

Trading Company RoHS Audit Checklist

[Audit report No.MT83-_____]

Auditee Company: _____

Audit Date (YYYY/MM/DD): ____ / ____ / ____

Product Line: _____

Reported by: _____

Item		Evaluation (Place a checkmark in the applicable box A, B, or C.)		Remarks (such as details and records of confirmed items)
1	Document <Management System> Has certification from third-party organization such as ISO14001, KES, ISO9001 been obtained?	A <input type="checkbox"/>	Obtained.	(Write the type of the certificate and acquisition (scheduled) date.)
		B <input type="checkbox"/>	Planning to obtain one.	
		C <input type="checkbox"/>	There is no plan to obtain any certification.	
2	Document <Policies> Has the intention for activities to achieve appropriate management of chemical substances contained in products been expressed?	A <input type="checkbox"/>	Policies describing activities approved by the management have been familiarized.	
		B <input type="checkbox"/>	Although policies describing activities approved by the management have been established, they are not sufficiently familiarized.	
		C <input type="checkbox"/>	There are no documented policies.	
3	Document <Goals and Plans> Have goals for the appropriate management of chemical substances contained in products been set and have implementation plans for them been made?	A <input type="checkbox"/>	Goals for appropriate management of chemical substances contained in products have been set and implementation plans for them have been made.	
		B <input type="checkbox"/>	Although goals for appropriate management of chemical substances contained in products have been set, no implementation plans have been made.	
		C <input type="checkbox"/>	No goals or implementation plans have been set.	
4	Document <Organization> Are quality managers and the quality management system clarified?	A <input type="checkbox"/>	Quality managers are specified and the quality management system (organization chart) is clearly stated.	
		B <input type="checkbox"/>	Although managers are specified, the management system is not clarified.	
		C <input type="checkbox"/>	Neither the manager nor the management system has been specified.	
5	Document <Education> Are employees being educated in RoHS and chemical substance management?	A <input type="checkbox"/>	All employees are trained.	
		B <input type="checkbox"/>	Only specific personnel, such as supervisors, are trained.	
		C <input type="checkbox"/>	No training is being provided.	
Memo				

Item		Evaluation (Place a checkmark in the applicable box A, B, or C.)		Remarks (such as details and records of confirmed items)
Document	6 <Internal Audits> Are internal quality audits implemented voluntarily?	A <input type="checkbox"/>	Internal quality audits are implemented periodically and results are reported to the management.	
		B <input type="checkbox"/>	Although there is an audit system, quality audits are not implemented periodically.	
		C <input type="checkbox"/>	Internal quality audits are not being implemented.	
Document	7 <Internal Audits> Are audit results reported to the management and supervisors and necessary corrective measures taken?	A <input type="checkbox"/>	Current conditions are reported to the management and supervisors and corrective measures are taken when necessary.	
		B <input type="checkbox"/>	Although conditions are reported, necessary corrective measures are not taken.	
		C <input type="checkbox"/>	Conditions are not reported in some cases.	
Document	8 <Change Notice Sheet> Are Change Notice Sheet submitted concerning products that Shimadzu has ordered?	A <input type="checkbox"/>	Procedures to submit the Change Notice Sheet are documented and change is appropriately reported to Shimadzu.	
		B <input type="checkbox"/>	Although procedures to submit the Change Notice Sheet are documented, change is not reported to Shimadzu adequately. (Including a case where there has not been any change so far.)	
		C <input type="checkbox"/>	Measures related to the Change Notice Sheet are not taken.	
Document	9 <Response to Non-Compliance> Are the processes and procedures for non-compliance clarified? Is the creation of a record or a report to Shimadzu included in the procedures?	A <input type="checkbox"/>	Standards and procedures for non-compliance measures are documented.	
		B <input type="checkbox"/>	Although standards and procedures for non-compliance measures are documented, some of the necessary items are not included in the procedures.	
		C <input type="checkbox"/>	There is no procedural manual for non-compliance measures.	
Document	10 <Purchase> Are products instructed in the Product Purchase Specification (PPS) ordered?	A <input type="checkbox"/>	All products are ordered following the instructions.	
		B <input type="checkbox"/>	Although some alternatives not approved by Shimadzu are ordered in some cases, they are confirmed to be RoHS compliant by documents or other means.	
		C <input type="checkbox"/>	Some products not approved by Shimadzu are ordered and they cannot be proven to be RoHS compliant.	
Memo				

