

**Canon Green Procurement Standards Ver.11
(Supplier Environmental Evaluation)**

Form Entry Procedure

Form Entry Procedure

(1) Outline

(1)-1 Objective

Canon asks suppliers to self-evaluate the activities to meet the Requirements of the Canon Green Procurement Standards and submit the evaluation results in the formats specified by Canon.

This Form Entry Procedure summarizes points to be kept in mind when suppliers enter the self-evaluation results in the specified formats and submit them. Please refer to this Procedure when filling in and submitting the formats.

(1)-2 How to obtain the formats specified by Canon

Required formats: “Self-Evaluation Sheet”, “Questionnaire on Current Situation” and “Action Item List & Check Sheet (Canon version)”

Please download the formats from the following URLs:

[English] <http://www.canon.com/procurement/green.html>

[Japanese] <http://web.canon.jp/procurement/green.html>

Note: if the contact of Canon operational site requests to fill-in “Supply Chain Management Survey” in addition to the above formats, please send your response as well as evidence documents if necessary.

(2) Self-Evaluation Sheet (Format 1)

Since a signature or seal is required, please submit this sheet in PDF format.

Entry example

Format 1	(a)	(b)	Canon Ver.X
Supplier Code : Z000		Supplier Company Name : Z Corporation	
Self-Evaluation Sheet			
We declare that the contents of the "Self-Evaluation Sheet," the "Questionnaire on Current Situation," and the "Action Item List & Check Sheet" are true and correct.			
Name of representative*1: Ichiro Suzuki	(c)	Seal/signature	
Date: (month: January day: 8 year: 20XX)			
Supplier Company Name	English*4	Z Corporation	(d)
	Local language	Z Corporation	
Name of evaluated company*2	English*4	Z Corporation	(e)
	Local language	Z Corporation	
Name of evaluated site*3	English*4	B factory	(f)
	Local language	B factory	
Address of evaluated site	English*4	XXXXXXXXXXXXXXXXXXXXXXX	
	Local language	XXXXXXXXXXXXXXXXXXXXXXX	
<p>*1: "Name of site representative": The president, executive in charge, operating officer, representative of the site, or environmental management representative appointed by top management is asked to sign or put his/her seal on this document.</p> <p>*2: Fill in the name of the company subject to a "supplier environmental evaluation".</p> <p>*3: Fill in the name of the site to be evaluated. When only part of the site is subject to self-evaluation, describe the scope of limitation.</p> <p>*4: Be sure to enter all items marked "English".</p>			
Respondent			
Section name	D Department C Division		
Title	Manager		
Name	Jiro Yamamoto		
TEL	03-XXXX-XXXX		
E-mail	xxx.xxx@xxx.co.jp		

- (a) In "Supplier Code", please enter the code assigned by Canon; please be sure to enter the code on all pages.
- (b) Please enter the official name.
- (c) Please put your signature or seal.
- (d) Please enter the date of filling in this sheet.
- (e) If this name is the same as above, you can also write "Same as above" in these fields.
- (f) If the scope of the self-evaluation result is limited to a part of the premises, please describe the area specifically.
Example: building, floor, production line

Entry example

Format 1	(a)	(b)	Ver.X																
Supplier Code : <u>Z000</u>		Supplier Company Name : <u>Z Corporation</u>																	
<p>[Privacy Policy]</p> <p>Canon will handle personal information provided to us, as described below Please enter your personal information only when you consent to the following:</p> <ul style="list-style-type: none"> - Your personal information will be used only within the scope necessary for making inquiries about data entered on this sheet. - Your personal information may be shared with other Canon group companies for the purpose stated above. Refer to http://www.canon.com/corp/ for a list of the Canon group companies. Canon Inc. bears responsibility for the management of shared information. Your personal information will not be provided to third parties outside the Canon group without your consent, unless otherwise required by law. - Your personal information will be handled with utmost security. - Send inquiries to the address below if you wish to disclose, correct, or delete your personal information or if you have any questions regarding personal information. <p><Contact> Operational site of Canon <Division responsible for personal information management> Technology Procurement Promotion Div, Global Procurement Administration Center, Global Procurement Headquarters, Canon Inc. e-mail mailto:sup-green-procurement@list.canon.co.jp</p>																			
Check the appropriate box(es) concerning third-party environmental certification (ISO14001, EMAS, or other third-party environmental certification body), and fill in the date of renewal (or certification).																			
(g)	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center; padding: 2px;">Certification by third-party certification body</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;"><input checked="" type="checkbox"/> Certified by ISO14001 or EMAS</td> <td style="padding: 2px;">(Date of the latest renewal: month: April year: 20XX)</td> </tr> <tr> <td style="padding: 2px;"><input type="checkbox"/> Acquisition of a certification planned</td> <td style="padding: 2px;">(Planned date: month: year:)</td> </tr> <tr> <td colspan="2" style="padding: 2px;"><input type="checkbox"/> No acquisition plan</td> </tr> <tr> <td style="padding: 2px;"><input type="checkbox"/> Certified by another third-party environmental certification body</td> <td style="padding: 2px;">(Date of the latest renewal: month: year:)</td> </tr> <tr> <td style="padding: 2px;"></td> <td style="padding: 2px;">(Name of certification:)</td> </tr> <tr> <td style="padding: 2px;"><input type="checkbox"/> Certified by another company's environmental certification program</td> <td style="padding: 2px;">(Date of the latest renewal: month: year:)</td> </tr> <tr> <td style="padding: 2px;"></td> <td style="padding: 2px;">(Name of certification:)</td> </tr> </tbody> </table>			Certification by third-party certification body		<input checked="" type="checkbox"/> Certified by ISO14001 or EMAS	(Date of the latest renewal: month: April year: 20XX)	<input type="checkbox"/> Acquisition of a certification planned	(Planned date: month: year:)	<input type="checkbox"/> No acquisition plan		<input type="checkbox"/> Certified by another third-party environmental certification body	(Date of the latest renewal: month: year:)		(Name of certification:)	<input type="checkbox"/> Certified by another company's environmental certification program	(Date of the latest renewal: month: year:)		(Name of certification:)
Certification by third-party certification body																			
<input checked="" type="checkbox"/> Certified by ISO14001 or EMAS	(Date of the latest renewal: month: April year: 20XX)																		
<input type="checkbox"/> Acquisition of a certification planned	(Planned date: month: year:)																		
<input type="checkbox"/> No acquisition plan																			
<input type="checkbox"/> Certified by another third-party environmental certification body	(Date of the latest renewal: month: year:)																		
	(Name of certification:)																		
<input type="checkbox"/> Certified by another company's environmental certification program	(Date of the latest renewal: month: year:)																		
	(Name of certification:)																		

- (g) “Certified by another third-party environmental certification body”: This means certification such as “Eco Action 21” and “BS8555.”
 “Certified by another company's environmental program”: Please write the name of the certifying company in “Name of certification.”

