Supplier RoHS Audit Checklist [Audit report No. _____]

Company to be audited: _____ Audit date (YYYY/MM/DD): ____/____/____

Business type: _____ Reported by: _____

<Column used by Shimadzu>

Comprehensive evaluation (Interim)	A ・ B ・ C ・ D ・ E ☐ ☐ ☐ ☐ ☐ (Tick one as the comprehensive evaluation result.)

<Meanings of underlines in "Evaluation" column>
Underline: Applies to D or lower in comprehensive evaluation
Double underline: Applies to E in comprehensive evaluation

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
1 Document	<Organization> Are managers and the quality management system clarified?	G ☐	Managers and personnel in charge (i.e. quality management system) are specified and clearly stated.	<Organization chart, Work assignment table, etc.>
		S ☐	Managers and personnel in charge (i.e. quality management system) are specified, but not clearly stated.	
		P ☐	Managers and personnel in charge (i.e. quality management system) have not been specified.	
2 Document	<Education> Are employees being educated in RoHS and chemical substance management?	G ☐	All employees related to Shimadzu RoHS products are properly trained.	<Announcement methods, Contents, Training records, etc.>
		S ☐	Only specific personnel, such as supervisors, are trained.	
		P ☐	No training is being provided.	
3 Document	<Implementation of Internal Audits> Are operational procedures and compliance with such procedures confirmed voluntarily through internal quality audits, QC patrols, etc.? (Is there any self-check system?)	G ☐	Internal quality audits, QC patrols, etc. are implemented periodically and results are reported to the management.	<Audit subjects, Contents, Frequency of implementation, Status of corrective actions, etc.>
		S ☐	Although there is an audit system, periodic internal quality audits, QC patrols, etc. are not implemented.	
		P ☐	Internal quality audits, QC patrols, etc. are not being implemented.	
4 Document	<Response to Non-Compliance> Are the processes and procedures clarified when a non-compliance occurs? Is the creation of a record or a report to the outsourcer (Shimadzu) included in the procedures?	G ☐	Standards and procedures of non-compliance measures are documented.	<Procedures of non-compliance measures, Records for implementation, etc.>
		S ☐	Standards and procedures of non-compliance measures are documented, but some of the necessary items are missing in the procedures.	
		P ☐	There is no procedural manual for non-compliance measures.	
5 Document	<Management of Changes> Are changes in 4M (man, machine, material, and method) managed?	G ☐	Any changes in 4M are reported and safety is checked considering the risks involved with RoHS compliance. The standard for the change report has also been clearly stated.	<Procedures for management of changes in 4M, Liaison records, etc.>
		S ☐	Changes in 4M are managed and fully reported as necessary, but the standard for the change report has not been clearly stated.	
		P ☐	Changes in 4M are not managed, or not reported as required.	
Memo				

(Form #: SQRS5015E)

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
6 Document	<Subcontractor Management> Are second-tier subcontractors hired to outsource Shimadzu (RoHS compliant) products periodically audited (or evaluated) for their RoHS compliancy? ※Required check items: 4M change management, management of Non-inclusion certificates (for materials/secondary materials used), management of (three or more tier) subcontractors, on-site identification/prevention of mixing-in ※Three or more tier subcontractors that involve high risk process*1 must be audited (or evaluated) for their RoHS compliancy.	G ☐	The audit (or evaluation) is periodically implemented and the standard for the implementation is clearly stated.	<Audit check sheet, Evaluation results, etc.>
		S ☐	Although all second-tier subcontractors have been audited (or evaluated), (1) the audit is not periodical and there is no specific standard or (2) the audit is periodical but there is no standard.	
		P ☐	No audit (or evaluation) has been implemented, or some subcontractors are not yet audited. ◆This represents non-compliance of requirements. The audit must be implemented within the specified time limit.	
		N/A ☐	No subcontractors to outsource Shimadzu products	
	Write the subcontractor evaluation results [company name, subcontracted processes, evaluation results, second-tier or third-tier or lower, etc.] A separate sheet may be used.			
7 Document	<Subcontractor Management> When a part of (or the entire) manufacturing process of RoHS compliant products is outsourced, has the subcontractor been properly instructed in the work process based on documents, such as Work procedures, Inspection standards, Drawings, Precaution items, etc.? (When drawings are distributed, is the delivery properly managed?)	G ☐	The work process is clearly instructed based on documents, and the latest instruction documents (drawings, etc.) are supplied with each instruction.	<Work procedures, Contract document, Drawings, etc.>
		S ☐	The work process is instructed based on documents, but the latest instruction documents (drawings, etc.) are not supplied with each instruction. Even so, the latest documents (drawings, etc.) are already distributed and the work has been implemented accordingly. The replacement of the instruction documents is properly recorded.	
		P ☐	The work process is not instructed based on documents, but on verbal communication only. It is not certain whether the distributed instruction documents (drawings, etc.) are properly replaced or not, and any specific record exists.	
		N/A ☐	No subcontractors to outsource Shimadzu products	
Memo				

