)	—	RaVender NET	When applicable
10	CMS Audit Checklist (for important process site)	—	do.	do.
11	Soldering and Plating Process Management Check Sheet	—	do.	do.

### VI -2. Ricoh certification renewal audit/ switchover from third party certification to Ricoh certification

No.	Title of document	Form no.	Open information	Remark
1	Application For CMS Certification Audit	Form 2	P.17 of this volume	
2	Status of Certification Systems at Business Establishments/Factories	Form 3	P.18 of this volume	
3	Registration form of upstream suppliers with important process / that possess banned substances	Form 4	P.20 of this volume	When applicable
4	CMS Self-check Report	Separate volume	Same as on the left	Only for designated site
5	CMS Audit Checklist	Separate volume	Same as on the left	do.
6	Main Output Materials in Section V.	-	Reference materials of this volume	do. (See Section V)
7	CMS Audit Report (for important process site)	-	RaVender NET	When applicable
8	CMS Audit Checklist (for important process site)	-	do.	do.
9	Soldering and Plating Process Management Check Sheet	-	do.	do.

\* As regards the document No.6 for switchover of certifications (termination of third party certification), applicable suppliers must first submit the procurement channel survey result record and the banned substance inclusion survey record (sampling of raw materials, parts and consumable goods used for manufacturing). Then, we will determine if the supplier needs to acquire Ricoh CMS certification.

VI -3. The first time confirmation of new registration of third party certification

No.	Title of document	Form no.	Open information	Remark
1	Registration form of upstream suppliers with important process/ that possess banned substances	Form 1	P.16 of this volume	
2	Status of Certification Systems at Business Establishments/Factories	Form 3	P.18 of this volume	
3	Registration form of upstream suppliers with important process/ that possess banned substances	Form 4	P.20 of this volume	When applicable
4	Soldering and Plating Process Management Check Sheet	-	RaVender NET	do.

VI -4. Confirmation of renewal of the third party certification / switchover from certification of Ricoh to certification of a third party

No.	Title of document	Form no.	Open information	Remark
1	Status of Certification Systems at Business Establishments/Factories	Form 3	P.18 of this volume	
2	Registration form of upstream suppliers with important process/ that possess banned substances	Form 4	P.20 of this volume	When applicable
3	Soldering and Plating Process Management Check Sheet	-	RaVender NET	do.

VI-5. Other modification in the registration

No.	Title of document	Form no.	Open information	Remark
1	Status of Certification Systems at Business Establishments/Factories	Form 3	P.18 of this volume	When sites are added or reduced
2	Registration form of upstream suppliers with important process/ that possess banned substances	Form 4	P.20 of this volume	do.
3	Main Output Materials in Section V. (For modified items only)	-	Reference materials of this volume	When banned substances are handled
4	Soldering and Plating Process Management Check Sheet	—	RaVender NET	do.

\* Document No.3 applies to RG certified sites. It is not necessary to be submitted when your company has no handling of banned substances, or upstream important process or suppliers possessing banned substances.

\* In the column of Open information, "this volume" refers to this volume of CMS Guideline. Suppliers that have not signed up for RaVender NET yet must seek consultation at the contact of responsible administration of Ricoh Group.

## **VII. Definition of terms**

VII-1. Substances of which inclusion is banned, and substances of which use in manufacturing process is banned

The criteria listed below defines the substances prohibited from inclusion in raw materials, parts, units, etc. that compose Ricoh Group brand equipment and whose use is banned in the manufacturing process, designated by Ricoh Group.

- a. Substances whose inclusion in products is or is expected to be restricted under laws at home and abroad.
- b. Substances whose inclusion in product is or is expected to be restricted under voluntary restraint arrangements such as environment labeling at home and abroad.
- c. Substances of which inclusion is independently prohibited by Ricoh Group prior to worldwide established restrictions because of their associated environmental impacts and substitute product is available
- d. Substances whose use in the manufacturing process is or is expected to be restricted under laws or voluntary restraint arrangements at home and abroad.

Specifically, see the latest version of "Ricoch Group Green Procurement Standards" and "Green Procurement Standards (Annex) Ricoh Criteria for Environmentally Sensitive Chemical Substances ".

VII-2. Inclusion

Addition or adhesion of Banned Substances to parts or units composing products or raw materials used for those, or contamination of such parts, units or materials by Banned substances, whether intentionally or not. Unintentional contamination of or adhesion to products in the manufacturing process is included. In other words, "inclusion" means the presence of residue of Banned Substance in the final products

VII-3. Process that has the possibility of contamination with Substances of which inclusion is banned  
Process that has the possibility of contamination by Substances of which inclusion is banned such as surface treatment, kneading of rubber, compound, change of color or reuse of runners of injection molding etc.

VII-4. Products subject to Ricoh's management and referred products

(1) Products subject to Ricoh's management (imaging equipments) (\*1)

It refers to the articles mentioned in the below.

\*1. Specified Materials: (\*2)

Defined as the materials which are proven not to contain Substances of which inclusion is banned inside of them, after the completion of chemicals content audit either executed at the material manufacturers or followed by the standard (grade, type) registered with Ricoh.

\*2. Machinery Standard Part(s):

The high versatility parts that are listed as machinery parts used for products/merchandises made by the Ricoh Group companies. These parts have 0 or 2 for the first digit of part number determined by the general standard of the part number structure.

\*3. Electric Standard Part(s):

The high versatility parts that are listed as electric parts used for products/merchandises manufactured by the Ricoh Group companies. These parts have 1 for the first digit of part number determined by the general standard of part number structure.

\*4. Supplies:

Part(s) that are provided by Ricoh Group with or without charge.

(2) Referred products:

Part(s) of whose suppliers are designated by Ricoh.

VII-5. Site

When the primary supplier of Ricoh Group is a trading company, a site refers to both a business establishment (office) of the trading company and a production unit or factory of a manufacturer (secondary supplier) which supplies products to the trading company. When the primary supplier of Ricoh G. is a manufacturer, a site refers to a production unit or factory of the primary supplier.

VII-6. Important process

Important process refers to a site which includes soldering or plating process. When such a process exists in an upper stream supplier, such a supplier is referred to as important upper stream process supplier.

VII-7. Definition of possession of banned substances

The following states from (1) to (4) are defined as “**possession of banned substances**”.