Entry example

Format 1

(a)

Supplier Code : Z000

(b)

Supplier Company Name : Z Corporation

Canon Ver.X

(h)

Requirement	Judgment	No.
II. Operation of an Environmental Management System The following activities are conducted and their records kept, in accordance with the responsibilities and procedures defined in "I. Construction of an Environmental Management System" on the preceding page.		
environmental management	YES	10
g for or on behalf of	---	---
business activities	YES	11
and regulations and	YES	12
impact substances	YES	13
nt pollution of soil	YES	14
o reduce investigation results of	YES	15
(s) of the	YES	16
chieving the targets. ary for achieving the	YES	17
me(s), attainment of e environmental evaluation results to	YES	18
management, check is related to gal requirements, and cy" and "2.2 me(s)".	YES	19

Format 1

(a)

Supplier Code : Z000

(b)

Supplier Company Name : Z Corporation

Canon Ver.X

(h)

- Regarding "Requirements Related to Business Activities" and "Requirements Related to Parts and Materials," check if each requirement is fulfilled. In the "Judgment" column, enter "Yes" if a requirement is fulfilled, and "No." if not.
- Documents, rules or other materials describing specific details of system implementation may be submitted as evidence. At this time, indicate on each material the number given in the relevant No. column, and attach the materials to the Self-Evaluation Sheet.
- Submit this Self-Evaluation Sheet with the "Questionnaire on Current Situation" (Format 2) and the "Action Item List & Check Sheet (Canon version)".

(1) Requirements Related to Business Activities

A: Requirements Related to an Environmental Management System for Business Activities

Requirement	Judgment	No.
I. Construction of an Environmental Management System The responsibilities and procedures for conducting the following have been defined and documented		
1. Policy	YES	1
2. Planning	---	---
2.1 Environmental aspect (investigations of the current situation)	YES	2
	YES	3
	YES	4
	YES	5
2.2 Establishment targets and programme(s)	YES	6
3. Operational Control	YES	7
4. Performance evaluation and improvement	YES	8
5. Management Review	YES	9

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Z Corporation

(h)

Requirement	Judgment	No.
ment-related laws and applicable legal	YES	19
es" defined in the "List Substances" ss of development, aterials delivered to	YES	20
te of the "Prohibited e list is used, enter l. llution of soil and al substances and no t necessary" in the	YES	21

- (h) The "Canon Green Procurement Standards" describes "Requirements Related to Business Activities" and "Requirements Related to Parts and Materials." Please check whether your company meets each of these requirements.
When each requirement is satisfied, please enter "Yes" in the Judgment column. If not, please enter "No."

Entry example

(2) Requirements Related to Parts and Materials

C: Requirements related to the Management of Chemical Substances in Products (i)

Requirement	Judgment	No.
The responsibilities and procedures for conducting activities have been defined and documented, in line with the Action Item List of the "Guidelines for the Management of Chemical Substances in Products" issued by the Japan Green Procurement Survey Standardization Initiative (JGPSSI). Activities are conducted according to the established procedures.	YES	---

* Documents, rules or other materials describing specific details of system implementation may be submitted as evidence. At this time, indicate on each material the relevant action item No. given in the "Action Item List & Check Sheet," and attach the materials to the Self-Evaluation Sheet.

Format 1 (a) (b) Canon Ver.X

Supplier Code : **Z000** Supplier Company Name : **Z Corporation**

D: Requirements Related to Performance of Parts and Materials (j)

Requirement	Judgment	No.
1. Management of product environmental impact substances	---	---
1.1 Prohibited substances	YES	---

* Separate surveys will be conducted individually to obtain information on product environmental impact substances in each part or material.

- (i) For the details about "C: Requirements related to the Management of Chemical Substances in Products," please refer to page 9 of the Canon Green Procurement Standards.
Please perform a self-evaluation based on the "List of Action Items & Check Sheet (Ver.3.00)."
When the evaluation result is "Passed," please enter "YES" in the Judgment column. If the result is "Failed," please enter "NO."
For the details about action items and conformance standards, please refer to the JGPSSI Guidelines for the Management of Chemical Substances in Products.
- (j) Please perform a self-evaluation regarding parts and materials delivered to Canon and confirm no use of "2A/3A Prohibited Substances" stipulated in the "List of Product Environmental Impact Substances" (Attachment 2 of Canon Green Procurement Standards) in these parts and materials.
"Yes": None of the prohibited substances is contained.
"No": Prohibited substances are contained.
Please enter "No" if "prohibited substances" are contained in service parts for old products according to instructions given by Canon.

(3) Questionnaire on Current Situation (Format 2)

(3)-1 Environmental Impact of Business Activities

Entry example

Format 2	(a)	(b)	Canon	Ver.X
Supplier Code : Z000		Supplier Company Name : Z Corporation		
Questionnaire on Current Situation				
(c)	Name of evaluated company		Z Corporation	
	Name of evaluated site		B factory	
1. Environmental Impact of Business Activities				
(1) Enter environmental impact caused by the business activities of the supplier (site).				
(d)	Environmental impact		Quantity/period (Arbitrary units may be used.)	
	Energy		Electricity : 10,460 MWh (in 20XX)	
	Chemical substances		Controlled Substances: 18,665 kg (in 20XX)	
	Water		Supply water : 33,000 m3 (in 20XX)	
	Waste		500 t (in 20XX)	
	Others ()			
(e)	(2) Check the appropriate box that describes your management system related to CO ₂ emissions reduction.			
	<input checked="" type="checkbox"/> A system is established and operated to periodically aggregate CO ₂ emissions. <input type="checkbox"/> No system is established and operated to periodically aggregate CO ₂ emissions.			
(f)	(3) Check the appropriate box that describes your activities related to CO ₂ emissions reduction.			
	<input checked="" type="checkbox"/> A CO ₂ emissions target is set, and activities are carried out to reduce CO ₂ emissions. <input type="checkbox"/> There is no CO ₂ emissions target, and no activities are carried out to reduce CO ₂ emissions.			