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
8 Document + Site	<Subcontractor Management> Are the RoHS compliant products delivered from subcontractors checked to ensure that they satisfy the requirements through receiving inspections, etc.? Is the record stored properly? Are the inspection methods and sampling standard appropriate? ※Example: Trivalent chromium products are checked visually by using color samples to ensure no hexavalent chromium treatment is applied.	G ☐	All items are checked properly through receiving inspections (of sampled items or all items), and the record is stored.	<Contract document, Requirements specification, Drawings, Inspection record, Receiving inspection methods, Inspection items, etc.>
		S ☐	Only a part of items are checked properly through receiving inspections (of sampled items or all items), and the record of the inspection is stored.	
		P ☐	Only a part of items are checked through receiving inspections (of sampled items or all items), but the inspections are not done properly and/or the record is not stored.	
		N/A ☐	No subcontractors to outsource Shimadzu products	
9 Document	<Materials> Are all materials (used as a part of products) procured by the supplier that are used for RoHS compliant items clearly specified in the List of Materials Used? Are materials specified by the outsourcer (Shimadzu) properly procured? (Items used as a part of products, such as paint and plating solution, are considered objects of this evaluation, even when they are not specified by drawings.)	G ☐	There is a list of all materials used and all of them are RoHS compliant (certification forms of RoHS compliance exist).	<List of Materials Used, Non-inclusion certificates, etc.>
		S ☐	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 P.) Note: Needs to be completed before the application of RoHS directive.	
		P ☐	Materials with no non-inclusion certificates or not compliant to RoHS are used.	
		N/A ☐	No self-procured materials	
10 Document	<Materials> Are suppliers of the materials settled?	G ☐	Suppliers are settled (multiple suppliers are also possible). Suppliers can be specified for all materials.	<List of Materials Used, Delivery slips, etc.>
		S ☐	Suppliers are not settled for some materials, but procurement routes can be specified.	
		P ☐	Suppliers are not settled and procurement sources can hardly be specified.	
		N/A ☐	No self-procured materials	
Memo				

* High risk process:
Indicates processes where the content of prohibited substances easily exceeds the threshold value if improper material is used. Examples are processes involving surface finishing or base-coating for it or soldering. Cases where materials for cast metal or resin are reworked in-house and items produced in other countries are also high risk.

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
11 Document	<Materials> Are alternatives (not instructed by a drawing sheet) being managed?	G ☐	Alternatives are not purchased. An alternative is used only after obtaining documentation that proves the alternative is RoHS compliant, and the drawings are revised.	<List of Material Used, Non-inclusion certificates, Report for changes in 4M, etc.>
		S ☐	When an alternative is delivered, a report is always provided and documentation obtained proving that the alternative is RoHS compliant.	
		P ☐	Part numbers are not questioned as long as the delivered materials are equivalent to the specified items, and documentation has not been obtained proving that the alternative is RoHS compliant. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
		N/A ☐	No self-procured materials	
12 Document + Site	<Materials> When recycling materials in the company, are recycled materials being managed? (In particular, resin molds and cast metal)	G ☐	When recycled materials are being used, analysis is conducted for each lot to confirm that no applicable RoHS prohibited material is contained.	<Component analysis records, Certification methods, Acquisition routes for recycled materials, etc.>
		S ☐	Recycled materials are being used (analysis not conducted for each lot), but the recycling history of the material is clear and there is no possibility of contamination by prohibited materials.	
		P ☐	Recycled materials without a clear recycling history are being used and the possibility of contamination by prohibited materials is high.	
		N/A ☐	Recycled materials are not being used.	
13 Document + Site	<Materials> Can the relationships between the materials and the outsourcer (Shimadzu) product number be tracked?	G ☐	There is a 1-to-1 correspondence between order numbers and delivery slip numbers.	<Manufacturing records, Delivery slips, etc.>
		S ☐	Although there is not a 1-to-1 correspondence, approximate relationships can be specified.	
		P ☐	A relationship between the order numbers and the materials cannot be specified.	
14 Document + Site	<Secondary Materials*> Are the secondary materials used clarified in the List of Secondary Materials and can they be proved to be RoHS compliant?	G ☐	There is a list of all secondary materials used and all are RoHS compliant (certification forms of RoHS compliance exist).	<List of Secondary Materials, Non-inclusion certificates, etc.>
		S ☐	RoHS compliance is not checked for some items. However, unexamined items are presumed to be RoHS compliant and not considered a risk.	
		P ☐	Secondary materials with no non-inclusion certificates or not compliant to RoHS are used.	
		N/A ☐	Secondary materials are not being used.	
Memo				