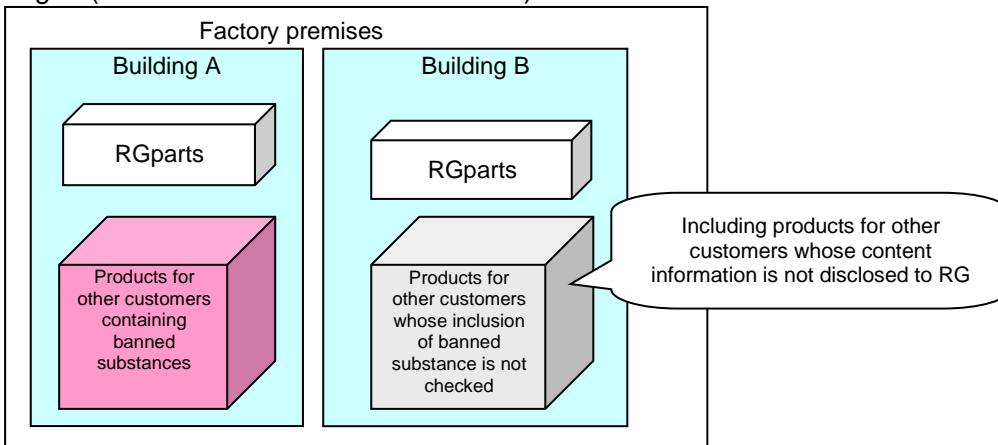
Conditions other than these are regarded as “non-possession of banned substances”.

Substances banned from use in manufacturing process are excluded. Possession of those substances used in manufacturing are not regarded as possession of banned substances.

**(1) Mixed state of banned substances**

- a. When products containing banned substances are delivered directly to Ricoh Group.
- b. State in which products containing banned substances including those for other customers are stored or handled within the same building.
- c. When there are occasions where products containing banned substances/ unchecked products (including products whose content information is not disclosed to Ricoh Group) that are store in different building may be brought into the building where parts for Ricoh Group are handled.

Fig. 1 (Mixed state of banned substances)

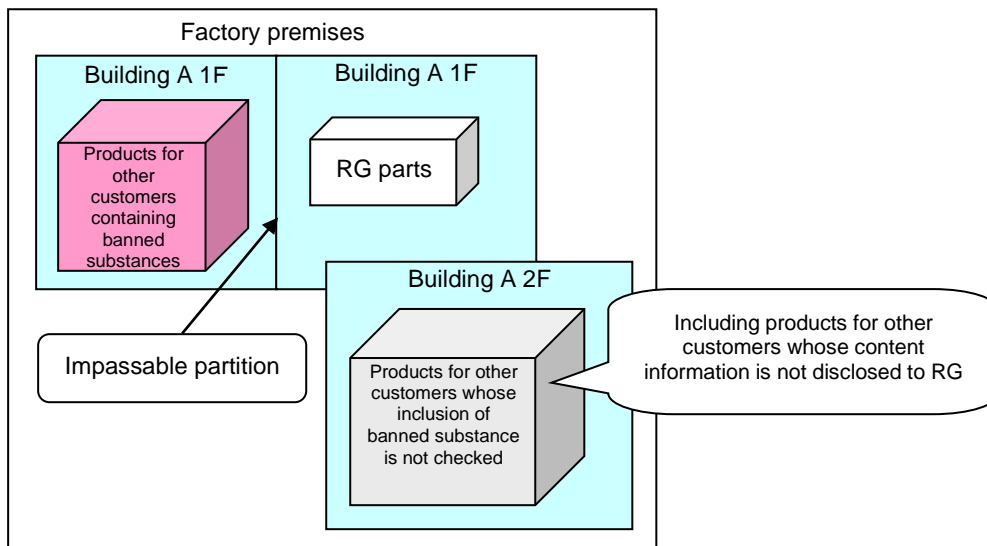


RG: Ricoh Group

**(2) Isolated state of banned substances**

- a. Even when an impassable partition is installed within the same floor, or when goods are stored in different floors of the same building, products containing banned substances/ unchecked products may be stored, handled or put in the same building occasionally.

Fig. 2 (Isolated state of banned substances)

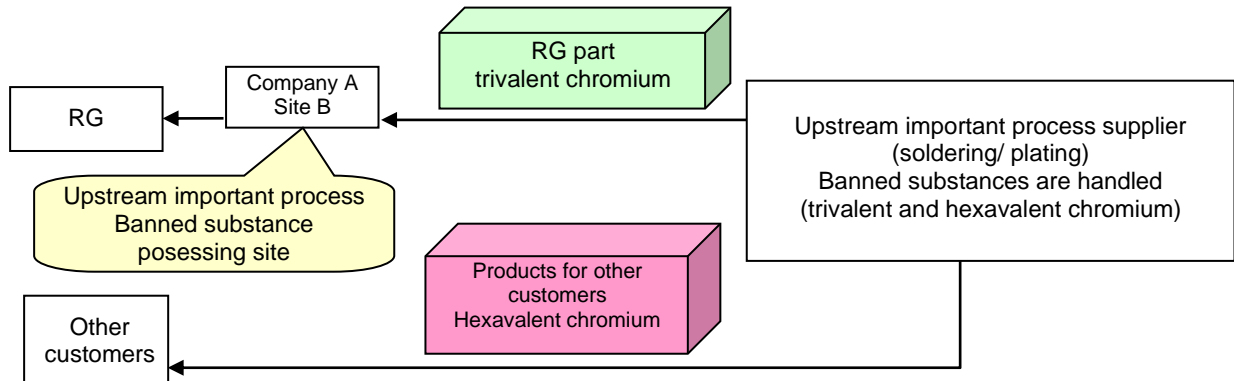




**(3) State where there is possession of banned substance in upstream important process (solder/plate)**

- a. When there is a supplier of important process that possesses banned substances in the upstream of your company's procurement route, even if it does not deliver any products containing banned substances to your company's site.

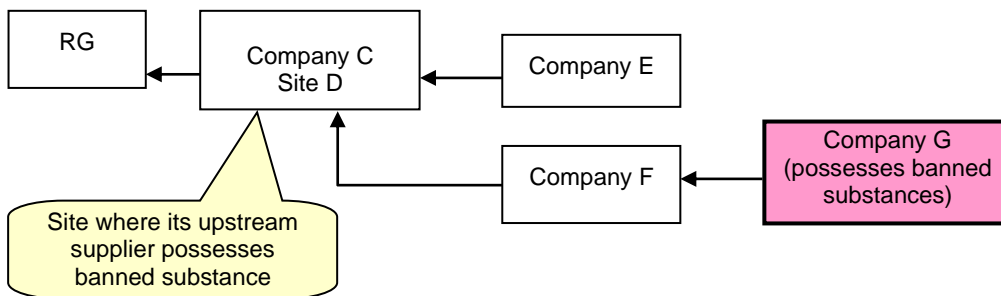
Fig. 3 (State where there is possession of banned substances by upstream important process)



**(4) State where an upstream supplier possesses banned substances**

- a. Apart from soldering/ plating process, your company is aware of an upstream company in your procurement route that possesses banned substances.

