Self-assessment Sheet for the Guidelines for the Management of Chemicals in Products

Respondent information

Response date (yyyy/mm/dd)			
Supplier code			
Company name			
Organization name (e.g., division name, department name, or office name)			
Management operations for chemicals in products (environmental operations)	Department of the responsible person		
	Information on the responsible person	Title	
		Name	
		Phone number	
		E-mail	
Department in charge	Responding department		
	Information on the person in charge	Title	
		Name	
		Phone number	
		E-mail	

Preparatory questions

Questions about delivered products and details of the transactions

C1. Do you deliver parts or materials for currently mass-produced products?
- ☐ Yes — Specific examples (optional)
- ☐ No

C2. Do you deliver legacy spare parts or materials to support legacy models?
- ☐ Yes — Specific examples (optional)
- ☐ No

C3. Do you deliver prototype parts?
- ☐ Yes — Specific examples (optional)
- ☐ No

C4. Do you deliver plant facilities or secondary plant materials?
- ☐ Yes — Specific examples (optional)
- ☐ No

C5. Do you design and develop parts and materials?
- ☐ Yes — Specific examples (optional)
- ☐ No

C6. Do you deliver parts and materials as a trading company or distributor without actually manufacturing them?
- ☐ Yes — Specific examples (optional)
- ☐ No

Questions about your business

C7. Do your manufacturing processes include conversion processes listed in Table 4.2 in the Guidelines (manufacturing processes in which the composition of chemical substances changes due to oxidation reaction, reduction reaction, or other phenomenon or manufacturing processes in which the concentration of chemical substances changes due to condensation, evaporation, or other phenomenon)?
- ☐ Yes — Specific examples (optional)
- ☐ No

C8. Do your domestic and overseas subsidiaries and subcontractors perform production activities?
- ☐ Yes — Specific examples (optional)
- ☐ No

Basic questions about your management situation

C9. Do you use industry-standard communication tools (e.g., IMDS, JAPIA sheet, AIS sheet, or chemSHELPA) for chemicals in your products?
- ☐ Yes — Specific examples (optional)
- ☐ No

C10. Do you apply the latest versions of management criteria (such as the GADSL) for the tools you use mentioned in question C9?
- ☐ Yes — Specific examples (optional)
- ☐ No

C11. Do you use the latest version of customer management criteria (or the latest GADSL if the latest version of customer management criteria is not available)?
- ☐ Yes — Specific examples (optional)
- ☐ No

C12. Do you refer to the latest version of the customer-specified IMDS manual (or IMDS training manual if the IMDS manual is not available)?
- ☐ Yes — Specific examples (optional)
- ☐ No

1.	State of the organization and management system

	1.1.	Management system

		1.1.1.	Acquisition of management system certifications (acquisition of ISO14001 or other environmental certification (simplified EMS)) and operation of it

○ We have not acquired management system certifications.

○ We have acquired management system certifications but do not have a system for maintaining them.

○ We perform activities according to the certified system on an irregular basis.

○ We conduct internal audits on a regular basis to maintain certifications.

○ We conduct internal and external audits on a regular basis to maintain certifications.

2.	Basic policy and management framework

	2.1.	Basic policy on chemicals in products

		2.1.1.	Existence of policy on management of chemicals in products and dissemination in and outside the company (organization)

○ We do not have a policy on management of chemicals in products.

○ Although the department in charge of actual operations has a policy, that policy is not used throughout the company (organization).

○ We have established a company (organization) policy, disseminated it in the company (organization), and publicly announced it.

○ We review and update the policy on a regular basis and announce details in the company (organization).

○ We review and update the policy on a regular basis and announce details publicly as well as in the company (organization).

	2.2.	Management framework for chemicals in products

		2.2.1.	Existence and operation of a management framework for chemicals in products in the company (organization)

○ We do not have a management framework for chemicals in products in the company (organization).

○ We have a management framework for chemicals in products in the company (organization) but it has not been defined as provisions.