* Secondary Materials:
All materials that do not comprise the product (not listed in the parts list) but are used in the production process or making contact with the product except gauges and tools.
(For example, cutting oils, abrasives, lubricants, cleaning solutions, solvents, rust inhibitors, coolants, marker pens, masking tapes, etc.)

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
15 Document	<Secondary Materials> Are suppliers of the secondary materials settled?	G ☐	Suppliers are settled (multiple suppliers are also possible). Suppliers can be specified for all materials.	<List of Secondary Materials, Delivery slips, etc.>
		S ☐	Suppliers are not settled for some materials, but procurement routes can be specified.	
		P ☐	Suppliers are not settled and procurement sources can hardly be specified. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
		N/A ☐	Secondary materials are not being used.	
16 Document	<Secondary Materials> Are alternatives being managed?	G ☐	Alternatives are not purchased.	<List of Secondary Materials, Non-inclusion certificates, Report for changes in 4M, etc.>
		S ☐	When an alternative is delivered, a report is always provided and documentation obtained proving that the alternative is RoHS compliant.	
		P ☐	Part numbers are not questioned as long as the delivered materials are equivalent to the specified items, and documentation has not been obtained proving that the alternative is RoHS compliant. There is a possibility that materials purchased at DIY stores are used.	
		N/A ☐	Secondary materials are not being used.	
17 Document	<Receiving Inspection> When receiving members, are part names and other information confirmed for both supplied and self-procured items?	G ☐	Receiving inspections are securely performed based on procedure manuals. In addition, material certificates are obtained to confirm the materials, components, etc.	<Procedures of receiving inspections, Inspection records, etc.>
		S ☐	Receiving inspections are performed, but there is no procedure manual. However, the ordered part numbers and part numbers of delivery slips are thoroughly collated.	
		P ☐	Receiving inspections are not properly performed.	
18 Site	<Process Management (RoHS Compliant Items)> Are RoHS compliant and non-compliant items clearly separated from each other without risk of mixing? (Material storage location)	G ☐	There is a method to visually identify RoHS compliant and non-compliant items and the material storage locations are clearly separated. Or, only RoHS compliant items are being used.	<RoHS non-compliant items, Separation / recognition methods, Checking materials used in products/semi-products, etc.>
		S ☐	Although the material storage locations are not clearly separated, they can be identified using some sort of method. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
		P ☐	There is no method to identify RoHS compliant and non-compliant items.	
Memo				

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
19 Site	<Process Management (RoHS Compliant Items)> Are the production lines clearly separated for RoHS compliant and non-compliant items? Is a method established to prevent mixing of finished and semi-finished items?	G ☐	The production line, equipment (making contact with the products), and the storage of semi-finished items are all clearly separated. Or, only RoHS compliant items are being used.	<Common lines between RoHS compliant and non-compliant items, Separation / recognition methods, etc.>
		S ☐	The production line cannot be separated. Or, although it is not separated and prohibited substances may possibly get mixed in, a suitable method is being used for identification and management. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
		P ☐	There is no method to identify RoHS compliant and non-compliant items.	
20 Site	<Process Management (RoHS Compliant Items)> If a production line is used for both RoHS compliant and non-compliant items, are procedure manuals established and implemented for cleaning equipment, molds, and tools when items are switched?	G ☐	Equipment is suitably managed and the cleaning after handling RoHS non-compliant items is appropriately implemented based on procedure manuals. Or, only RoHS compliant items are being used.	<Cleaning procedures, Posters, etc.>
		S ☐	Even though the cleaning is sufficiently performed, there are no procedure manuals.	
		P ☐	Procedures are not specified for cleaning the equipment used for both RoHS compliant and non-compliant items, and there is a possibility of contamination. The iron for hand soldering is used for both eutectic and lead-free solder.	
21 Document + Site	<Process Management (RoHS Compliant Items)> Do liquids which may possibly contain prohibited substances have any management on the amount of prohibited substances contained (such as plating solutions or solder dipping baths)?	G ☐	A management method on the amount of prohibited substances contained has been specified and is being adhered to. Or, such liquids are not used.	<Management procedures, Components analysis records, etc.>
		S ☐	A management method on the amount of prohibited substances contained is not sufficient or a method to control the concentration is not being adhered to. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
		P ☐	Not being managed.	
		N/A ☐	Liquids which may possibly contain prohibited substances are not being used.	
Memo				