(a) In “Supplier Code” please enter the code assigned by Canon; please be sure to enter the code on all pages.

(b) Please enter the official name.

(c) Please enter the official name.

(d) Based on the results of the examination and identification of the environmental impact of business activities in “2.1 Environmental Aspect”, please describe the annual used amount of each environmental impact substance that is subject to control at the site.

[Example]

Energy : Please enter the annual usage of electricity, gas, petroleum, etc.

Chemical substances : “Production Environmental Impact Substances” (“Canon Green Procurement Standards” Attachment 1) are also included in the subject. Please enter the amount discharged or used.

Water : Industrial water (supply water, groundwater, river water)

Waste : Industrial waste, Special industrial waste

Others : In the case that environmental impact is caused by items other than the above, please specify them.

If concrete information is included in your company’s Sustainability Report, CSR Report, Environmental Report or web site, you can also refer to the material (e.g. See the web site). In such a case, please attach the report or write the URL.

(e) Please check the upper box if your company has established and is operating a mechanism to keep track of CO₂ emissions related to materials and part manufacturing. Please check the lower box in other cases.

- (f) Please check the upper box if your company has set a target for the reduction of CO₂ emissions related to materials and parts manufacturing and is conducting actions for the reduction. Please check the lower box in other cases.

(3)-2 Environment-related laws and regulations

Entry example

2. Environment-related laws and regulations *1


(1) Check whether or not your site (plant) is relevant to environment-related laws and regulations.

*1: Refer to laws and regulations, municipal bylaws and agreements related to the surroundings in which an organization operates, including air, water, soil, natural resources, and people and their interrelations.

Relevant to one or more environment-related laws & regulations
 No relevant environment- related laws & regulations

(2) When there are relevant environmental laws and regulations, list the names of major laws/regulations, requirements, and state of compliance, and reasons for judging compliance (when more space is needed, make a list on a separate sheet and attach it to this form).

Air	<input checked="" type="checkbox"/> applicable	<input type="checkbox"/> Not applicable
(g) Name of laws & regulations	Air pollution Control Law	
Requirement	Appointment and notification of personnel, notification of facilities, compliance with regulatory standards, reports of periodic measurements	
Compliance	Compliance with Air pollution Control Law	
(h) Reason for judging compliance	Attachment "No.19"	

 Ver.X

Water	<input checked="" type="checkbox"/> applicable	<input type="checkbox"/> Not applicable
(g) Name of laws & regulations	Water Pollution Prevention Law	
Requirement	Appointment and notification of personnel, notification of facilities, compliance with regulatory standards, reports of periodic measurements	
Compliance	Compliance with Water Pollution Prevention Law	
(h) Reason for judging compliance	Attachment "No.19"	
Waste	<input checked="" type="checkbox"/> applicable	<input type="checkbox"/> Not applicable
(g) Name of laws & regulations	Waste Management Law	
Requirement	Waste discharge control, consignment of waste disposal	
Compliance	Compliance with Waste Management Law	
(h) Reason for judging compliance	Attachment "No.19"	
Other laws and regulations		
Name of laws & regulations	Energy Saving Law	
Requirement	appointment and notification of personnel, reports of periodic measurements	
Compliance	Compliance with Energy Saving Law	
Name of laws & regulations	PRTR	
Requirement	Notification of Object Substance	
Compliance	Compliance with PRTR	
Name of laws & regulations	Fire Protection Law	
Requirement	Hazardous material management, permission and authorization, notification	
Compliance	Compliance	

(3) If a public institution ordered the person responsible for an improvement or imposed a penalty regarding environmental applicable requirements, describe the details.

Order for making improvement/penalty	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
Details of order/penalty		
Date of order	Month: _____	year: _____
Status of improvement	<input type="checkbox"/> Already improved <input type="checkbox"/> Making improvement	

- (g) Please enter the names of the laws and regulations identified in the “2.1 Environmental Aspect”, their requirements, and your compliance status with them. Although the requirements vary depending on laws and regulations, they may include “allocation, appointment and notification of personnel”, “permission and authorization, change and notification of facilities”, “compliance with regulatory standards”, “reports of regular measurements, and reports of accidents”.
- (h) Please enter the reason for your judgment on the compliance with the regulatory standards of air and water quality, and the reason for your judgment on appropriate waste disposal. Alternatively, please attach the document that shows the confirmation method to the Questionnaire on Current Situation. (Please write the number “19” on the attached document.)

The attachment No. “19” is the number for the document that proves the status of compliance with requirements related to the business activities of the Self-Evaluation Sheet (Format 1)”.

- Air and water quality : Please enter the reason for your judgment on the compliance with regulatory standards, by choosing any method of the following 1) to 4), including the confirmation method, frequency and results.

You may be requested to submit the measurement results.

If no regulatory standard is applied to your activities, please enter “Not applicable”.

- Waste : Please enter the reason for your judgment that waste disposer commissioned to treat your waste disposes of the waste properly, by choosing any method of the following 1) to 3), including the confirmation method, frequency and results.

The judgment based on;

- 1) Monitoring and measurement
- 2) Compliance with regulatory standards as the result checked in the internal audit
- 3) Record as management review results
- 4) Measurement results of analysis (for air and water quality only)

Entry example of “Reason for the Judgment as Compliant” (Correspond to Attachment “No.19”)

- 1) When the judgment is based on monitoring and measurement results
Please enter the reason for judging that the monitoring and measurement results comply with the regulatory standards (or please attach the document).

Entry example in the case that the compliance with regulatory standards, etc. is confirmed by monitoring and measuring

The following is prescribed by the Environmental Measurement Procedure (Procedure No. ZES-012) as internal rule.

[Air and Water Quality]

- “List of values of regulatory standards” which contains the values and measurement frequencies set by laws, regulations, regional agreements and the company should be kept up-to-date concerning air and discharged water.

- Measurement shall be carried out based on the “List of values of regulatory standards” and the compliance of the measurement results with the regulatory standards shall be confirmed.

[Waste]

- “Waste Control List” which contains authorized items for waste disposer, the scope of the commission agreement and the expiry date of the permit shall be kept up-to-date.

- When an industrial waste control slip (manifest) is issued, it shall be checked that the waste disposed is within the scope of the commission agreement with the waste disposer based on the “Waste Control List”.