○ We have provisions for the management framework for chemicals in products in the company (organization) and perform relevant operations.

○ We reliably perform operations according to provisions. We also have and implement a system to review and revise the provisions on a regular basis.

○ We have and implement a system to evaluate and verify the actual management and operation of relevant operations in the company according to the latest provisions (e.g., upper-level organization that receives reports and internal audits).

	2.3.	Governance over domestic and overseas subsidiaries and subcontractors

		2.3.1.	Establishment and operation of a governance and management framework for domestic and overseas subsidiaries and subcontractors

○ We do not have a governance and management framework for domestic and overseas subsidiaries and subcontractors.

○ We do not have provisions for the management framework for domestic and overseas subsidiaries and subcontractors but have a mutually agreed-on framework.

○ We have provisions for the management framework for domestic and overseas subsidiaries and subcontractors and perform relevant operations.

○ We reliably perform operations according to the provisions. We also have and implement a system to review and revise the provisions on a regular basis.

○ We have and implement a system to evaluate and verify the actual management and operation of relevant operations in the company according to the latest provisions.

3.	Management of chemicals in products

	3.1.	Management criteria for chemicals in products

		3.1.1.	Existence of management criteria for chemicals in products (e.g., laws and regulations to be observed, restricted substances, and management methods)

○ We do not have management criteria for chemicals in products.

○ Although the department in charge of actual operations has criteria, they are not agreed on across the company (organization).

○ We have criteria agreed on across the company (organization) and have disseminated them in the company (organization) and publicly announced them.

○ We have disseminated criteria and made them known to all the internal and external related parties and review them on a regular basis.

○ We have verified that all the internal and external related parties perform activities according to the latest version of criteria.

	3.2.	Provisions for division of roles and work procedures to reliably manage chemicals in products

		3.2.1.	Existence of provisions for division of roles and work procedures to manage chemicals in products and their operation

○ We do not have rules for the division of roles and work procedures to perform operations according to the management framework for chemicals in products.

○ Division of roles and work procedures are clarified as rules agreed on among related departments and we perform operations according to the rules although we do not have provisions.

○ We have a council to verify how operations are performed according to the provisions for the role of the department in charge and work procedures and the management framework for chemicals in products.

○ We have a council to verify provisions and how operations are performed. We also have and implement a system to have council meetings on a regular basis to review and revise the provisions.

○ We have a council to verify provisions and how operations are performed. We also have and implement a system to have council meetings on a regular basis to evaluate and verify the actual operation.

	3.3.	Goals and action plan

		3.3.1.	Existence of goals according to the policy in question 2.1.1 and an action plan to achieve the goals as well as how operations are performed according to the plan

○ We do not have goals or an action plan to achieve them.

○ We have goals based on the policy but do not have an action plan to achieve them.

○ We have goals and an action plan to achieve them and implement the plan.

○ We promote operations according to goals and an action plan to achieve them. We also verify and review the implementation status.

○ We manage goals, an action plan to achieve them, and how operations are performed. We also report them to the upper-level organization and obtain approval.

	3.4.	System related to the management of chemicals in products by customers

		3.4.1.	Contact department for operations related to the management of chemicals in products (e.g., IMDS, criteria, and studies), maintenance of person-in-charge information, and how they are communicated to customers

○ We do not maintain our contact department and person-in-charge information. We do not communicate them to customers, either.

○ Maintenance of our contact department and person-in-charge information is clarified as rules agreed on among related departments and we communicate them to customers according to rules, although we do not have provisions.

○ We have provisions for communication of our contact department and person-in-charge information to customers and communicate them to customers.

○ We communicate changes in our contact department and person-in-charge information to customers according to provisions.

○ We communicate our contact department and person-in-charge information according to provisions. We also manage how they are communicated.

		3.4.2.	Compliance with customers' provisions for management of chemicals in products

○ We do not comply with customers' provisions for management of chemicals in products.

○ We individually comply with customers' provisions for management of chemicals in products but do not apply them to our provisions or criteria related to the management of chemicals in products.