Item		Evaluation (G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable)		Remarks (such as details and records of confirmed items)
22 Document + Site	<Process Management (RoHS Compliant Items)> Are cleaning solution tanks managed?	G ☐	They are managed according to procedure manuals clearly determining management methods.	<Management procedures, Possibility of mixing of RoHS compliant / non-compliant materials, etc.>
		S ☐	Measures to prevent mixing and contamination are taken at each production site.	
		P ☐	Not managed. Cleaning tanks for cleaning items after plating are not separated for RoHS compliant and non-compliant items.	
		N/A ☐	Cleaning solution tanks are not being used.	
23 Document + Site	<Process Management (RoHS Compliant Items)> Are materials used in products, secondary materials, tools used in production processes where prohibited substances may possibly get mixed in, and operational procedures made clear? Is there any system to prevent any prohibited substances from getting mixed in?	G ☐	Documentation related to operational procedures is prepared and there are methods to prevent errors with materials and tools or using only RoHS compliant items. Or, there is no process involving a risk of mixing-in of prohibited materials.	<Work procedures, QC process diagrams, Posters, etc.>
		S ☐	Documentation related to operational procedures is prepared, but there is a possibility that the operators may make errors with materials and tools. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
		P ☐	There is no documentation related to operational procedures and there are cases when the operations are performed using only drawings or by the memory and experience of the operator. ◆Select samples to perform component analysis as necessary and describe them in the list in P6.	
24 Document	<Documents> Is documentation being managed for materials (including alternatives and recycled materials) and secondary materials? (e.g. non-inclusion certificates and equivalent documents, traceability-related documents including work records and delivery slips)	G ☐	The storage of non-inclusion certificates for a minimum of 10 years and traceability records for the given period has been established and the documents are being properly managed.	<Documentation rules, Storage period of each document, Stored files, etc.>
		S ☐	Non-inclusion certificates are stored for a minimum of 10 years and traceability records are stored for the given period, but there are no administrative rules. Or, the administrative rules are insufficient.	
		P ☐	Documents are not being stored. Non-inclusion certificates are stored for a time period less than 10 years.	
25 Document	<Shipment> Is there a system (e.g. equipment) in-house to analyze components of prohibited substances before shipment?	G ☐	There is a system to analyze components before shipment.	<Analytical devices, such as EDX, etc.>
		S ☐	There is no system to analyze components.	
Memo				

<List of samples for sampling analysis (proposal)>

<How to use the table>

(1) When Shimadzu implements an audit on site: The audit team fills in the table under agreement with the audited company during the audit.
(2) When the audited company audits by itself: Fill in the table as a proposal when submitting the check sheet. The items will be adjusted as necessary.

Department that placed the order	Sample details			Qty	Reason for selection Precaution items Places for analysis, etc.
	Model name/Product No. ※For test pieces, fill in product P/N under identical manufacturing conditions. ※For semi-finished items, fill in product P/N and latest applied process.	(Only when applicable) Type of metal [SUS304, etc.] ※For surface treatment, fill in base metal.	Type of surface treatment [Chromate, Alumite, etc.]		

Comprehensive Evaluation Criteria List

<How to use the table>

(1) Check the evaluation result for each item (either G, S, P, or N/A).
(2) Among the items 1 through 23, find the item whose evaluation result is located nearest to the right end of the table. The comprehensive evaluation level corresponding to that item (A, B, C, D, or E, indicated at the top of the table) is the comprehensive evaluation for the supplier.