Fig. 4 (State where an upstream supplier possesses banned substances)



**VIII. Products subject to investigation of content of Substances of which inclusion is banned**

VIII-1. Products subject to investigation

Products other than those not subject to investigation in the below and parts starting with 08 indicating machinery standard parts

VIII-2. Products not subject to investigation

Products subject to Ricoh's management (specified materials, some part of machine standard parts, electric standard parts, supplied products)

- \*1. As for specific products subject to Ricoh's management, please inquire at the contact of relevant purchasing department.
- \*2. Since not all materials falls under the category of specified materials, please inquire the details of products subject to investigation at the contact of each purchasing department.

**Registration concerning CMS**

Date:      year      month      day

Name of Company: \_\_\_\_\_

Person in charge of the  
environmental management: \_\_\_\_\_

signature

Postcode :

Address: \_\_\_\_\_

TEL : \_\_\_\_\_

From which certification body are you going to obtain CMS certificates?  
(Please check appropriate boxes. When either/both Ricoh's CMS certification and a third party-certification applies depending on individual site (factory), check both boxes, and enter the details in "Status of Certification Systems at Business Establishments/Factories (Form3)".

Ricoh Group's CMS certification system

a third-party certification system

Certificate has already been issued.

Certifying company \_\_\_\_\_.

\* Please submit Form 3.

Certificate is scheduled to be issued.

Certifying company \_\_\_\_\_.

To be issued on/around \_\_\_\_\_.

\* Please submit Form 3 after obtaining the certification

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

## Application For CMS Certification Audit

To: Manager  
 Procurement Dept.  
 Ricoh Group

We would like to apply for the CMS certification audit,  
 the details of which is as follows:

Date:      year      month      day

Division of audit period: First time / Renewal (Please circle either one)

Name of Company:	signature
Address: postcode	
Person in charge of environmental management:	signature
Name of CMS auditor of the supplier:	
<small>Enter the name of representative person when there are more than one auditors. If there is no auditor, enter "absence".</small>	
TEL:	
FAX:	
Expected date of documentary examination	

**Circle one answer if your company is subject to a renewal audit at this time (Entry of answer is not required in the case of first time audit)**

1. Has there been any change in the handling of Substances of which inclusion is banned by Ricoh Group since the last audit?  
 Yes / No

2. Has there been any change in manufacturing conditions other than the handling of Substances of which inclusion is banned by Ricoh Group since the last audit?    Yes / No

\* In the case where there has been any increase or decrease, or change involving Substances of which inclusion is banned, or any change in other production conditions other than banned substances, such as changes in parts that are produced, process, or suppliers since the last audit, please submit this document with attachment of applicable audit materials associated with changed items of each site. Among sites where the submittal of audit materials of changed items is required, the submittal of audit materials is exempt as a rule, if there is no handling of banned substance either at the last audit or at this audit. But, please inquire in advance at the contact of responsible administration of Ricoh Group for the details.

1.Yes	
2.yes	

\*The "personal information" you provided in this document will be used solely for the purpose of Green Procurement. Information will not be available without prior permission .

## Status of Certification Systems at Business Establishments/Factories

(Submit this form for new registration, registration modification, renewal audit/ third party certification renewal confirmation)

This form is prepared for us to understand the scope of application for CMS Certification Systems. We request you to answer the questions as accurately as possible.

◇[Instructions] : Enter your answer to the following questions a . to g . in respective columns in [Site registration table] in the below.

- a. Select the registration pattern from Table 1, and enter the registration pattern code. Please enter "I" if your company is a new supplier to Ricoh Group.
- b. List all the business establishments/ factories/ manufacturing subsidiaries (for a trading company, business establishment (office) with headquarters function, the manufacturers that you represent and their factory units: hereinafter referred to as sites) which have business with the Ricoh Group.
- c. List major products and items handled at the relevant site.
- d. Answer if any Ricoh Group's banned substance is kept in applicable site by circling the appropriate answer (See VII -7.). Circle "Unchecked" when there are unchecked products that are shipped to other customers, or when your company is a new supplier and has not yet completed investigation as to if banned substances are handled. Circle "Unchecked". Circle "Undisclosed" when there are products for other customers whose content information is undisclosed.
- e. Choose the authorizer of certification (R=Ricoh, SN=Sony, SD=Sindoh Co., Ltd.), and circle the applicable abbreviation.
- f. Indicate the status of certificates already obtained or scheduled to be obtained.  
If Ricoh certificate has been obtained already, enter the certificate number, name of applicable site, and expiration date by referring to the certificate issued by Ricoh Group, which contains such information.
- g. Answer if there is an upstream important process that possesses solder/ plating, or an upstream supplier that possesses banned substances in the procurement of parts for Ricoh Group by circling appropriate answer. If you select "Yes", please submit Form 4 as well.

Date:      year      month      day

Name of Company		Type of Company: Manufacturer or Trading Company
Name of person responsible for environmental management	 signature	
Name of CMS auditor of the supplier	When more than one auditor is on the register, please enter the name of one representative. Suppliers which do not have an auditor on the register must enter "absent".	

Table 1 (Registration pattern): Choose the registration pattern code, and enter it in the column ① in the table below.

Registration pattern code	Current status of production/ handling of parts for Ricoh Group, and declaration procedures	
<b>I</b>	New production/ newly started handling	File declaration by using this code if your company is a new supplier to Ricoh or increased sites
<b>II</b>	Ongoing production/ handling	Please file declaration once again using this code for renewal audit or registration modification
<b>III</b>	Terminated production/ handling	Please file declaration with this code and name of site only if the site was registered previously.

[Site registration table]

Status identification by N/P/O: N=Not obtained, P=Planned to obtain, O=Obtainment is completed. Please circle the applicable status.

a. Registration pattern code	b. Name of site	c. Major products/ items handled	d. Handling of substance of which inclusion is banned by Ricoh Group	e. Authorizer of certification system	f. State of certification system		
					Status	Planned obtainment date, or authorization No. when obtainment is complete	Expiration date of acquired certification
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
			Yes/ No/ Unchecked/ Undisclosed	R / SN/ SD	N / P/ O		
g. Existence of an upstream supplier with important process (soldering/ plating), or possessing banned products. Yes/ No (Please submit Form 4 at the same time, if you chose "Yes").							