○ We individually comply with customers' provisions for management of chemicals in products and apply them to our provisions or criteria related to the management of chemicals in products as needed.

○ We apply customers' provisions for management of chemicals in products to our provisions or criteria related to the management of chemicals in products at least once a year.

○ We apply customers' provisions for management of chemicals in products to our provisions or criteria related to the management of chemicals in products and verify compliance.

4.	Operation of management of chemicals in products

	4.1.	Management of chemicals in products during design and development

4.1.1. Existence of provisions for operations management and how operations are performed and managed according to the provisions
- ○ We do not have provisions for operations management.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

	4.2.	Management of chemicals in products at time of purchase and acceptance of parts and materials

4.2.1. Existence of provisions for acquisition and verification of information on chemicals in products from suppliers and how operations are performed according to the provisions
- ○ We do not have provisions to acquire and verify information on chemicals in products from suppliers.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We document the persons in charge of acquiring, verifying, and managing information on parts and materials to be managed and how to acquire, verify, and manage such information in provisions and perform operations according to provisions.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

4.2.2. Existence of provisions for management of chemicals in products at the first and routine acceptance of products and how operations are performed according to the provisions
- ○ We do not have provisions for the management of chemicals in products at the first and routine acceptance of products.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have documented a system to manage chemicals in products at the first and routine acceptance of products from suppliers in the provisions and perform operations according to provisions.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

	4.3.	Management of chemicals in products in manufacturing processes in the company

4.3.1. Existence of management provisions for management criteria in manufacturing processes and how operations are performed according to the provisions
- ○ We do not have provisions for management criteria in the manufacturing process.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

4.3.2. Existence of provisions for management of products associated with conversion processes (manufacturing processes in which the composition of chemical substances changes due to oxidation reaction, reduction reaction, or other phenomenon or manufacturing processes in which the concentration of chemical substances changes due to condensation, evaporation, or other phenomenon) and how operations are performed according to the provisions
- ○ We do not have provisions for management of products associated with conversion processes.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

4.3.3. Existence of provisions for operations management related to traceability and how operations are performed according to the provisions
- ○ We do not have provisions for operations management related to traceability.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

4.3.4. Existence of management criteria and provisions for changes in processes and materials and abnormalities in processes (including misuse and entry of foreign matter) and how operations are performed according to the provisions
- ○ We do not have provisions for management criteria on changes in processes and materials and abnormalities in processes (including misuse and entry of foreign matter).
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

	4.4.	Management of chemicals in products in the shipment process in the company

4.4.1. Existence of work procedures and provisions in the shipment process and how operations are performed according to the provisions
- ○ We do not have work procedures and management criteria in the shipment process.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

	4.5.	Management of suppliers

4.5.1. Existence and operation of a system to provide suppliers with management requirements for chemicals in products
- ○ We do not have a system to provide suppliers with management requirements for chemicals in products.
- ○ We do not have provisions but have a system agreed on among related departments and perform operations according to it.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to manage how operations are performed in the organization.

4.5.2. Existence of provisions for verification of suppliers' management framework for chemicals in products and how operations are performed according to the provisions
- ○ We do not have a system to verify suppliers' management framework for chemicals in products.
- ○ We do not have provisions but have a system agreed on among related departments and perform operations according to it.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We verify how all suppliers manage relevant chemicals on a regular basis according to provisions, secure evidence, conduct verification in which both organizations' top management is engaged, and perform improvement activities according to the situation.

4.1.

4.6. Points to be noted on management of chemicals in products in other processes in the company

4.6.1. Existence of procedures and rules in case of an abnormality or nonconforming product and how operations are performed according to the rules
- ○ We do not have action procedures and rules in case of an abnormality or nonconforming product.
- ○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to verify and evaluate the situation, report it to the upper-level organization, and manage it.