Results of monitoring and measurement in 20XX

- According to the results of monitoring and measuring of the treatments of air, discharged water and waste from January to December 20XX based on the “List of values of regulatory standards” and “Waste Control List”, the emissions had been lower than the regulatory standards, and the waste had been properly treated.

- 2) When the judgment is based on the internal audit results
Please enter items covered by the internal audit and audit results (records) (or please attach the document).

Entry example in the case that the compliance with the regulatory standards, etc. is audited in an internal audit

The following is prescribed by the Internal Audit Procedure (Procedure No. ZES-016).

- Environmental Management Division (a division that is in charge of monitoring and measuring air, discharged water, and waste) shall conduct an internal audit at least once a year.
- Audit standards shall include checking the laws and regulations applied (laws, regional regulations and agreements, etc.)
- Items concerning the compliance with laws and regulations in the Internal Audit Check List shall include items related to keeping track of laws and regulations, keeping track of regulatory standards, and evaluation of the compliance with regulatory standards.

Results of Internal Audit in Fiscal 20XX

- Environmental Management Division conducted an internal audit on September 6th - 9th, 20XX based on the Internal Audit Procedures.
- With regard to the items related to the compliance with laws and regulations, compliance with regulatory standards was audited including air and discharged water, and no regulatory infringement was found.
- With regard to the items related to the compliance with laws and regulations, the waste was properly treated in accordance with laws and regulations, and no infringement was found.

- 3) When the judgment is based on record of Management Review result
Please enter items decided based on the input items of Management Review (or please attach the document).

Entry example of Management Review Record

Results of Management Review for Fiscal 20XX

- Review Date: December 17, 20XX
- Input items included the compliance with laws and corrective and preventive actions, and no infringement of laws and regulations including regulatory standards was found as a result of compliance evaluation and internal audit. In addition, the compliance evaluation and internal audit confirmed the compliance with notification, regulatory standards and report specified in laws and regulations.

- 4) When the judgment is based on the results of analysis (measurement) (for air and water quality only)
For the analysis results, please attach either the analysis measurement result (report) by the government or the analysis measurement result (measurement certificate) issued by an officially authorized measuring institute (analysis certificate provider).
However, if compliance with laws was confirmed using “China Water Pollution Map” data, write down the date of confirmation; it is not necessary to attach the water quality measurement results.

In the case that the result analyzed (measured) by the government (report) is attached


- Attach all the reports since the last self-evaluation requested by Canon.
e.g. If the last self-evaluation was in March 2009, all reports since March 2009 shall be attached.

In the case that the result analyzed (measured) (e.g. analysis certificate) issued by officially-authorized measuring institute (analysis certificate provider) is attached

- Attach the latest analysis result.
- Attach the document showing the regulatory standards for the supplier to comply with.
e.g. List of values of regulatory standards

(3)-3 Production Environmental Impact Substances**Entry example**

Format 2

 Ver.X

3. Production environmental impact substances

(1) Check whether production environmental impact substances defined in the "List of Production Environmental Impact Substances" (Attachment 1) are used during the development, production, or sales of parts and materials delivered to Canon.
When use of the above substances is tracked and recorded, attach to the "Questionnaire on Current Situation" materials with which Canon can verify the fact. (Indicate No. 13 on the attached materials.)

(i) Types, purposes, and used quantities of production environmental impact substances are tracked and recorded.
 Types, purposes, and used quantities of production environmental impact substances are neither tracked nor recorded.
 No production environmental impact substances are used.

(2) Check whether the prohibited substances defined in the "List of Production Environmental Impact Substances" (Attachment 1) are used.

(i) Used, with an elimination plan
 Used, without any elimination plan
 Not used

(3) When "1A Prohibited substances" defined in the list (2) shown in the above-figure are used, enter the use condition in the following table. When more space is needed, make a list on a separate sheet and attach it to this form

Name of substance	Amount used kg/year	Purposes of use	Availability of elimination plan	Elimination by (month / year)
			<input type="checkbox"/> Yes / <input type="checkbox"/> No	/
			<input type="checkbox"/> Yes / <input type="checkbox"/> No	/
			<input type="checkbox"/> Yes / <input type="checkbox"/> No	/

- (i) Please check the applicable box based on the result of the survey on Production Environmental Impact Substances in the "2.1 Environmental Aspect".

(3)-4 Preventive measures against pollution of soil and groundwater**Entry example**

4. Preventive measures against pollution of soil and groundwater *2

(1) Check the status of preventive measures taken against pollution of soil and groundwater by chemical substances.
*2: Refer to measures taken to prevent underground seepage of chemical substances. Specific examples are installing spill trays, linings, fluid-proof dikes, waste cloth and spill mats in places where chemical substances are stored or used, and conducting inspections of such facilities, usage locations, and storage locations.
Chemical substances concerned are the production environmental impact substances defined in the "List of Production Environmental Impact Substances" (Attachment 1) as well as other chemical substances in liquid form that may seep underground (e.g., kerosene, heavy oil, machine hydraulic oil).

(j) Measures taken
 No measures taken
 No measures needed, no chemical substances used in process

(2) Describe the preventive measures, if taken, in the space below.

Installed the lining application and pan for leak prevention at storage areas of chemicals and waste.
Conducting periodical check for storage areas for chemicals and waste, etc.

- (j) Please check the applicable box regarding the measures for prevention of the pollution of soil and groundwater surveyed in the "2.1 Environmental Aspect".

(3)-5 Dealing of your company's primary suppliers (operational sites engaged in the development, production, and sales of parts & materials delivered to Canon)

Item related to dealing with your company's primary suppliers.

(k)

(4) Check the use of the China Water Pollution Map (by the Institute of Public and Environmental Affairs, a representative NGO of China) when verifying the observation of exhaust water control standards at the sites and plants of the primary suppliers of your company in the Chinese area.
*For the Institute of Public and Environmental Affairs, visit:
<http://www.ipe.org.cn/pollution/index.aspx> Register for browsing.

We use the data of the China Water Pollution Map
 We do not use the data of the China Water Pollution Map
 *If not using the data, verify observation by other methods.
 Any primary supplier of your company is not in the Chinese area

(5) If a public institution ordered a primary supplier of your company to take measures necessary for making improvements or imposed a penalty regarding environment-related laws and regulations and other applicable requirements relevant to the primary supplier, describe the name of the supplier and the details.

+

Does your company request the primary suppliers of your company to notify you when any site in the supply chain receives orders from public institutions to make improvements or receives penalties from such institutions?