Item		Evaluation (Place a checkmark in the applicable box A, B, or C.)		Remarks (such as details and records of confirmed items)
11	<Traceability> Can the relationships between the products and Shimadzu order numbers be tracked?	A <input type="checkbox"/>	There is a 1-to-1 correspondence between order numbers and product delivery slip numbers.	
		B <input type="checkbox"/>	Although there is not a 1-to-1 correspondence, approximate relationships can be identified.	
		C <input type="checkbox"/>	Relationship between order numbers and products cannot be identified.	
12	<Traceability> Is each product purchased from a fixed supplier?	A <input type="checkbox"/>	Suppliers are fixed (multiple suppliers are allowable) and procurement routes can be traced for each product.	
		B <input type="checkbox"/>	Although suppliers are not fixed for some products, procurement routes can be traced.	
		C <input type="checkbox"/>	Suppliers are not fixed and procurement routes can hardly be traced.	
13	<Alternatives> Are alternatives managed properly?	A <input type="checkbox"/>	Alternatives are not purchased.	
		B <input type="checkbox"/>	When an alternative is delivered, a report is always provided and documentation proving that the alternative is RoHS compliant has been obtained.	
		C <input type="checkbox"/>	Part numbers are not questioned as long as the delivered materials are equivalent to the specified items, and documentation proving that the alternative is RoHS compliant has not been obtained.	
14	<Confirmation of RoHS compliance> Is documentation, such as RoHS compliance certificate, obtained from the supplier at the first delivery or before it?	A <input type="checkbox"/>	RoHS compliance certificate or similar document is obtained for all RoHS compliant products.	
		B <input type="checkbox"/>	RoHS compliance is not checked for some items. However, unexamined items are presumed to be RoHS compliant and not considered a risk. (A deadline for obtaining the certification form shall be determined. If the deadline is overdue, the evaluation result shall be "C".) Note: Needs to be completed before the application of RoHS directive.	
		C <input type="checkbox"/>	There is no certificate or any similar document. RoHS compliance of products is sometimes unknown. Or, certificate can not be obtained.	
15	<Documents> Is documentation for overall products (including alternatives) properly managed?	A <input type="checkbox"/>	The rule for storing certificates and delivery slips for a minimum of ten years has been established and the documents are being properly stored.	
		B <input type="checkbox"/>	Although certificates and delivery slips are stored, there are no administrative rules. Or, the administrative rules are insufficient.	
		C <input type="checkbox"/>	Documents are not being stored.	
Memo				

Item		Evaluation (Place a checkmark in the applicable box A, B, or C.)		Remarks (such as details and records of confirmed items)
16	<Survey> Are chemical substances in products of suppliers examined?	A <input type="checkbox"/>	Survey of chemical substances contained in products is voluntarily conducted. RoHS compliance certificate or similar document is obtained for RoHS compliant products.	
		B <input type="checkbox"/>	Survey of chemical substances contained in products is conducted when required by Shimadzu. Required reference materials are definitely obtained.	
		C <input type="checkbox"/>	Procedures to conduct a survey on chemical substances contained in products are not understood well and a survey cannot be performed, even if required.	
17	<Receiving Inspection> When receiving items, are part names and other information confirmed for all items?	A <input type="checkbox"/>	Receiving inspections are definitely performed based on procedure manuals. In addition, certificates are obtained to check for regulated substances.	
		B <input type="checkbox"/>	Although receiving inspections are performed, there is no procedure manual. However, the ordered part numbers and part numbers of delivery slips are thoroughly collated.	
		C <input type="checkbox"/>	Receiving inspections are not properly performed.	
18	<Receiving Inspection> Is analysis data used to confirm that products do not contain regulated substances?	A <input type="checkbox"/>	Content of regulated substances is tested (including tests outsourced to outside organizations) on a regular basis based on the company's standard.	
		B <input type="checkbox"/>	Although no extraction standard is specified for measurement objects, the content of substances is tested (including tests outsourced to outside organizations) when necessary.	
		C <input type="checkbox"/>	Content test is not performed.	
19	<Receiving Inspection> Are analysis data and confirmation records obtained in tests managed properly?	A <input type="checkbox"/>	A rule for storing data and records for a certain period of time has been established and the documents are being properly managed.	
		B <input type="checkbox"/>	Although analysis data and confirmation records are stored, there are no administrative rules.	
		C <input type="checkbox"/>	Documents are not being stored.	
Memo				