	Item	Comprehensive Evaluation Level					
		A ☐	**B** ☐	**C** ☐	**D** ☐	**E** ☐	N/A* ☐
1	<Organization> Are managers and the quality management system clarified?	G* ☐		S* ☐	P* ☐		
2	<Education> Are employees being educated in RoHS and chemical substance management?	G ☐	S ☐		P ☐		
3	<Implementation of Internal Audits> Are operational procedures and compliance with such procedures confirmed voluntarily through internal quality audits, QC patrols, etc.? (Is there any self-check system?)	G ☐	S ☐	P ☐			
4	<Response to Non-Compliance> Are the processes and procedures clarified when a non-compliance occurs? Is the creation of a record or a report to the outsourcer (Shimadzu) included in the procedures?	G ☐	S ☐	P ☐			
5	<Management of Changes> Are changes in 4M (man, machine, material, and method) managed?	G ☐	S ☐		P ☐		
6	<Subcontractor Management> Are second-tier subcontractors hired to outsource Shimadzu (RoHS compliant) products periodically audited (or evaluated) for their RoHS compliancy?	A ☐	B ☐	C ☐	D ☐	E ☐	N/A ☐
7	<Subcontractor Management> When a part of (or the entire) manufacturing process of RoHS compliant products is outsourced, has the subcontractor been properly instructed in the work process based on documents, such as Work procedures, Inspection standards, Drawings, Precaution items, etc.?	G ☐	S ☐		P ☐		N/A ☐
8	<Subcontractor Management> Are the products delivered from subcontractors checked to ensure that they satisfy the requirements through receiving inspections, etc.?	G ☐	S ☐		P ☐		N/A ☐
9	<Materials> Are all materials (used as a part of products) procured by the supplier that are used for RoHS compliant items clearly specified in the List of Materials Used? Are materials specified by the outsourcer (Shimadzu) procured?	G ☐		S ☐		P ☐	N/A ☐
10	<Materials> Are suppliers of the materials settled?	G ☐	S ☐		P ☐		N/A ☐
11	<Materials> Are alternatives (not instructed by a drawing sheet) being managed?	G ☐		S ☐	P ☐		N/A ☐
12	<Materials> When recycling materials in the company, are recycled materials being managed? (In particular, resin molds and cast metal)	G ☐		S ☐		P ☐	N/A ☐
13	<Materials> Can the relationships between the materials and the outsourcer (Shimadzu) product number be tracked?	G ☐	S ☐		P ☐		
14	<Secondary Materials*> Are the secondary materials used clarified in the List of Secondary Materials and can they be proved to be RoHS compliant?	G ☐	S ☐			P ☐	N/A ☐
15	<Secondary Materials> Are suppliers of the secondary materials settled?	G ☐	S ☐	P ☐			N/A ☐
16	<Secondary Materials> Are alternatives being managed?	G ☐	S ☐			P ☐	N/A ☐
17	<Receiving Inspection> When receiving members, are part names and other information confirmed for both supplied and self-procured items?	G ☐	S ☐		P ☐		
18	<Process Management (RoHS Compliant Items)> Are RoHS compliant and non-compliant items clearly separated from each other without risk of mixing? (Material storage location)	G ☐		S ☐		P ☐	
19	<Process Management (RoHS Compliant Items)> Are the production lines clearly separated for RoHS compliant and non- compliant items? Is a method established to prevent mixing of finished and semi-finished items?	G ☐		S ☐		P ☐	
20	<Process Management (RoHS Compliant Items)> If a production line is used for both RoHS compliant and non-compliant items, are procedure manuals established and implemented for cleaning equipment, molds, and tools when items are switched?	G ☐	S ☐			P ☐	
21	<Process Management (RoHS Compliant Items)> Do liquids which may possibly contain prohibited substances have any management on the amount of prohibited substances contained (such as plating solutions or solder dipping baths)?	G ☐		S ☐		P ☐	N/A ☐
22	<Process Management (RoHS Compliant Items)> Are cleaning solution tanks managed?	G ☐	S ☐			P ☐	N/A ☐
23	<Process Management (RoHS Compliant Items)> Are materials used in products, secondary materials, tools used in production processes where prohibited substances may possibly get mixed in, and operational procedures made clear? Is there any system to prevent any prohibited substances from getting mixed in?	G ☐	S ☐		P ☐		
24	<Documents> Is documentation being managed for materials (including alternatives and recycled materials) and secondary materials?	G ☐	S ☐	P ☐			
25	<Shipment> Is there a system (e.g. equipment) in-house to analyze components of prohibited substances before shipment?	G ☐	S ☐				

*Four-grade evaluation G: Good, S: Satisfactory, P: Poor, N/A: Not Applicable

Audit Results and Other Remarks

Note: Can be used for temporary written report during an audit or for recording matters pointed out during a voluntary audit.

Company to be audited: ____________	Audit date: ____________

Number of cases of non-compliance________, Number of items to be monitored________,
Improvement plan due date for non-compliance (YYYY/MM/DD): ____/____/____

Check sheet number / Sorting of items pointed out	Details pointed out, good points to be noted, etc.	Ideas for Improvements
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		
☐ Non-compliance ☐ Items to be monitored ☐ Other		

Memo