Yes No (we do not request some primary suppliers)

Order for making improvement/penalty	<input type="checkbox"/> No <input type="checkbox"/> Yes Inclusion in the data of the China Water Pollution Map means that the supplier received an improvement order.
Included in the data of China Water Pollution Map	<input type="checkbox"/> No <input type="checkbox"/> Yes
Name of supplier	<input type="text"/>
Details of order/penalty	<input type="text"/>
Date of order	month: <input type="text"/> year: <input type="text"/>
Status of improvement	<input type="checkbox"/> Already improved <input type="checkbox"/> Making improvement <input type="checkbox"/> No action taken yet (<input type="text"/>)

(l)

(k) Explanation

5-④ is an item that is related to the method for confirming compliance with regulatory standards for effluents applicable to business sites and factories of all of your primary suppliers located in China. When confirming the above contents, respond as to whether “China Water Pollution Map” data, which is a list (database) of companies in violation provided by the Institute of Public and Environmental Affairs, which is an environmental NGO representative of China, was used.

Response method

In the questionnaire above, check the box for the first option if “China Water Pollution Map” data is used, and the second option if this data is not used. In addition, if none of your primary suppliers’ work sites or factories are located in China, check the box for the third option.

=>URL for “China Water Pollution Map”

(Currently, although it is stated on the survey form that “browsing will become possible after registration,” it is possible to browse the database even if not registered.)

URL => <http://www.ipe.org.cn/pollution/index.aspx>

Canon recommends the use of “China Water Pollution Map” data, which is a list (database) of companies in violation provided by the Institute of Public and Environmental Affairs.

If the abovementioned data is not used, please be sure to confirm compliance with regulatory standards for effluent using a different method.

(l) In 5-④, if you answer that “China Water Pollution Map” data is used, and there is even one company that is listed in the Pollution Map data, check the box for “Yes”, and write down the name of the corresponding supplier, the contents of the order for improvement/penalty, the date of the occurrence, and the state of improvements.

If no suppliers are listed in the Map data, it can be judged that they are not in violation; check the box for “No”.

It is not necessary to answer this question if you have checked the box for “China Water Pollution Map’ data was not used” or “None of my primary suppliers’ business sites or factories are located in China” in 5-④.

Method for using “China Water Pollution map”

Although an English version and Chinese version are available, explanations will be made here using the English version.

- (1) Access the IPE (Institute of Public and Environmental Affairs) homepage.

URL => <http://www.ipe.org.cn/pollution/index.aspx>

(IPE homepage)

The screenshot shows the IPE website's 'China Solid Waste Pollution Map' interface. The main content area displays a map of China with provinces labeled. Below the map, there are two tables:

Regional Air Quality Rankings			Regional Pollutant Discharge Rankings		
No.	Year	Location	No.	Year	Location
1	2012	Urumqi	1	2011	Jiangsu
2	2012	Panchthua	2	2011	Shandong
3	2012	Jining	3	2011	Zhejiang
4	2012	Baotou	4	2011	Guangdong
5	2012	Wafang	5	2011	Fujian

The right sidebar includes search filters for 'Enter Company Name', '[National] Corporate Supervision Records Discharge Data', '[National] Environmental Quality', and '[National] Emissions'. It also has a 'Current Area: National' dropdown menu with a list of provinces and regions.

- (2) Select “Corporate Environmental Performance” from the “Pollution Map” pull-down tab to display the “Pollution Map”.

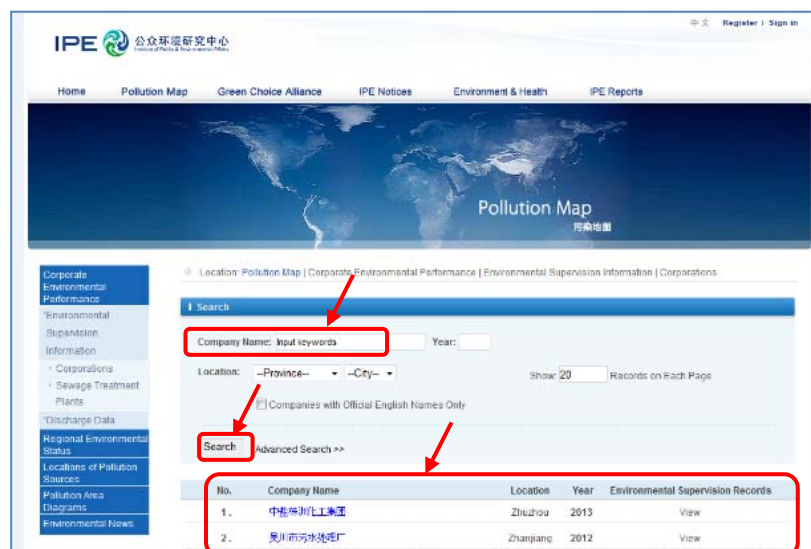
(IPE homepage)

The screenshot shows the IPE website's 'China Water Pollution Map' interface. The 'Pollution Map' tab is highlighted in red, and a dropdown menu is open showing 'Corporate Environmental Performance' as the selected option. The map below shows China with provinces labeled.

- (3) In the “Company Name” field in the “Pollution Map” window, enter the name of a company (English or Chinese name) and press the “Search” button to search.

If the company is in violation, its name will be displayed in the list.
Click on the company name to display details regarding the violation.

(Pollution Map page)

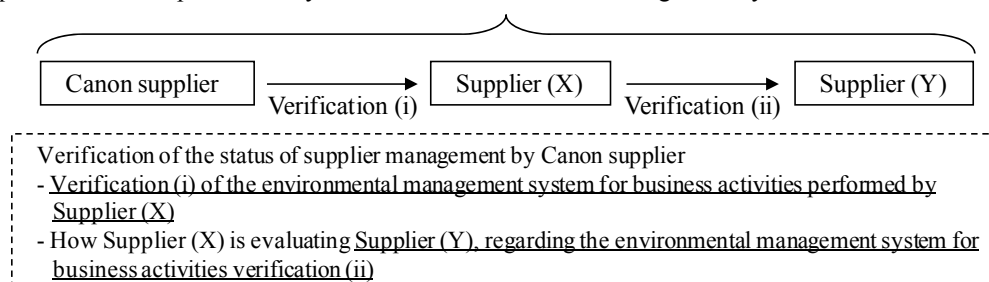


(3)-6 Management throughout the supply chain (operational sites engaged in the development, production, and sales of parts & materials delivered to Canon)

Item related to approaches throughout your company’s supply chain.