Item		Evaluation (Place a checkmark in the applicable box A, B, or C.)		Remarks (such as details and records of confirmed items)
20	<Warehouse> Are RoHS compliant and non-compliant products clearly separated from each other without risk of mixing?	A <input type="checkbox"/>	Products are clearly separated and the possibility of mixing RoHS compliant and non-compliant products is low. Or, all items are RoHS compliant.	
		B <input type="checkbox"/>	Although products' storage location is not clearly separated, the risk of making a mistake is extremely low because other appropriate measures are taken.	
		C <input type="checkbox"/>	RoHS compliant and non-compliant products are not separated from each other and sufficient measures are not taken to distinguish between them. Therefore, there is a risk of making a mistake.	
21	<Warehouse> Is there any indication to distinguish between RoHS compliant and non-compliant items so that anyone can tell the difference?	A <input type="checkbox"/>	There is an indication to visually distinguish between RoHS compliant and non-compliant items or clear identification and there is no risk of making a mistake. Or, all items are RoHS compliant.	
		B <input type="checkbox"/>	Although RoHS compliant and non-compliant items can be distinguished by some means, the way it is done is uncertain.	
		C <input type="checkbox"/>	There is no indication to distinguish between RoHS compliant and non-compliant items.	
22	<Warehouse> Is the first-in, first-out (FIFO) method constantly implemented?	A <input type="checkbox"/>	There is a system that anyone can implement FIFO and documentation related to operational procedures is formulated.	
		B <input type="checkbox"/>	Although there is a system, it is not thoroughly operated.	
		C <input type="checkbox"/>	Products are handled depending on workers' memory and experience. There is no clearly determined procedure or system to implement FIFO.	
23	<Shipment> Are RoHS compliant items verified before shipment?	A <input type="checkbox"/>	RoHS compliance of products is verified using product management slips or by other means before shipment. Or, all products are RoHS compliant.	
		B <input type="checkbox"/>	Although RoHS compliance of products cannot be immediately verified before shipment, compliance can be confirmed based on catalog, instruction manual, or any other document. Or, the compliance is verified only when Shimadzu requests.	
		C <input type="checkbox"/>	Compliance is not verified before shipment. Or there is no system to distinguish between RoHS compliant and non-compliant items before shipment.	
		D <input type="checkbox"/>	Products are not checked currently because only non-compliant products are shipped upon a request from Shimadzu.	
Memo				

Item		Evaluation (Place a checkmark in the applicable box A, B, or C.)		Remarks (such as details and records of confirmed items)
24	<Shipment> When products are directly sent from a supplier or factory to Shimadzu, are products checked (for RoHS compliance) before delivery to Shimadzu or is there a checking system?	A <input type="checkbox"/>	RoHS compliance of products is checked using work instructions or other document before delivery. Or, all products are RoHS compliant.	
		B <input type="checkbox"/>	Although RoHS compliance of products cannot be immediately determined before delivery, the compliance can be checked later based on their model no. referring to product catalog, instruction manual, or other documents. Or, products are checked only when Shimadzu requires.	
		C <input type="checkbox"/>	RoHS compliance of products is not checked before delivery.	
		D <input type="checkbox"/>	Products are not checked currently because only non-compliant products are shipped upon a request from Shimadzu.	
25	<Supplier Management> How many suppliers are used?	A <input type="checkbox"/>	100 companies or more	Write an approximate number of companies that you currently deal with on a regular basis. : _____
		B <input type="checkbox"/>	20 to 99 companies	
		C <input type="checkbox"/>	19 companies or less	
26	<Supplier Management > Do you know what types of measures are taken to meet RoHS compliance at suppliers?	A <input type="checkbox"/>	There is a system to manage suppliers in the same way. Your company can instruct and audit its suppliers on its own.	
		B <input type="checkbox"/>	Although suppliers' management conditions are not known, receiving inspections are strictly carried out.	
		C <input type="checkbox"/>	Suppliers' management conditions are not known or RoHS-related receiving inspections are not carried out either.	
27	<Supplier Management> Is there any standard to select suppliers in terms of RoHS and other regulations on chemical substances?	A <input type="checkbox"/>	There are defined criteria for selection. Or, no representative is used. This item is not applicable because the company is the manufacturer's sales outlet or branch.	
		B <input type="checkbox"/>	Although there are no criteria for selection, representatives are primarily determined by factors related to products.	
		C <input type="checkbox"/>	There are no criteria for selection. Suppliers are selected by other factors.	
Memo				

<Area used by Shimadzu>

Sample for sampling analysis (idea)

(1) Name and product no. (If specification is impossible, roughly describe it.) (2) Frequency of submission (3) Applicable division