\* If a new site is added or if there is any change in sites or dissolution of third party certification, please submit the procurement channel survey result record and the banned substance inclusion survey record (raw material, parts, consumables for manufacturing) as well.

\* Your private information entered in this document shall not be used  
Please fill in the form if you consent.

**Registration form of upstream suppliers with important process/ that possess banned substances**

(Suppliers that have the grasp of possessing soldering / plating process and other banned substances)

Make sure to enter correctly because this registration is used to grasp upstream important process and upstream suppliers possessing banned substances in the procurement channel of your company for RG parts. Please register sites under direct control of your company also (business sites, etc.) if applicable.

- ◆ This registration is applicable to your company's sites subject to both third part certification and RG certification. Suppliers that have upstream important process that handle banned substances, which is linked to RG certified sites, are required to implement CMS audit on the applicable process (soldering /plating only) in advance, and submit necessary additional documents.
- ◇ [Instructions] Enter your answer in each column in the [Registration Table] below regarding a . to e .
  - a. Choose the registration pattern from Table 1, and enter the registration pattern code.
  - b. Choose the process categories from Table 2, and enter all applicable codes.
  - c. Enter the name of the site of your company associated with the important upper stream process suppliers, which you have entered in Form 3.
  - d. Enter the company name, and the name and address of the factory of the important upper stream process supplier. Enter "same as on the left" if it is under direct control of the site of your company.
  - e. Choose if the said upper stream process supplier has acquired a third party certification (Sony, Sindoh Co., Ltd.), and circle the answer.

Date:    year    month    day :

Name of Company	
Name of person responsible for environmental management	<div style="border: 1px dashed black; border-radius: 50%; width: 100px; height: 40px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">signature</div>
Name of CMS auditor of the supplier	When more than one auditor is on the register, please enter the name of one representative. Suppliers which do not have any auditor on the register must enter "absent".

Table 1 (Registration pattern): Choose the registration pattern code, and enter it in the column ① in the table below.

Registration pattern code	Last registration	This registration
<b>I</b>	No business transaction (No registration)	New business transaction. Handling of banned substance exists.
<b>II</b>	No handling of banned substance (including no business transaction)	No handling of banned substance
<b>III</b>	No handling of banned substance	Handling of banned substance exists.
<b>IV</b>	Handling of banned substance exists.	Handling of banned substance exists.
<b>V</b>	Handling of banned substance exists.	No handling of banned substance
<b>VI</b>	Handling of banned substance exists, or does not exist	Business transaction has been terminated.

Table 2 (process category): Choose the process category codes, and enter all of the applicable codes in the column b. It is not necessary to enter any code if business transaction has been finished.

Process category Process category	Handling of banned substances exists.			No handling of banned substance	
	Soldering	Plating	Other	Soldering	Plating
	Handling of leaded materials exist	Handling of plate containing banned substances and RoHS Directive-noncompliant solution	Handling of banned substances other than solder/plate	Handling exists for unleaded materials only	Handling only of plate without inclusion of banned substance and RoHS Directive compliant solution
Code	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>
Other (C) prohibited substance content name					

[Registration table]

a. Registration pattern code	b. Process category code	c. Site name (Site name in Form 3)	d. The company name, and the name and address of the factory of the important upper stream process supplier. Example 1: XX Plant (You may also enter, "same as on the left, if the plant is under direct control of your company) Example 2: YY Co., Ltd., ZZ Plant (when it is an upper stream supplier than the primary supplier of Ricoh G.) Address: XX city, ZZ prefecture, Japan/ XX city, ZZ province, China	e. Third party certification "Choose Yes or No"
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y
			Address:	N / Y

\* Your private information entered in this document shall not be used for operation associated with Green Procurement of Ricoh Group.  
Please fill in the form with your consent.

**Corrective Action Report (sample)**

Approved	Prepared
Date:	Date:

Nonconforming matters:

Investigation of the nonconforming matters / causes:

Corrective Action:

Confirmation of Corrective Action	Approved
	Date:



**Materials**

Filled-out sample forms for your reference

Filled-out Sample 1 Results of the Procurement Route Examination .....24

Filled-out Sample 2 Results of Chemical Substances Inspection .....25

Filled-out Sample 3 Inventory Records.....26

Filled-out Sample 4 Results of Investigation To Prevent Contamination  
Within the Processes.....27

Filled-out Sample 5 Shipping Management Record.....28

Filled-out Sample 6 Corrective Action Report..... 29

Filled-out Sample 7 Report on Nonconforming Product That Contains Substances of which  
inclusion is banned.....30

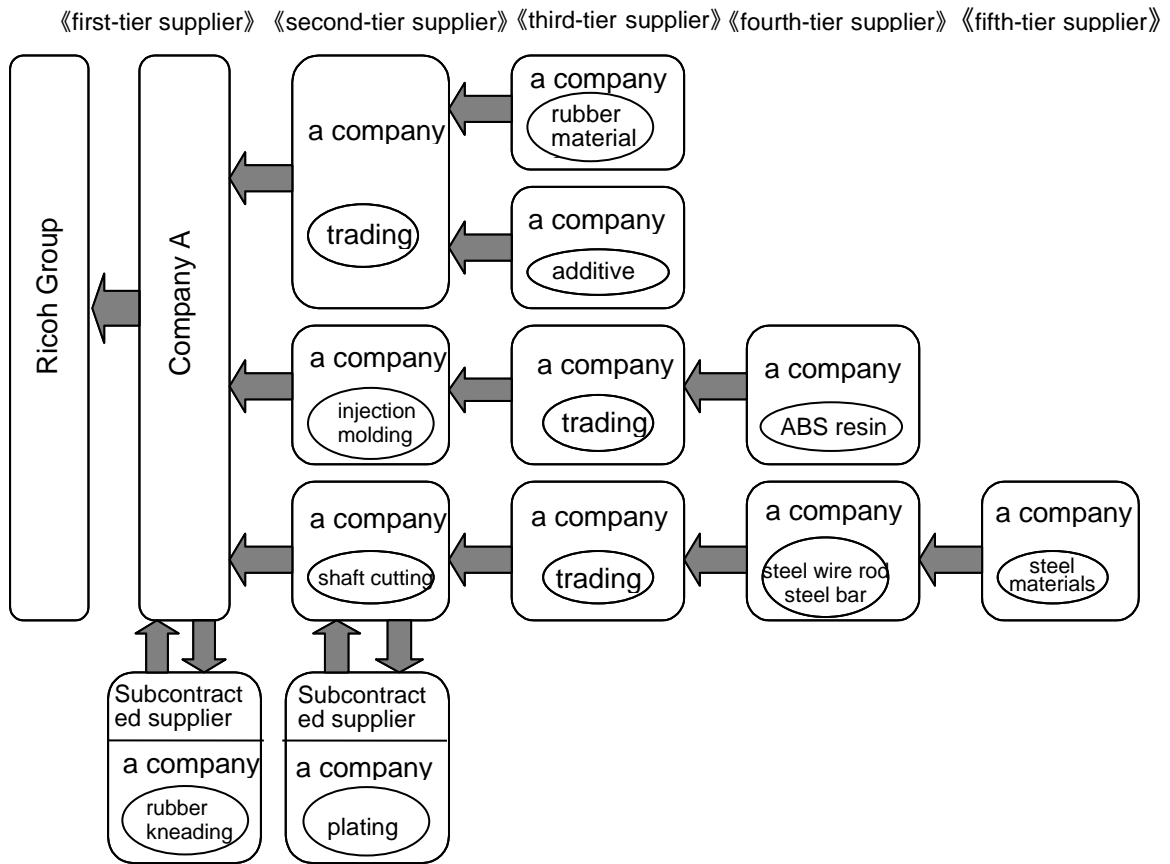
Filled-out Sample 8 Substances of which inclusion is banned Inspection Sheet.....31