4.6.2. Existence of a system for recurrence prevention and lateral dissemination and how operations are performed
- ○ We do not have a system for recurrence prevention and lateral dissemination.
- ○ We do not have provisions but have a system agreed on among related departments and perform operations according to it.
- ○ We have provisions and perform activities according to them.
- ○ We perform operations according to provisions, have a system to maintain and review them, and always apply the latest rules to operations.
- ○ We perform all operations without omission according to the latest provisions. We also have and implement a system to verify and evaluate the situation, report it to the upper-level organization, and manage it.

5. Management of information and data on chemicals and operation of conformity check operations

5.1. Overall operation

5.1.1. Existence of provisions for the operation of data management and conformity check operations related to the management of chemicals in products in general and how operations are performed
- ○ We do not have a system for the operation of management of data on chemicals in products and conformity check operations in general.
- ○ We do not have provisions but have a system agreed on among related departments and perform operations according to it.
- ○ We have provisions and perform operations according to them.
- ○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.
- ○ We perform all operations without omission according to the provisions. We also have and implement a system to manage how operations are performed in the organization.

5.2. Acquisition of data from suppliers and verification of acquired data

5.2.1. Existence of rules for data exchange with suppliers (request for submission and acquisition) and how operations are performed according to the rules
- ○ We do not have rules for data exchange with suppliers (requests for submission and acquisition).
- ○ We have rules but have not yet performed operations according to them.
- ○ We have rules in line with the workflow in the organization and process acquired data on main suppliers and parts.
- ○ We have rules in line with the workflow in the organization and process acquired data on all suppliers and parts.
- ○ We have rules in line with the workflow in the organization, process all acquired data according to the rules, and manage evidence.

5.2.2. Existence of rules for conformity checks of data received from suppliers and actions in case of a nonconformity and how operations are performed according to the rules
- ○ We do not have rules for conformity checks of received data and actions in case of a nonconformity.
- ○ We have rules but have not yet performed operations according to them.
- ○ We have rules in line with the workflow in the organization and process main acquired data.
- ○ We have rules in line with the workflow in the organization and process all acquired data.
- ○ We have rules in line with the workflow in the organization, process all acquired data according to the rules, and manage evidence.

5.3. Creation of data on your own products

5.3.1. Existence of rules and a manual on the creation of data on your own products (to be submitted to customers) and how data is created according to them
- ○ We do not have rules and a manual on the creation of data on our own products (to be submitted to customers).
- ○ We have rules and a manual but have not yet performed operations according to them.
- ○ We have rules and a manual and process main data.
- ○ We have rules and a manual and process all data.
- ○ We have rules and a manual, process all acquired data according to them, and manage evidence.

5.3.2. Whether conversion processes in the manufacturing processes in the company are covered in created data and how data is created
- ○ We do not have rules and a manual to cover conversion processes in the manufacturing processes in the company in created data.
- ○ We have rules and a manual but have not yet performed operations according to them.
- ○ We have rules and a manual and process main created data.
- ○ We have rules and a manual and process all created data.
- ○ We have rules and a manual, process all data according to them, and manage evidence.

5.4. Submission of data to customers

5.4.1. Existence of rules for submission of data to customers and how data is submitted according to them
- ○ We do not have rules to verify that data to be submitted to customers is properly created.
- ○ We have rules but have not yet performed operations according to them.
- ○ We have rules and process data to be submitted to main customers.
- ○ We have rules and process data to be submitted to all customers.
- ○ We have rules, process all data according to them, and manage evidence.

5.4.2. Existence of a system to meet the submission deadline and whether data is submitted by the deadline
- ○ We do not have a system to meet the submission deadline.
- ○ We have a system to meet the submission deadline but cannot yet submit most data by the deadline.
- ○ We have a system to meet the submission deadline and submit main data by the deadline.
- ○ We have a system to meet the submission deadline and submit all data by the deadline.
- ○ We have a system in line with the workflow in the organization, process all data according to the system, and manage evidence.