Refer to the diagram below regarding the state of approaches through the supply chain. This diagram shows confirmations of implementation and operation of the environmental management system through the supply chain; however, the same applies to confirmation of performance.

Implementation & operation of system for the environmental management system for business activities



(4) List of Action Items & Check Sheet (Ver.3.00)

(4)-1 Cover Sheet

Cover sheet will not be used; therefore, cover sheet is deleted from the check sheet which Canon group distributes.

(4)-2 Definitions of Terms

1) Chemical substance

A chemical element or compound that either exists in nature or is obtained through a manufacturing process.

Note 1: Example: lead oxide, nickel chloride, benzene, etc.

Note 2: Sorting by CAS number is more efficient when processing a large volume of data, however, attention is required since CAS numbers and chemical substances do not always directly correspond. In some cases, the relationship may be one-to-many, many-to-one, or more rarely, many to many. "Chemical substances", in some cases do not have a CAS number and therefore, rules for CAS use are necessary among users.

2) Mixture

A mixture intentionally comprising two or more chemical substances

Note 1: Examples are paints, inks, alloy ingot, solder, resin pellets, etc.

Note 2: The term "preparation" was used in Guidelines for the management of chemical substances in products, Ver.2. It is revised to "mixture" herein to correspond to JIS Z 7201. The definition of the term remains unchanged.

3) Article

An item of specific shape, appearance or design created during manufacture which substantially determines functions in final use rather than functions provided by its chemical composition.

Note: Examples of articles are metal plates, gears, integrated circuits, electric appliances, transport equipment, etc.

(4)-3 Guide for Filling Out Management of Chemical Substances in Products Action Item List & Check Sheet Version 3.

Entry example

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

<Canon points for confirmation Ver.01> *1

*1: The Check Sheet can be edited by adding questions to the question file (the field set by the evaluator) or attaching another sheet in accordance with "3. Rules for using List of Action Items and Check Sheet". The title can be entered in this field if the Check Sheet is edited

(a)

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

(d)

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

(e)

[Final judgment]	
[Comment]	

(f)

[Evaluation Result]								
Question Flag	No. of Questions	by Self-Evaluating organization			by Evaluation-Result Verifying organization			
		Confirmation	Partial confirmation	non-confirmation / non-applicable	Confirmation	Partial confirmation	non-confirmation / non-applicable	
Step1	64	0	0	0	0	0	0	0
Step2	28	0	0	0	0	0	0	0
Total	92	0	0	0	0	0	0	0

(g)

[Evaluation Results: Questions set by Evaluator]							
Question Flag	No. of question	Confirmation	Partial confirmation	non-confirmation / non-applicable	Confirmation	Partial confirmation	non-confirmation / non-applicable
Questions set by Evaluator	0	0	0	0	0	0	0
Evaluation result score (no. of applicable)		0%	0%	0%	-	0%	0%

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

(Description of Terms)

Action Item	For appropriate and effective management of chemical substances in products, specific requirements are stated herein based on JIS Z 7201:2012 "Management of Chemical Substances in Products - Principles and Guidelines" which includes 20 items that are from "Representation of the management policy of chemical substances in products" to "Evaluation and improvement of the implementation status". But, items (articles) that are "4.1 Management of chemical substances in general", "4.3 Planning", "4.4 Operation and management in general", "4.4.3 Management of chemical substances in products at purchasing", "4.4.4 Management of chemical substances in products for manufacturing process" and "4.5 Management of human resources, document and information" are only titles without specific action details. Therefore, no questions are given under those articles.
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(a) Fill in all items.

Entry example

Action Items (extract from Guidelines for the Management of Chemical Substances in Products, Ver.3.0)									
Action Details		Questions		Sample Answer / Note & Point of Management		Self-Evaluation Results		Judging Result	
No.	Main / Sub-confirmation	Question Flag				by Self-Evaluating Organization	by Evaluation-Result Verifying Organization	Judging Result	Judgment reason, memo, remarks, etc.
4.1 Management of Chemical Substances in Products in General: This check sheet is in compliance with JIS Z 7201:2012 "Management of Chemical Substances in Products - Principles and Guidelines", however "4.1" is only a title without specific action details. Therefore, no questions are given.									
4.2 Representation of the Management Policy of Chemical Substances in Products									
Top managers in charge of management of chemical substances in products shall determine the management policy of chemical substances in products for the organization and address appropriate implementation of management of chemical substances in products									
1	Common Management / Verification of Implementation		Has the top management determined the management policy of chemical substances in products and addressed implementation of the effective management of chemical substances in products?	<p>(f)</p> <p>Sample answer-></p> <ul style="list-style-type: none"> xxx Co. Ltd., the environment policy xxx Inc., the quality policy xxx Corporation, management policy, management slogan <p>note & point of management-></p> <ul style="list-style-type: none"> The policy shall include contents suggesting management of chemical substances in products, such as compliance with laws and regulations, satisfying customers' requirement, etc. Tops managers are those who regulate management of chemical substances in products 		1) Enter the name of policy document which defines the management policy of chemical substances in products			
2	Common Management / Review		Do you review the policy whenever it is required?	<p>Sample answer-></p> <ul style="list-style-type: none"> Date of review or revision : dd/mm/yyyy <p>note & points of management-></p> <ul style="list-style-type: none"> "Whenever it is required" means upon amendment of law or regulations, management review, a customer request, etc. the organization conducts review of such amendment. After the policy is reviewed for the purpose of management of chemical substances in products and if the policy is not necessary to revise, it is acceptable if the organization verifies to maintain the existing policy. For example, the responsible person of environmental management issues a comment "it is not necessary to revise the policy" in the management review, etc. 		2) Enter when was the latest review of the policy			

- (b) For each of the corresponding questions, select and input "Compliant", "Semi-compliant", "Non-compliant", or "Not applicable" from the pull-down menu for the "Self-evaluation results" field.
- (c) In the "Answer" field, write down the evidence that was used for making judgments in accordance with the results of self-evaluation (implementation details, evidence name, etc.).

For (b) and (c) above, please respond to all of the questions. In addition, since points to which consideration should be given in management and examples of the response that would serve as hints when filling out "Answer (Implementation details, Evidence name, etc.)" are listed in the "Sample Answer / Note & Point of Management" field, please use these as a reference when making responses.