Filled-out Sample 9 Notification of Changes in Materials, Parts,  
Supplies for Production or Processes..... 32

Filled-out Sample 10 Report on the inclusion of chemical substances in raw materials/ parts/  
consumables for manufacturing (Example).....33

Filled-out Sample 11 Nonconformance Report (Example).....34

## Results of the Procurement Route Examination (sample)



Note: Encircled words indicate the name of the process or purchased goods

## Results of Chemical Substances Inspection (sample)

Date:  
 (the name of the company)  
 (the name of the factory)  
 Quality Assurance Dept.

### Inspection Certificate

Commodity Name: × × × × × ×

Lot No.: C12345

Chemical elements						
Elements	C	Si	Mn	P	S	Cu
Spec.	less than 0.15%	less than 0.10%	0.85~1.15%	0.40~0.90%	2.60~3.50%	0.10~0.30%
Results	0.07%	0.01%	1.07%	0.54%	3.19%	0.17%

Judgment	Accepted / Rejected
----------	---------------------

## Inventory Records (sample)

Name of material (part): spring Part No. Bxxxx-

Received			Shipped		Inventory	Remark
Date	Lot No.	Quantity	Date	Quantity		
2003/5/7	3A0402	10,000	2003/5/12	3,000	7,000	
			2003/5/15	2,500	4,500	
			2003/5/19	1,500	3,000	
			2003/5/20	1,000	2,000	
			2003/5/22	1,500	500	
2003/5/23	3A0423	10,000	2003/5/27	2,000	8,500	
			2003/5/30	1,000	7,500	
			2003/6/3	2,000	5,500	

## Results of Investigation To Prevent Contamination Within the Process (sample)

Name of factory :

Name of process : A

Description of operation :

Items To Be Checked		Checking Method	Results	
1	Use of Banned Substances within the factory	Check the substances.	No	
2	Use of Banned Substances in the process	Check the substances.	No	
3	Investigation of work-in-process inventory			
	(1) whether the inventory is organized, labeled and stored	Check the inventory	No abnormalities	
	(2) whether receiving and shipping of inventory are managed	Check the Inventory Records	No abnormalities	
4	Cleaning procedure to be taken before changing product lines (1) Remove the kneading (2) Disassemble blades. (3) Immerse the blades in IPA for 30 minutes. (4) Clean the kneading bath with IPA. (5) Clean the blades with IPA. (6) Leave them for one hour after (7) Visually check them to ensure thorough cleaning without residue. (8) If the result of the visual check is favorable, reassemble them.	Check on- site that the operation is being performed according to the manual.	No abnormalities	
5	How to check the quality of the products after cleaning Conduct process inspection of the first lot after the change in production lines	Check the lot on-site using the manual and the inspection specification list.	No abnormalities	
Judgment		Accepted / Rejected		
Date of judgment:		Judged by:	Approved	Prepared
		Name of Company:		
		Name:		

# Shipping Management Record (sample)

Name of part:

Part No. Gxxxx-1111A

Stay		Spring		Screw		Parts Shipped		
Material Lot	Qty	Material Lot	Qty	Material Lot	Qty	Part Lot	Qty	Shipping Date
3CA0210	3000	3A0402	3000	3N0120	3000	3G0512	3000	2003/5/16
	2000		2000		2000	3G0515	2000	2003/5/18
	500		500		500	3G0515	500	2003/5/21
	1500		1500	3N0125	1500	3G0519	1500	2003/5/21
	1000		1000		1000	3G0520	1000	2003/5/25
	1000		1000		1000	3G0522	1000	2003/5/25
	500		500		500	3G0522	500	2003/5/30
	1000	3A0423	1000		1000	3G0527	1000	2003/5/30
	1000		1000		1000	3G0527	1000	2003/6/5
	1000		1000		1000	3G0530	1000	2003/6/5
	500		500		500	3G0603	500	2003/6/5

## Corrective Action Report (sample)

Approved	Prepared
Date:	Date:
Seal of responsible person	Seal of person in charge

The nonconforming matters: 4. Actual management of Substances of which inclusion is banned  
 Although purchased goods that contain a Banned Substance are required to be segregated and managed separately, solder, one type of such goods, was not segregated and managed as required.

\* Nonconforming phenomenon:  
 Parts containing lead was delivered to the customer.  
 Delivery date: XX, XX, XX (day/month/year)  
 Unit number of delivered goods: XX units

Investigation of the nonconforming matters / causes:

Investigation: Solder that contains lead, a Substance of which inclusion is banned and lead-free solder were kept on the same shelf.

Cause: Since the inventory of leaded solder was small and scheduled to be replaced with lead-free one after consumption of the inventory, they were kept on the same shelf.

Corrective Action:

1. Leaded solder was placed in a box and is being managed separately on another shelf.
2. Date of implementation: Implemented on
3. Solder is the only banned substance handled by our company. Thus, no other parallel matter to take care of.

Date corrective action was taken: On xx , operational procedure document was revised, and employee training was conducted.