5.4.3. Existence of a clear procedure if submitted data is rejected by customers and how the procedure is implemented
- ○ We do not have a manual on actions to be taken if submitted data is rejected by customers.
- ○ We do not have a manual but have determined rules and perform operations according to them.
- ○ We have a manual and process main data.
- ○ We have a manual and process all data.
- ○ We have a manual in line with the workflow in the organization, process all data according to the manual, and manage evidence.

	5.5. Data storage	
	5.5.1. <u>Existence of rules for storage of acquired data and how data is stored according to them</u>	
	○ We do not have rules for the storage of acquired data.	
	○ We do not have storage rules but store acquired data in a prescribed location.	
	○ We have rules for the storage of data acquired from suppliers in line with the workflow in the organization and process main acquired data.	
	○ We have rules for the storage of data acquired from suppliers in line with the workflow in the organization and process all acquired data.	
	○ We have rules in line with the workflow in the organization, process all data according to the rules, and manage evidence.	
	5.5.2. <u>Existence of rules for storage of data submitted to customers and how data is stored according to them</u>	
	○ We do not have rules for the storage of data submitted to customers.	
	○ We do not have storage rules but store submitted data in a prescribed location.	
	○ We have rules for the storage of data submitted to customers in line with the workflow in the organization and process main submitted data.	
	○ We have rules for the storage of data submitted to customers in line with the workflow in the organization and process all submitted data.	
	○ We have rules in line with the workflow in the organization, process all data according to the rules, and manage evidence.	
	5.6. Data update	
	5.6.1. <u>Existence of provisions for updating data (creation, submission, and storage) in case of changes in laws, regulations, or customer criteria and how data is handled according to the provisions</u>	
	○ We do not have rules for updating data (creation, submission, and storage) in case of changes in management criteria (laws and regulations and customer requirements).	
	○ We have provisions and rules for updating data submitted to customers but have not yet performed operations according to them.	
	○ We have provisions for updating stored (acquired or submitted) data and process main data.	
	○ We have provisions for updating stored (acquired or submitted) data and process all data.	
	○ We have provisions in line with the workflow in the organization, process all data according to the provisions, and manage evidence.	

6. Management of human resources as well as documents and information

6.1. Education and human resource development	
6.1.1. <u>Existence and operation of a system to maintain the sustainability of management operations for chemicals in products (ability requirements, passing on experience/knowledge, in-house education)</u>	
○ We do not have a system to maintain the sustainability of management operations for chemicals in products.	
○ We have a system agreed on among related departments and perform operations according to them.	
○ We have provisions, provide education and perform other activities on a regular basis (according to plan).	
○ We have provisions, provide education, perform other activities according to plan, and verify the understanding of attendees.	
○ We have provisions and perform activities with long-term vision to enhance and maintain operational competencies to manage chemicals in products.	
6.2. Management of documents (various information and records related to the management of chemicals in products)	
6.2.1. <u>Existence and management of provisions for records management (written procedures and manuals)</u>	
○ We do not have provisions for record management.	
○ We do not have provisions but have rules agreed on among related departments and perform operations according to them.	
○ We have provisions and perform operations according to them.	
○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.	
○ We perform all operations without omission according to the provisions. We also have and implement a system to manage how operations are performed in the organization.	
6.3. Evaluation and improvement of how education (6.1.1) and document management (6.2.1) are performed	
6.3.1. <u>Existence and operation of provisions for evaluation and improvement of the implementation status</u>	
○ We do not have provisions for evaluation and improvement of the implementation status.	
○ We do not have provisions but have a system and perform operations according to it.	
○ We have provisions and perform operations according to them.	
○ We perform operations according to provisions, have a system to maintain and review the provisions, and always apply the latest operational provisions to operations.	
○ We perform all operations without omission according to the provisions. We also have and implement a system to manage how operations are performed in the organization.	

<u>Free-form comment</u>

If you have requests or concerns regarding chemical substances management by you or us in general, please feel free to let us know using the space below.
*We may contact you depending on your comments.
If you have requests, opinions, or other comments on the JAMA and JAPIA Guidelines for the Management of Chemicals in Products or the self-assessment sheet, please feel free to let us know using the space below.