It is not necessary to fill out fields (d), (e), (f), and (g) of the entry example above.

Examples of approaches in which the contents of “Question” are able to be implemented

“4.4.4.2 Prevention of Contamination by Incorrect Use or Admixture” Questions

<Actions for prohibited substances>

③ Do you conduct proper management to prevent contamination by incorrect use, admixture or mix-up at receiving of parts and materials or at the storage area (including secondary materials and packing materials)?

<sample answer (the management method)>

- to put a label "nonconformance" onto nonconformance parts (electrical cable containing lead) at receiving
- to put a divider to segregate nonconformance parts and materials that contain prohibited substances in the storage area
- At receiving, the company analyzes open recycled materials for each lot by XRF analysis equipment and verifies if prohibited substances do not exceed a threshold value due to inconsistency of concentration

[Precaution]“4.4.2 Management of Chemical Substances in Design and Development” is necessary if your company is selecting constituent materials, regardless of whether you have a design department.

(4)-4 Precautions when filling out Management of Chemical Substances Action Item List & Check Sheet

The points (Canon Verification Points) for when making judgments based on “Self-evaluation” and “Responses (contents of approaches, evidence name, etc.)” for which you have provided responses are as follows

No	Questions	Canon points for confirmation (Precautions during evaluations)
4.3.1 Defining the Management Criteria of Chemical Substances in Products		
6	② Do you have a clear scope where the management system of chemical substances in products is applied?	It is necessary for packaging material of products delivered to Canon to be included in the constructional elements (materials, components, secondary materials, etc.)
7	③ Do you identify laws and criteria which you refer to when you develop the management criteria of chemical substances in products?	Check to make sure that the latest version of Canon's Product Environmental Impact Substances list is reflected. Prohibited substances added to the list <Prohibited Substances> BNST, PAH
4.4.2 Management of Chemical Substances in Products at Design and Development		
19	① For the purpose of satisfying the management criteria of chemical substances in products, do you verify during design and development (before start of production) whether or not the applicable products fulfill the management criteria of chemical substances in products at the respective stage as shown below ? 【Purchasing the management criteria of chemical substances in products at purchasing 【Manufacturing the management criteria of chemical substances in products for the manufacturing process 【Delivery the management criteria of chemical substances in products at delivery	It is not possible to confirm the manufacturing process standards and shipment conditions by the time that production begins. As there is “Mechanism that Fulfills Management Standards of Chemical Substances in Products” regarding the manufacturing process and shipment standards, it is acceptable if it can be confirmed that this applies to the corresponding products

No	Questions	Canon points for confirmation (Precautions during evaluations)
4.4.3 Management of Chemical Substances in Products at Purchasing :		
31	① Do you request the suppliers to establish and operate the management system of chemical substances in products for the purpose of fulfilling the management criteria of chemical substances in products?	<ul style="list-style-type: none"> • For the selection criteria for suppliers, make sure that all items below, from A to I, are filled out and that the contents are the same as that of “Guidelines for the Management of Chemical Substances in Products” A. Defining the management criteria B. Collection and verification of information of chemical substances in products C. Verification of the management status at the supplier D. Verification at receiving E. Prevention of contamination by incorrect use or admixture F. Appropriate management of reaction process G Traceability H. Change management I. Response to occurrence of nonconformance • If the following process exists in manufacture using chemical substances/mixtures, specify the control standards related to chemical substances in products, and make sure that control, such as that of the manufacturing process, is being implemented. <ul style="list-style-type: none"> ⇒ Process in which composition change or concentration change occurs, and in the event that management of such a process has been neglected, there is the possibility that target substances of control standards for chemical substances in products exceed the control criteria and become residual or are generated.

No	Questions	Canon points for confirmation (Precautions during evaluations)
32	② Do you verify the management status of chemical substances in products at the supplier when you appoint a new supplier?	The state of acquisition of ISO14001, 9001 is handled as a reference.
33	③ When you continue business with the supplier, do you re-verify the management status of chemical substances in products periodically when required?	The confirmation contents must be the same as for those that are new.
35	⑤ Have you defined any response or any action to take for ②③ shown above, when verification for the management status of chemical substances in products is incomplete or when verification contents or verification result show some problem?	<p>If starting or continuing transactions, guarantee goods purchased based on one of the following conditions.</p> <ul style="list-style-type: none"> • Acquisition and confirmation of analytical data from the supplier at the time of initial shipment, periodic receiving analysis for each product lot, etc. • Periodic analysis of final products at your company • If the purchased goods are materials, a materials certificate issued by the materials manufacturer • Materials for which the chemical substance components are already determined, such as JIS materials, etc., and that do not contain any of Canon’s prohibited substances, or that contain such substances at a level below the threshold value. • Non-inclusion is clear based on scientific findings

No	Questions	Canon points for confirmation (Precautions during evaluations)
37	⑦ In your evaluation to determine a new supplier or to re-appoint the existing supplier, do you verify the following? <ul style="list-style-type: none"> • if the supplier inspects and identifies if there is any process or any material which may cause a contamination of prohibited substances as defined in the management criteria of chemical substances in products 	If not yet implemented, provide guidance so that implementation is carried out, and confirm the implementation plan.
38	⑧ In the verification result shown in ⑦, if there is a possibility of contamination of prohibited substances specified in the management criteria of chemical substances in products at the supplier, do you verify if the supplier implements proper management to prevent contamination of prohibited substances?	<p>★(Precautions during evaluations) Management of misuse and of prevention of mixing and contamination with regard to 1 to 4 below is being carried out, and the implementation procedure is documented.</p> <ol style="list-style-type: none"> 1. Receiving and storage area for components/materials (including secondary materials, materials for packaging) 2. Manufacturing process <ol style="list-style-type: none"> a. Line process (including peripheral area) b. Storage area for work-in-progress (including storage areas for long-term work-in-progress) c. Revision process (process that is not a normal line for correcting soldering) d. Production facilities and tools (if coming in contact with components and materials) 3. Product storage area in shipping warehouse 4. Processes other than those in 1 to 3 in which there is the possibility of misuse, mixing, or contamination