<p>Confirmation of Corrective Action</p> <ol style="list-style-type: none"> <li>1. Confirmed that leaded solder was put in a box and is being managed on a separate self.</li> <li>2. The storage place was added in the operational procedure document, and the revision was confirmed.</li> <li>3. Confirmed the person "A", in charge of the operation was storing leaded solder according to the direction of the documented operational procedures.</li> <li>4. By comparing the Substances of which inclusion is banned list with the lists of material, parts, and suppliers for production, confirmed that there was no other handling of banned substance by our company, and ensured no parallel development.</li> </ol>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">Approved</td> </tr> <tr> <td style="text-align: center;">Date:</td> </tr> <tr> <td style="height: 100px;"> </td> </tr> </table>	Approved	Date:	
Approved				
Date:				

## Report on Nonconforming Product that Contains Substances of which inclusion is banned (sample)

To: The department that inspects goods received  
Ricoh Company, Ltd.

Date:  
(Company name)  
Quality Assurance Dept.  
(Name)

We would like to report on the occurrence of nonconforming products that contain Substances of which inclusion is banned, details of which are as follows:

Part No : AOOOO-XXXX

Part Name : △△△△

Lot No : C1234567

Quantity : 300

Corrective Action: recall of all affected lots

Delivery of replacement parts: (date)

Replacement quantity: 3,000 pcs





Date:

Application for Changes in Materials, Parts, Supplies  
for Production or Processes (sample)

Name of Company:

Person in charge:

☎ - ( ) -

We hereby apply that we have made the following changes in materials, parts, supplies for production or processes.

**1. Materials, Parts, Supplies for Production or Processes to which changes have been made (involving changes in Substances of which inclusion is banned):**

**2. Descriptions of changes**

**3. Date on which the changes were made:**

**4. Results of Investigation regarding chemical substances of which inclusion is banned (data to be attached)**

Column for Ricoh Group's approval

Reception by procurement division	Audit by technology division	Approval by technology division

Route: ○○ company⇒ Ricoh Group⇒ ○○company





## Revision History

Revision date	Edition	Revised contents
Apr.01.2004	Edition 1	
Nov.01.2004	Edition 2	<p>1. P3, III. Flow chart of selection process and procedure to establish CMS            (1) "Status of Certification Systems at Business Establishments/Factories (Form 4) " has been added to one of the documents to be submitted for the procedure to establish Ricoh Group CMS.            (2) For the registration of a third party certification system, self-audit, the verification by Ricoh Group and the submission of a copy of the third-party certificate have been added as the requirements. "A copy of a Third-party Certificate", "Audit Checklist (a separate volume)", "CMS Internal Inspection Report (a separate volume)", "Corrective Action Report (Filled-out Sample 6)" have been added as the documents to be submitted.            (3) "CMS Internal Inspection Report (a separate volume)" has been added as one of the documents to be submitted to obtain a Ricoh Group CMS certificate.            (4) "Regular audit and renewal audits" changed to "Renewal audits"</p> <p>2. P4, 2. Renewal audits            "Regular audit and renewal audits" have been changed to "Renewal audits" only.</p> <p>3. P6, 1. Overview of CMS establishment, Flow chart to establish CMS            (1) &lt;&lt;Procedure to establish CMS&gt;&gt;            Consistency in requirements and terms            (2) &lt;&lt;Output documents&gt;&gt;            • For the banned substances inspection for materials, parts, supplies for production, "Banned Substances Inspection Sheet (Filled-out Sample 8) has been added.            • "CMS Checklist" in "Process management of Banned Substance" has been removed.            • "Results of Chemical Composition Inspection" for materials, parts, supplies for production, processes has been removed and "Notification of Changes in Materials, Parts, Supplies for Production or Processes (Filled-out Sample 11) has been added.            • "Corrective Action Report (Form 6, Fill-out Sample 6) has been added as the measures when nonconforming products that contain Banned Substances occur.            * "The output documents will be examined at the audit" has been added.</p> <p>4. P7-8 "Requirements" in "Procedure to establish CMS"            1)-2 (2), (3), 2)-2 (1), (2) 3)-2 (2), 5)-a-2 (4) have been removed, 5)-a-2 (4) also removed,            6)-2 (1), (2), 7)-2, 8)-2 (1), (2) have been revised.</p> <p>5. P8, 3. Business establishments and factories that are the target of Chemical Substances Management System (CMS) audit            The sentence starting with "On-site audits are performed..." has been removed.</p> <p>6. P9, VI. Definition of terms            "Purchased goods" has been removed.</p> <p>7. P14, Form 4: "Status of Certification Systems at Business Establishments/Factories" has been added.</p> <p>8. P15, Form 5: "Corrective Action Report" has been added.</p> <p>9. P27, Filled-out Sample 8: "Banned Substances Inspection Sheet(sample)" has been added.</p> <p>10. P28, Filled-out Sample 9, a sample of Form 4: "Status of Certification Systems at Business Establishments/Factories" has been added.</p> <p>11. P29, Filled-out Sample 10, a sample of Form 3: "CMS Audit Confirmation Document" has been added.</p> <p>12. P30, Filled-out Sample 11: "Notification of Changes in Materials, Parts, Supplies for Production or Processes (sample)" have been added.</p>
02.01.2005	Edition 2.1	(Corrected error in description)