No	Questions	Canon points for confirmation (Precautions during evaluations)
39	⑨ As a result of ⑧ shown above, when management cannot be verified at the supplier, do you verify and manage by yourself whether or not "purchased products fulfill the purchase management criteria" based on a proper evidence?	<p>If initiating or continuing transactions, guarantee goods purchased based on one of the following conditions.</p> <ul style="list-style-type: none"> • Acquisition and confirmation of analytical data from the supplier at the time of initial shipment, periodic receiving analysis for each product lot, etc. • Periodic analysis of final products at your company • If the purchased goods are materials, a materials certificate issued by the materials manufacturer • Materials for which the chemical substance components are already determined, such as JIS materials, etc., and that do not contain any of Canon's prohibited substances, or that contain such substances at a level below the threshold value. • Non-inclusion is clear based on scientific findings

4.4.4 Management of Chemical Substances in Products for the Manufacturing Process:

45	① Is there any possibility to generate any restricted substances or to have residue of restricted substances exceeding the management criteria of chemical substances in products, when there is a conversion process of composition change or concentration change in the manufacturing process using chemical substances/mixture, but no appropriate management is conducted? ※ If the above condition does not apply, enter "non-applicable" into ②~④	<p>Process in which the substance subject to Standards for the Management of Chemical Substances in Products exceeds the control criteria and has the possibility of becoming residual or generated</p> <ul style="list-style-type: none"> • Board packaging • Plating (Trivalent chromate processing: Hexavalent chromium) • Resin molding • Ink coating (concentration change due to addition of solvent)
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No	Questions	Canon points for confirmation (Precautions during evaluations)
39	⑨ As a result of ⑧ shown above, when management cannot be verified at the supplier, do you verify and manage by yourself whether or not "purchased products fulfill the purchase management criteria" based on a proper evidence?	<p>If initiating or continuing transactions, guarantee goods purchased based on one of the following conditions.</p> <ul style="list-style-type: none"> • Acquisition and confirmation of analytical data from the supplier at the time of initial shipment, periodic receiving analysis for each product lot, etc. • Periodic analysis of final products at your company • If the purchased goods are materials, a materials certificate issued by the materials manufacturer • Materials for which the chemical substance components are already determined, such as JIS materials, etc., and that do not contain any of Canon's prohibited substances, or that contain such substances at a level below the threshold value. • Non-inclusion is clear based on scientific findings

4.4.4 Management of Chemical Substances in Products for the Manufacturing Process:

45	<p>① Is there any possibility to generate any restricted substances or to have residue of restricted substances exceeding the management criteria of chemical substances in products, when there is a conversion process of composition change or concentration change in the manufacturing process using chemical substances/mixture, but no appropriate management is conducted?</p> <p>※ If the above condition does not apply, enter "non-applicable" into ②~④</p>	<p>Process in which the substance subject to Standards for the Management of Chemical Substances in Products exceeds the control criteria and has the possibility of becoming residual or generated</p> <ul style="list-style-type: none"> • Board packaging • Plating (Trivalent chromate processing: Hexavalent chromium) • Resin molding • Ink coating (concentration change due to addition of solvent)
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No	Questions	Canon points for confirmation (Precautions during evaluations)
46	② For the process applicable to ① above, do you define the management criteria of chemical substances in products for the manufacturing process and manage the process accordingly?	<p>1) If there is board packaging</p> <ul style="list-style-type: none"> • Control criteria value for content of lead inside the flow bath • Content analysis, measurement frequency • Basis for control criteria value and measurement/analysis frequency • With regard to the solder that is placed in the soldering dipping tank, it has been confirmed that the solder is one that can be placed inside and this has been made into a rule • If a solder of unknown origin is to be used in production, it has been confirmed that the solder is one that can be placed inside and this has been made into a rule <p>2) If there is plating</p> <ul style="list-style-type: none"> • Control criteria values for content of lead and hexavalent chromium inside the plating tank • Content analysis, measurement frequency • Control criteria values and measurement/analysis frequency <p>3) If there is resin molding</p> <ul style="list-style-type: none"> • Control criteria for receiving and storage of materials • Control criteria for material composition <p>4) If there is ink coating</p> <ul style="list-style-type: none"> • Appropriately analyze the lead, cadmium and hexavalent chrome in the material after coating and drying, or obtain a certificate (analytical data, certificate of non-use, table of ingredients, etc.) for the components from the ink coating manufacturer after drying, and confirm that the threshold is not exceeded • Work standards for ink coating

No	Questions	Canon points for confirmation (Precautions during evaluations)
4.4.5 Management at Delivery		
57	② In the management criteria for the stage of delivery, do you include whether or not the management criteria is satisfied at the stage of receiving and at the manufacturing process respectively?	With regard to the constructional elements of shipped goods, a mechanism where it is possible to certify non-content of Canon prohibited substances, such as a production management system, is acceptable.
4.4.6 Verification of the Management Status of Chemical Substances in Products at Outsourcing Organization		
60	① Do you give instructions to the outsourcing organization in writing about the management items/the management contents of chemical substances in products?	<ul style="list-style-type: none"> • Contents that are instructed to outsourcing contractors must be the necessary control items/control contents in managing chemical substances in products, and must not have the possibility of being connected to non-conformity. • If procurement of component materials is outsourced, request the supplier (including secondary, tertiary, and subsequent ones) to construct and operate a mechanism for management of chemical substances in products that fulfills the control criteria for chemical substances in products.

Revision History

No.	Date of Revision	Description
Ver.1	January 15,2010	Established
Ver.2	December 15,2010	Revision
Ver.3	August 3,2011	Addition - (3)-5 Management throughout the supply chain (operational sites engaged in the development, production, and sales of parts & materials delivered to Canon)
Ver.4	September 6, 2013	-Addition regarding usage of “China Water Pollution Map” data in the method for confirming legal compliance -(3)-2 Environment-related laws and regulations 4)When the judgment is based on the results of analysis -(3)-5 Dealing of your company's primary suppliers Revision -(3)-6 Management throughout the supply chain
Ver.5	January 10, 2014	Revision -(4) List of Action Items & Check Sheet (Ver.3.00)
Ver.6	July 4, 2014	Revision -front cover/page24 Canon Green Procurement Standards Ver.9-->Ver.10
Ver.7	June 18,2015	Revision -front cover/page24 Canon Green Procurement Standards Ver.10-->Ver.11 -(4) List of Action Items & Check Sheet (Ver.3.00)

Inquiries: Operational site of Canon

Canon Green Procurement Standards Ver.11 (Supplier Environmental Evaluation)
Form Entry Procedure
Procurement Headquarters, Canon Inc.,
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