07.15.2005	Edition 2.2	<ol style="list-style-type: none"> <li>1. Page 6 - 5. Procedure of Ricoh Group chemical substance management system establishment and audible items - Relocated the sentence of "Ricoh specified/supplied products are excluded." in Clause 2 1)-(3) Requested items 3 to the same clause 3)-2(2).</li> <li>2. Page 6 - 5. Procedure of Ricoh Group chemical substance management system establishment and audible items 3)-2(2) - Changed "Make sure that no Banned Substance is contained and put in writing." to "Make sure with appropriated documents, etc. that there is no Banned Substance contained"</li> <li>3. Page 8 Added "Ricoh specified product" "Ricoh supplied product" to the definition of terms.</li> <li>4. P-30 Page added. Filled-out Sample 12 - Added style sample of "Banned Substance - Certificate of no usage".</li> <li>5. Inserted "the points of revision" on page 1 to "the details of revised contents" on page 31.</li> <li>6. Replaced "Form1: Registration form regarding CMS"</li> </ol>
09.01.2006	Edition 3	<ol style="list-style-type: none"> <li>1. Background for the revision As we operated CMS certification system so far, arrangements for the detailed rules were made, such as effective period of certification, suspension of certification and so forth. Furthermore, some problems in operating CMS surfaced: for example, making copy of third party certification was forbidden by the said third party, in regard to the request to submit a copy of a third party certification; and the inconsistency between the required items and items in the audit checklist, etc.. These points were addressed in this new revised edition by amendment and correction of inconsistency.</li> <li>2. Main revised content       <ol style="list-style-type: none"> <li>2-1 Subdivision code           <ol style="list-style-type: none"> <li>(1) Revised the subdivision code of the entire text to conform to the coding system of the Standards, etc.</li> </ol> </li> <li>2-2 III. Flow chart of selection process and procedure to establish CMS (P.2)           <ol style="list-style-type: none"> <li>(1) Changed the material for submittal from a copy of third party certificate to Form 3 (P.12), to enable reporting of the status of obtainment of a third party certification.</li> <li>(2) Changed the title of "CMS Internal Audit Report" to "CMS Self-check Report", and revised the title of the Annex in the same manner.</li> <li>(3) Added "Implementation of Self-check" and "Audit by Ricoh Group" to the flow of renewal of Third Party Certification System, and added Self-check Report to the materials for submittal, and added Corrective Action Report in case of nonconformity.</li> <li>(4) Added "Request for audit" in the flow of renewal of Ricoh's certificate, and added "Audit materials" and "Output materials"</li> <li>(5) Added "III-2-3. Effective period" and "III-2-4. The procedures for switching the certifications" to "III-2. Renewal audit". (P.3)</li> <li>(6) Added the item of "III-3. Suspension of CMS Certification and Lift of Suspension of Certification, and Withdrawal of Certification and Re-authorization of CMS Certification" and its details. (P.4)</li> </ol> </li> <li>2-3 IV. Requirements for suppliers who selected Ricoh Group's CMS certification system (P.6)           <ol style="list-style-type: none"> <li>(1) Changed the wording in the requirements 1 from "fully understand the substances banned" to "fully understand the information of the substances banned". Changed the same wordings in the following P.6 to 7 and Annex in the same manner.</li> </ol> </li> <li>2-4 V-2. Procedure to establish CMS (P.8)           <ol style="list-style-type: none"> <li>(1) Changed all vague wording such as "establish procedures" to "document".</li> <li>(2) Deleted item ③ of subparagraph 1-2 in the former Edition due to the duplication with paragraph 3.</li> <li>(3) Changed the wordings in 3-1 "Ensure (ellipsis) do not contain banned substances" and 3-2 (b)"Make sure (ellipsis) contain no banned substances" to "check if (ellipsis) do or do not contain" because the former wordings contradicted with the reality.</li> </ol> </li> </ol> </li> </ol>

		<p>(4) Added "incoming inspection" in subparagraph 4.(b)</p> <p>(5) Added "records such as shipping inspection are kept" in 6-2-b.</p> <p>(6) Added notes in "7. Changes in materials, parts, or process"; and restricted the requirement of advance notice regarding changes in supplies for production and processes to changes involving banned substances; and required report of changes in materials, parts and factories based on other rules.</p> <p>(7) Changed the wording of 7-2 to "make sure to submit a report in advance" to ensure proactive measures to be taken.</p> <p>2-5. VI. Definition of terms</p> <p>(1) Added the definition of "Referred products".</p> <p>2-6</p> <p>(1) Deleted "CMS Audit Confirmation Document (Form 3 in Edition 2.2)" because its purpose was not clear.</p> <p>(2) Due to the above, moved up the Form numbers that followed.</p> <p>(3) Changed the wordings of each form to conform to the wordings in this revised Edition.</p> <p>2-7 Reference Materials (Filled-out samples)</p> <p>(1) Deleted "CMS Audit Confirmation Document (Filled-out Sample 10 in Edition 2.2), and moved up the material numbers that followed.</p> <p>(2) Changed the title of Filled-out sample 11 (10 in Edition 2.2) from "Notification" to "Application".</p> <p>(3) Added "Nonconformance Report" (Filled-out sample 12)</p>
2008/02/01	Edition 4	<p>1. Background of the revision The text was revised as a result of the regular review.</p> <p>2. Main content of the revision</p> <p>2.1 Front cover and the content</p> <p>(1) The phrase, "Green Procurement Standards, Separate Volume", was added to clarify the system of the document.</p> <p>(2) In the content, attached tables were deleted, and pages were renewed accordingly.</p> <p>2.2 II. Requirements for suppliers (P1)</p> <p>(1) Target: Since products were specified as outside of the target of CMS establishment, the words referring to them were deleted.</p> <p>2.3 III-2. Renewal audit</p> <p>(1) III-2-4. By adding validity period of a third party certification and terminating the issuance of registration certificate for a third party certification, the method of checking validity of suppliers/ sites with third party certifications was made clear.</p> <p>(2) In this section, diagrams showing the images of check of validity and the procedures for replacement of certifications were added.</p> <p>2.4 Requirements No. 6 (The Purpose of No. 6 in P5 and P6)</p> <p>(1) Revised the wording, "before shipment to verify....", to "before shipment to ensure" because it is not necessarily the requirement of verification (shipping inspection).</p> <p>2.5 V-2. Procedure to establish CMS (P7 - P8)</p> <p>(1) The phrase 1-2 Requirements b., "The list ... shall be prepared and kept current" was mistakenly understood that Ricoh Group will publish the list. Thus it is revised to read, "Prepare a list of banned substances and keep it current", to indicate that this requirement is to be implemented by suppliers.</p> <p>(2) The phrase in 3-2 Requirements b, "However, the products specified or supplied by Ricoh ...", is revised to "products subject to Ricoh's management", which is added to the definition of terms.</p> <p>(3) In 5-1-1 Purposes, deleted the phrase, "Check for all processes that have the possibility of contamination".</p> <p>(4) Revised 5-1-2 Requirements a. to read, "Work process must be documented so that the work flow can be understood.</p> <p>(5) In 5-1-2 Requirements b, deleted the phrase, "to prevent contamination with Banned Substance in such a process"</p> <p>* Considering requirements in No.5 are addressed to suppliers (sites) with a handling of banned substances (including unchecked items), deleted the</p>

		<p>ambiguous phrase, “the possibility of contamination”, and revised it by assuming “suppliers (sites) which cannot deny the possibility of contamination as long as they are handling banned substances or have unchecked items.</p> <p>(6)The above is stated as notes *1~*3, mentioning that audit may be omitted when it is assured there is no handling of banned substance, and clarifying the scope of documentation of work process.</p> <p>(7)In this section, specified/ clarified suppliers, where was added in the notes.</p> <p>2.6 VI. Definition of terms (P9)</p> <p>(1)In the definition of VI-3., added the term, “with banned substances” after the possibility of contamination,</p> <p>(2)The definition of “VI-4. Products specified or supplied by Ricoh” was misunderstood as items instructed in the drawings. Thus, revised it to the term “products subject to Ricoh’s management”, in which products supplied by Ricoh are also included.</p> <p>(3)VII. Added the section of products subject to investigation of presence of banned substance, and clarified that products subject to Ricoh’s management are excluded from products subject to investigation.</p> <p>2.7 Materials (P14)</p> <p>Matched the number of pages of Materials to the content of this revision.</p> <p>2.8 Material 10 (P24)</p> <p>Set up a column for Ricoh Group’s approval, and added the route.</p> <p>2.9 Material 11 (P25)</p> <p>In order to distinguish from attestation of non-use of banned substance in Ricoh Group’s equipments, added a phrase “raw materials/ parts/ consumables for manufacturing”, corrected the error in the name of banned substance, and matched number of banned substances with that of Green Procurement Standards &lt;Sixth version&gt;</p> <p>2.10 Attached table</p> <p>The list of banned substances in manufacturing process is deleted since it is already carried in Green Procurement Standards. (Formerly P14 - P16)</p>
2009/02/01	Edition 5	<p>1. Background of the revision</p> <p>In this revision, we mainly reviewed the application and registration formats to step up/ intensify the management of Substances of which inclusion is banned. In this revision, suppliers can also declare/ register the existence of handling of Substances of which inclusion is banned, and inclusion of important upper stream process suppliers.</p> <p>2. Main revised content</p> <p>2.1 The use of the term, “banned” substance was replaced by substances “of which inclusion is banned” throughout the text.</p> <p>2.2 II. Requirements for suppliers</p> <p>(1) The scope of CMS establishment has been revised to read, “business sites and factories designated by Ricoh Group”. Suppliers are asked to inquire the details at the contact of responsible administration of Ricoh Group.</p> <p>2.3 III. Flow chart of selection process and procedure to establish CMS (P. 4)</p> <p>(1) As a result of the revision of Form 3, Form 1 in the previous edition used for renewal procedure of third party certification became no longer needed. So, it has been deleted from the flow chart.</p> <p>(2) Form 3 (Status of Certification Systems at Business Establishments/Factories) has been added in the declaration materials for renewal audit of Ricoh CMS Certification in the flow chart.</p> <p>(3) The instruction to add Form 4 has been added for both Ricoh certification and third party certification when applicable.</p> <p>2.4 VI. Documents required for new registration, renewal and registration</p>



		<p>modification (P.13)  Required documents at each stage of the certification were made clear by addition of this section. Consequently, we deleted the description of documents required for the changeover of certification systems in III-2-5. in the previous edition, because it is covered in this section.</p> <p>2.5 VII. Definition of terms  (1) Added the definition of “Site” in VII-5.  (2) Added the definition of “important process” in VII-6.</p> <p>2.6 Form 1 (Registration concerning CMS) (P.12)  (1) The entry of certification number of third party certification system has been deleted, since it is entered in Form 3 in this edition.</p> <p>2.7 Form 2 (Application For CMS Certification Audit) (P.13)  (1) Added the column for entry of Name of CMS auditor of the supplier.  (2) Added the column for the declaration of the existence of handling of substance of which inclusion is banned.  (3) Set up additional column for renewal audit for the declaration of change in handling of banned substances, and concerning manufacturing conditions other than handling of banned substances.</p> <p>2.8 Form 3 (Status of Certification Systems at Business Establishments/Factories) (P.15)  (1) Set up the columns for the entry of the name of person responsible for environmental management, and the name of CMS auditor of the supplier. This made the submittal of this form independent of the concurrent submittal of Form 1 possible.  (2) Set up an additional column for choosing the answer to the question as to if there is any handling of substances banned by Ricoh Group at each business site.  (3) Added the column for choosing the authorizer of the certification system.  (4) Set up an additional column for choosing the answer to the question as to if there is any important upper stream process.</p> <p>2.9 Newly added Form 4 (Registration of Important Upper Stream Process Supplier) (P.16)  (1) Set up Form 4 as an auxiliary document of Form 3, and enabled registration of important upper stream process suppliers.  (2) Transferred the content of Form 4 in the previous edition to Form 5 as a result of the addition of the new content of Form 4 in this edition. (P.17).</p> <p>2.10 Materials (P.28)  (1) Added a note, asking suppliers to submit analytical data as much as possible and respond to the latest changes in the banned substances.  (2) Improved the statement regarding the PFOS and the purpose of the use.</p>
2010/04/01	Edition 6	<p>1. Background of revision  The revision was made to incorporate definition of possession of banned substances and response to abnormal treatment.</p> <p>2. Major details of revision  2.1 IV. Requirements for suppliers who selected Ricoh Group’s CMS certification system (P. 6)  (1)A requirement to report when abnormal treatment took place was added in subsection 7.  (2)In accordance with the above, item b. was added to subsection 7.2 of Section V-2. Procedure to establish CMS (P.9)</p> <p>2.2 Definition of terms (P.13 –15)  (1)Section VII -7.was added to clearly define state of possession of banned substances with illustration respectively .  (2)In subsection (4) of the same section, a requirement for suppliers that have the grasp of possession of banned substances other than solder and plate was added, which had not been mentioned in the previous version.</p>

		<p>2.3 Form 2,3,4 (P. 19 – 21)</p> <p>(1)The column for declaration of handling of banned substances in Form 2 was deleted because it had duplicated with Form 3.</p> <p>(2)Form 3 clarifies the procedures for the declaration of a case where there are products for other customers of which content information is not disclosed.</p> <p>2.4 Materials (P.23-)</p> <p>(1)As Filled-out Sample 9 in the previous version was deleted, the numbers of the following materials and their pager numbers were adjusted.</p> <p>(2)The title of the new Filled-Out Sample 10 was changed to “Report on the inclusion of chemical substances in raw materials/ parts/ consumables for manufacturing”, and the number of substances were changed to conform to the number of substances provided in “Green Procurement Standards (Annex) Ricoh Criteria for Environmentally Sensitive Chemical Substances (Fourth Edition)”</p>
2023/8/1	Edition 7	<p>1. Background of revision Expiration date review</p> <p>2. Major details of revision Postscript After the initial construction of the new system, the first effective period is set to be two years, and thereafter, the department in charge can assess the situation and extend the effective period to three years.</p>
2024/4/30	Edition 8	1.Form 2, Form 3 addition.

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